

AQTF Essential Conditions and Standards for Continuing Registration &

VRQA Guidelines for VET Providers - Audit Report

Audit Date: 13th and 14th April
2015

RTO: Carringbush Adult Education Inc.

Applicant Details			
Applicant Name	Carringbush Adult Education Inc.	TOID	3671
Address	415 Church Street, Richmond Vic 3121		
	Website	www.carringbush.org.au	
Registration Contact	Ms Margaret Corrigan		
Phone Number	9421 2392 / 0433 766 969	Email	margaret.corrigan@carringbush.org.au
Audit Team			
Audit Firm	Shinewing Australia	Auditor/s	Anna-Louise Allen
Auditor/s		Other Attendees	
Registering Body Details			
Contact Person	Emma Hickingbotham		
Phone Number	9032 1562	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	1, 3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.6, 2.7	3.1, 3.2, 3.4
VRQA Guidelines Audited	1, 2, 4, 5		
Audit Date/s	13th and 14th April 2015		
RTO Background			
<p>Carringbush Adult Education has delivered English-as-an-Additional Language (EAL) programs in Melbourne's City of Yarra since 1984. They are a not-for-profit Registered Training Organisation who provides education to adult learners, with a focus on migrant-background residents at the Richmond and Collingwood estates.</p> <p>Carringbush also provides specialised pre-accredited classes designed for specific communities, including asylum seekers and new migrant mothers. Support for students to find employment is embedded in all classes.</p> <p>Classes are located at a number of locations around Richmond and Collingwood. The RTO offices are at 415 Church St, Richmond. The other delivery sites include 215 Church St, Richmond and Belgium Avenue Neighbourhood House.</p>			

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Qualifications/Units Audited¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
10361NAT	Course in Preliminary Spoken and Written English	Vic
10362NAT	Certificate I in Spoken and Written English	Vic
22250VIC	Certificate I in EAL (Access)	Vic
22252VIC	Certificate II in EAL (Employment)	Vic
22259VIC	Course in EAL	Vic

Interviewee(s) – Staff name and position; employer name and position	
Margaret Corrigan	Manager
Cathy Gill	Education Manager
Antje Herrmann	Trainer, Certificate II in EAL (Employment)
Julie Milton	Trainer, Certificate I in EAL (Access)

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: Delivery sites are 215 Church St, 415 Church St, Richmond and Belguim Avenue Neighbourhood House		

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 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 type="checkbox"/>	<input checked="" 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				
<p>CF 3.1</p> <ul style="list-style-type: none"> Insufficient information about the requirements that affect staff and students duties or participation in vocational education and training. <p>CF 6.1</p> <ul style="list-style-type: none"> Templates for Certificates and Statements of Attainment do not meet the requirements of the AQF. The RTOs policy does not include re-issuance of certificates and statements of attainment <p>CF 8.1</p> <ul style="list-style-type: none"> The VRQA logo is used incorrectly on the Complaints procedure. 				

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 – Trainer and Assessor Competency	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 – Records Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance³			
SF1.4.1			
<ul style="list-style-type: none"> Inadequate evidence of the professional development to develop VET knowledge and skills of trainers / assessors, otherwise the RTO meet requirements. 			

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1 – Strategic Plan and Business Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.2 – Financial Viability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.3 – Management Systems	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 – Organisational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.5 – Academic/Educational Governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1.6 – Change Reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Quality Assurance, Review and Evaluation Processes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Course Quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Cheating and Plagiarism	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Quality Education and Training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Student Enrolment Records and Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Provision of Courses to Domestic Students	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. Student Learning Outcomes and Welfare Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1 – Maximum Daily Hours of Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2 – Out of Hours Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 – Student Safety	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Teaching, Learning and Assessment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.1 – Capacity to Deliver Scope of Registration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Summary of Non-Compliance⁴

- No non compliances were identified against the Guidelines.

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

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 1</p> <p>The RTO has appropriate governance arrangements to monitor compliance and make sure that the experiences of trainers and assessors are considered in the decisions made by management.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Organisational Chart • Interview with Manager • Interview with Education Manager • Report to Committee of Management • Monthly staff meetings • Fit and Proper Person declaration and police checks for all Committee of Management members 	<p>No rectification required.</p>	

CONDITION 3 – Compliance with Legislation			Non-Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Non-Compliant with Condition 3.</p> <p>The RTO manages compliance with relevant Commonwealth, State or Territory legislation and regulatory requirements.</p> <p>The staff handbook does not make any reference to the VET Quality Framework and specifically the Education and Training Reform Act 2006. Policies reference funding agreements and AQTF throughout.</p> <p>There is insufficient information about the requirements that affect staff and students duties or participation in vocational education and training. In particular trainer/assessors do not undertake professional development to continue to update their VET knowledge and skills.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Meeting legislated requirements policy • Governance policy • Student information <p>Staff Handbook</p> <ul style="list-style-type: none"> • Introduction to Carringbush Adult Education • Funding • Scope of registration • Classes • Training and assessment strategies • Teacher resources • Pre-training review • The student • Record keeping • Assessment process • Plagiarism and cheating • Belgium Avenue Neighbourhood House • Staff safety • Safe use of social media • Professional Development program • Staff Code of Conduct • Leave • Legislation • Specific principles 	<p><u>Actions:</u></p> <ul style="list-style-type: none"> • The RTO must ensure that trainers and clients are informed about the VET Quality Framework. Information must be provided about the requirements that affect staff and students duties or participation in vocational education and training. 	

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	<ul style="list-style-type: none"> Recognition of AQF qualifications and statements of attainment 	
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Improvement Opportunities

The staff handbook does not make any reference to the VET Quality Framework and specifically the Education and Training Reform Act 2006. This should be added.

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment			Non-Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Non-Compliant with Condition 6.</p> <p>Certificates and statements of attainment do not meet the requirements of the Australian Qualifications Framework (AQF).</p> <p>Certificates include both the the AQF logo and the words, 'The qualification is recognised within the Australian Qualifications Framework'. The RTO will need to decide on either the logo or the statement, not both.</p> <p>The Certificate and Statement of Attainment contains the statement 'achieved through Victorian Department of Education Funding' They should check to determine if this statement matches the requirements in the VTG contract.</p> <p>The unit codes and titles are printed on the reverse of the certificate and this is entitled a record of results. This does not comply with the requirements for a record of results.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> Certification Issuance policy Records Management policy and procedure National recognition policy and procedure Unique student identifier policy Student data reporting policy and procedure <p>Forms</p> <ul style="list-style-type: none"> Certificate Template Statement of Attainment Template <p>Certificate</p> <ul style="list-style-type: none"> Muoi Vien Tseang Ying <p>Statement of attainment</p> <ul style="list-style-type: none"> Sara Bol Annie Chan 	<p>Actions:</p> <ul style="list-style-type: none"> The RTO should revise their templates for Certificates and Statements of attainment to make sure that they comply with the AQF requirements. The RTO should revise their Certification Issuance policy to make sure it includes information regarding the issuance of replacement certificates. 	

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<p>Both the Certificate and Statement of Attainment use both the VRQA logo and statement, the RTO should use one or the other.</p> <p>The RTO should also take care when naming qualifications to comply with correct nomenclature – code then title.</p> <p>The RTO's Certification Issuance policy does not include information regarding the issuance of replacement certificates.</p>		
Finding	Evidence/Documentation Reviewed	
<p>The RTO is Compliant with this aspect of Condition 6.</p> <p>The RTO has a mechanism in place to retain client records for a period of 30 years</p> <p>The RTO provides AVETMISS compliant data via the VET trak.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Certification Issuance policy • Records Management policy and procedure • National recognition policy and procedure • Unique student identifier policy • VET Trak • Student data reporting policy and procedure • Course delivery planner for the term • Attendance report • Record of results pre term • Term planner for each course 	<p>No rectification required.</p>

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Improvement Opportunities

The enrolment form does not comply with the current guidelines. The RTO should check enrolment form with the Victorian Student Statistical Guidelines – questions 18 & 19.

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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.</p> <p>There is no demand for recognition within the student cohort.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Records Management Policy • National Recognition Policy • Website www.carrington.org.au • Staff Handbook • Student information 	<p>No rectification required.</p>	
CONDITION 8 - Accuracy and Integrity of Marketing			Non-Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Non-Compliant with Condition 8.</p> <p>The RTO's marketing and advertising of AQF qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.</p> <p>The NRT logo is not used in marketing and advertising of AQF qualifications to prospective clients.</p> <p>Complaints and appeals procedure contains the VRQA logo, this must be removed as it is only to be used on certificates and statements of attainment.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website www.carrington.org.au • Student Handbook • Marketing and communication policy • Permission to use photographs • Enrolment and Eligibility for funding Policy and Procedure • Information for students 	<p><u>Actions:</u></p> <ul style="list-style-type: none"> • The RTO must remove the VRQA logo from the Complaints and appeals procedure. This logo is only to be used on certificates and statements of attainment 	

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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 at audit:</p> <ul style="list-style-type: none"> Transition to new training packages policy and procedure 	<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 at audit:</p> <ul style="list-style-type: none"> • Continuous Improvement Policy • Continuous Improvement Plan • Continuous Improvement Register • Complaints and appeals Register • Incident/injury reports • Grievance procedure log • Teacher Feedback • Student Feedback & analysis report • QI regulator report • Website http://www.carringbush.org.au/ • Pathways to work report 2014 	<p>No rectification required.</p>	

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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 at audit:</p> <ul style="list-style-type: none"> • Training and Assessment policy • Validation policy <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Industry consultation</p> <ul style="list-style-type: none"> • Carlton Neighbourhood House • AMES • Manager, WISE Employment Richmond • Co-ordinator Belgium Avenue Neighbourhood House • Mission Australia • DHS 	<p>No rectification required.</p>	

Improvement Opportunities

The RTO has requested that the Certificate I in Vocational Preparation be removed from their scope.

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ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 1.3.</p> <p>Training and assessment strategies provide sufficient information regarding staff, facilities, equipment and training and assessment materials used by the RTO.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Training and assessment policy <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Units audited</p> <ul style="list-style-type: none"> • VU21463 Explore transport options • VU21461 Access the internet and email to develop language • VU21451 Participate in short, simple exchanges • VU21450 Read and write short, simple messages and forms • SWELRN001A Preliminary learning strategies (Module A) • SWEDEC002A Decoding words and simple sentences (Module B) 	<p>No rectification required.</p>	

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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Non-Compliant
a) Have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and b) Have the relevant vocational competencies at least to the level being delivered or assessed, and c) Can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and d) Continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Non-Compliant with Element 1.4.</p> <p>Training and assessment is delivered by Trainers and Assessors who meet the requirements as determined by the National Quality Council or its successors.</p> <p>While the trainers undertake professional development there was no evidence of this relating to the development of VET knowledge and skills.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Recruitment policy • Qualified Teacher policy • HR.2 Induction • Carrington current list of teachers • Trainer matrix • Workplace grievance policy <p>Staff Handbook</p> <ul style="list-style-type: none"> • Introduction to Carrington Adult Education • Funding • Scope of registration • Classes • Training and assessment strategies • Teacher resources • Pre-training review • The student • Record keeping • Assessment process 	<p><u>Actions:</u></p> <ul style="list-style-type: none"> • The RTO must make sure that trainers undertake professional development designed to continue to develop their VET knowledge and skills. 	

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	<ul style="list-style-type: none"> • Plagiarism and cheating • Belgium Avenue Neighbourhood House • Staff safety • Safe use of social media • Professional Development program • Staff Code of Conduct • Leave • Legislation • Specific principles • Recognition of AQF qualifications and statements of attainment <p>Trainer Files</p> <ul style="list-style-type: none"> • Antje Herrmann • Jane Lucas • Elizabeth Keenan • Susan Knott • Julie Milton • Sharryn Bennett 	
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ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL):			Compliant
a) Meets the requirements of the relevant Training Package or accredited course b) Is conducted in accordance with the principles of assessment and the rules of evidence c) Meets workplace and, where relevant, regulatory requirements d) Is systematically validated.			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 1.5.</p> <p>Assessment including Recognition of Prior Learning (RPL) meets the requirements of the relevant Training Package is conducted in accordance with the principles of assessment and the rules of evidence.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Training and Assessment policy • Validation policy <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Units audited</p> <ul style="list-style-type: none"> • VU21463 Explore transport options • VU21461 Access the internet and email to develop language • VU21451 Participate in short, simple exchanges • VU21450 Read and write short, simple messages and forms • SWELRN001A Preliminary learning strategies (Module A) 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • SWEDEC002A Decoding words and simple sentences (Module B) <p>Student files</p> <ul style="list-style-type: none"> • Hong T Tang – liquid paper on record sheet • Annie Chan – liquid paper on record sheet • Mai Bui – liquid paper on record sheet • Thi Hong Nhung Nguyen • Thi Phuong Nguyen • Tseang Ying • Cai Yan Gu • Kim Huynh 	
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Improvement Opportunities

The use of liquid paper on Assessment record sheets should be avoided as these 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 at audit:</p> <ul style="list-style-type: none"> • Student support services Policy & Procedure • Enrolment and Eligibility for funding Policy and Procedure • Pre training review • Pre training review interview • Enrolment form 2015 • USI • Maps for training venues • Individual training plan • Eligibility form • Statement of Fees • Training and Assessment policy • Pre-training assessment policy and procedure • Pre-training assessment flow chart • Carrington pre-training assessment kit – instructions for assessors 	<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>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Continuous Improvement Policy • Continuous Improvement Plan • Continuous Improvement Register • Complaints and appeals Register • Incident/injury reports • Grievance procedure log • Teacher Feedback • Student Feedback & analysis report • QI regulator report • Website http://www.carrington.org.au/ • Pathways to work report 2014 	<p>No rectification required.</p>	

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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
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 2.3.</p> <p>Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website www.carrington.org.au • Staff Handbook • Marketing and communication policy • Permission to use photographs • Enrolment and Eligibility for funding Policy and Procedure • Information for students • Enrolment interview 	<p>No rectification required.</p>	

ELEMENT 2.6 - Learners have timely access to current and accurate records of their participation and progress.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Element 2.6 was Compliant</p> <p>Learners have timely access to current and accurate records of the participation and progress.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website www.carrington.org.au • Student Handbook • Marketing and communication policy • Permission to use photographs • Enrolment and Eligibility for funding Policy and Procedure • Information for students • Records management policy • Student access to records policy • Attendance register 	<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 at audit:</p> <ul style="list-style-type: none"> • Student Handbook • Complaints and appeals policy & procedure • Complaints and appeals procedure • Website • Resolving Complaints poster • Complaints form • Complaints register • Grievance procedure log 	<p>No rectification required.</p>	

Improvement Opportunities
<p>The following information should be included in the complaints policy - The National Training Complaints Hotline is accessible on 13 38 73 and is available Monday to Friday, from 8am to 6pm. You can also send complaints via email to skilling@education.gov.au.</p> <p>The Complaints and Appeals policy should be published on the website in line with HESG contract.</p>

Audit Date: 13th and 14th April 2015

RTO: Carrington Adult Education Inc.

Detailed Findings - AQTF Standards

STANDARD 3

ELEMENT 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.1.</p> <p>The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Student support services Policy & Procedure • Enrolment and Eligibility for funding Policy and Procedure • Student information • Pre training review • Pre training review interview • Enrolment form 2015 • USI • Maps for training venues • Statement of Fees • Training and Assessment policy • Pre-training assessment policy and procedure • Pre-training assessment flow chart • Carrington pre-training assessment kit – instructions for assessors • Occurrence attendance report • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 –22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) 	<p>No rectification required.</p>	

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

Audit Date: 13th and 14th April 2015

RTO: Carringbush Adult Education Inc.

	<ul style="list-style-type: none"> • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English • Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment) • Victorian Eligibility Form • Statement of fees • Carringbush Pre-training Review Assessment summary report 	
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Audit Date: 13th and 14th April 2015

RTO: Carringbush Adult Education Inc.

ELEMENT 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.2.</p> <p>The RTO uses a systematic and continuous improvement approach to the management of operations.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Administration, reception, finances, IT and record keeping Policy • Student Management System Data Entry Policy • Records Management and Retention Policy • Version control Policy • Risk Management Policy • Continuous Improvement Policy • Continuous Improvement Register • Complaints and appeals Register • Resolving Complaints poster • Complaints form • Complaints register • Incident/injury reports • Grievance procedure log Procedures • Staff Handbook • Monthly staff meetings 	<p>No rectification required.</p>	

Audit Date: 13th and 14th April 2015

RTO: Carrington Adult Education Inc.

ELEMENT 3.4 - The RTO manages records to ensure their accuracy and integrity.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Element 3.4.</p> <p>The RTO manages records to ensure their accuracy and integrity</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Student access to records policy and procedure • Student data reporting policy and procedure • Records Management policy and procedure • Complaints and appeals policy and procedure • Complaints form • Complaints register • Incident/injury reports • Grievance procedure log Procedures • National Recognition policy and procedure • Certification Issuance policy • Occurrence attendance report • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 –22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English • Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment) • Victorian Eligibility Form • Statement of fees 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • Carringbush Pre-training Review Assessment summary report 	
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Improvement Opportunities
Care should be taken when referring to qualifications and course. The code should appear and then the title of the course/qualification.

Audit Date: 13th and 14th April 2015

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Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 - Staff records for each training and assessment staff member must include the following:			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<ul style="list-style-type: none"> • Verified or certified and/or signed documents are held by the RTO • Trainer skills matrix – signed by trainer/assessor • Trainer and assessor qualifications - verified by RTO or otherwise certified • Vocational qualifications – verified by RTO or otherwise certified • CV – signed by trainer/assessor • Professional development activities verified and/or signed by trainer/assessor • Position description • Employment contract/agreement 			
<p>The RTO is Compliant with Guideline 1.3.</p> <p>Trainer/assessor records are consistent with the requirements of the guideline.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Recruitment policy • Qualified Teacher policy • HR.2 Induction • Carrington current list of teachers • Trainer matrix • Workplace grievance policy <p>Staff Handbook</p> <ul style="list-style-type: none"> • Introduction to Carrington Adult Education • Funding • Scope of registration • Classes 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • Training and assessment strategies • Teacher resources • Pre-training review • The student • Record keeping • Assessment process • Plagiarism and cheating • Belgium Avenue Neighbourhood House • Staff safety • Safe use of social media • Professional Development program • Staff Code of Conduct • Leave • Legislation • Specific principles • Recognition of AQF qualifications and statements of attainment <p>Trainer Files</p> <ul style="list-style-type: none"> • Antje Herrmann • Jane Lucas • Elizabeth Keenan • Susan Knott • Julie Milton • Sharryn Bennett 	
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Audit Date: 13th and 14th April 2015

RTO: Carringbush Adult Education Inc.

Improvement Opportunities

The Primary Teacher qualification for Elizabeth Keenan was not on the file.

GUIDELINE 2.1 - The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.

Compliant

Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is Compliant with Guideline 2.1.</p> <p>The RTO monitors course quality.</p> <p>The RTO is using validated assessment tools based on the AMES and NEAS tools. The RTO has internally validated the tools and developed additional support materials.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Training and Assessment policy • Validation policy • Validation meeting record <p>Assessment mapping documents to support units audited</p> <ul style="list-style-type: none"> • VU21463 Explore transport options • VU21461 Access the internet and email to develop language • VU21451 Participate in short, simple exchanges • VU21450 Read and write short, simple messages and forms • SWELRN001A Preliminary learning strategies (Module A) • SWEDEC002A Decoding words and simple sentences (Module B) 	<p>No rectification required.</p>

Improvement Opportunities

One assessment for VU21463 Explore transport options was missing the record sheet.

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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 at audit:</p> <ul style="list-style-type: none"> • Cheating and plagiarism policy • Student information 	<p>No rectification required.</p>	

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RTO: Carringbush Adult Education Inc.

GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 2.3.</p> <p>The RTO has policies and procedures in place to support the retention unit of competency training and assessment information *for a minimum of 1 year post completion of the unit, including mechanisms for the retention of master resources.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Student access to records policy and procedure • Student data reporting policy and procedure • Records Management policy and procedure • Complaints and appeals policy and procedure • National Recognition policy and procedure • Certification Issuance policy • Occurrence attendance report • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 –22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English • Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment) • Victorian Eligibility Form • Statement of fees • Carringbush Pre-training Review Assessment summary report 	<p>No rectification required.</p>	

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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 at audit:</p> <ul style="list-style-type: none"> • Class safety and student welfare policy and procedure • Training and assessment policy and procedure • Student information • Maps for training venues <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Training plans</p> <ul style="list-style-type: none"> • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 – 22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none">• Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment)	
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Audit Date: 13th and 14th April 2015

RTO: Carrington Adult Education Inc.

GUIDELINE 4.2 - A provider must not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.2.</p> <p>The RTO does not require or permit full time students to attend scheduled classes (including time allocated for self-paced or online studies) outside of 0800hrs to 2200 hrs on any day (other than in courses where the VRQA has issued the provider a specific written exemption for a course-related reason, approving a different schedule for that course and with the written agreement of the student).</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Class safety and student welfare policy and procedure • Training and assessment policy and procedure • Student information • Maps for training venues <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Training plans</p> <ul style="list-style-type: none"> • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 – 22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English • Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment) 	
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Audit Date: 13th and 14th April 2015

RTO: Carrington Adult Education Inc.

GUIDELINE 4.4 - Providers must indicate the measures they intend to take to address matters of student safety.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 4.4</p> <p>Both the RTO and School policies are designed to address matters of student wellbeing and Safety.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Class safety and student welfare policy and procedure • Training and assessment policy and procedure • Student information • Maps for training venues <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Training plans</p> <ul style="list-style-type: none"> • Individual training plan 2015 – 10361NAT Course in preliminary spoken and written English • Individual training plan 2015 – 22259VIC Course in EAL • Individual training plan 2015 – 22250VIC Certificate I in EAL (Access) • Individual training plan 2015 – 10362NAT Certificate I in spoken and written English • Individual training plan 2015 – 22252VIC Certificate II in EAL (Employment) 	<p>No rectification required.</p>	

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RTO: Carrington Adult Education Inc.

GUIDELINE 5.1 - The provider must demonstrate that they have the capacity to deliver and assess ALL the courses requested/on the scope of registration.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 5.1</p> <p>The RTO has a comprehensive delivery and assessment plan for each qualification that indicates the modes of delivery and assessment</p> <p>The RTO has relevant delivery and assessment materials for all units.</p>	<p>Evidence reviewed at audit:</p> <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Trainer Files</p> <ul style="list-style-type: none"> • Antje Herrmann • Jane Lucas • Elizabeth Keenan • Susan Knott • Julie Milton • Sharryn Bennett 	No rectification required.	
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>Detail of second finding relating to Guideline 5.1</p> <p>The RTO has demonstrated that it has the additional evidence as required by the Guideline for all domestic RTOs providing institution based programs.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Annual lease for 415 Church St Richmond 	No rectification required.	

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	<ul style="list-style-type: none"> • Letter from Department of Human Services regarding the use of 106 Elizabeth Street Richmond for the purposes of training • Facility use agreement for 213 – 215 Church Street, Richmond <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • 10361NAT Course in Preliminary Spoken and Written English • 10362NAT Certificate I in Spoken and Written English • Certificate I in EAL (Access) • Certificate II in EAL (Employment) • 22259VIC Course in EAL <p>Units audited</p> <ul style="list-style-type: none"> • VU21463 Explore transport options • VU21461 Access the internet and email to develop language • VU21451 Participate in short, simple exchanges • VU21450 Read and write short, simple messages and forms • SWELRN001A Preliminary learning strategies (Module A) • SWEDEC002A Decoding words and simple sentences (Module B) <p>Student files</p> <ul style="list-style-type: none"> • Hong T Tang – liquid paper on record sheet • Annie Chan – liquid paper on record sheet 	
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	<ul style="list-style-type: none"> • Mai Bui – liquid paper on record sheet • Thi Hong Nhung Nguyen • Thi Phuong Nguyen • Tseang Ying • Cai Yan Gu • Kim Huynh 	
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