

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

Audit Date: 13th and 14th July 2015

RTO: Bacchus Marsh Community College Inc.

Applicant Details			
Applicant Name	Bacchus Marsh Community College Inc.	TOID	5064
Address	229 Main Street, Bacchus Marsh Vic 3340		
	Website	www.thelaurels.com.au	
Registration Contact	Helen Powers		
Phone Number	5367 1061 / 0437 328 026	Email	hpowers@thelaurels.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 July 2015		
RTO Background			
<p>The Bacchus Marsh Community College is a community managed, not-for-profit Registered Training Organisation, which provides adult education and community based opportunities for learning.</p> <p>Bacchus Marsh Community College Inc. manages and delivers a range of Nationally Accredited training programs funded by Skills Victoria, Learn Local and Neighbourhood House grants and fee for service programs.</p> <p>The organisation lost their HESG funding in 2013 and had it returned in 2014. They have been in a rebuilding phase since.</p>			

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
AHC20410	Certificate II in Horticulture	Vic
CHC20112	Certificate II in Community Services	Vic
CHC30113	Certificate III in Early Childhood Education and Care	Vic
CHC30212	Certificate III in Aged Care	Vic
CHC30312	Certificate III in Home and Community Care	Vic
SFL20110	Certificate II in Floristry (Assistant)	Vic
TAE40110	Certificate IV in Training and Assessment	Vic

Interviewee(s) – Staff name and position; employer name and position	
Helen Powers	CEO
Helen Love	Admin Manager
Jacki Porter	Program Administrator
Heather Chambers	Trainer, Horticulture
Ray Newland	President of Board of Management
Simone Van Bergen	First Aid Trainer
Maree Morgan	TAE Trainer
Karen Gibson	Food Safety trainer
Jenn Dodds	Children's Services Trainer

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

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				
<p>CF6.1</p> <ul style="list-style-type: none"> • Templates for Certificates and Statements of Attainment do not meet the requirements of the AQF. • The RTO policy for issuing qualifications and statements of attainment does not deal with re-issuance or replacement testamurs 				

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5 – Assessment Strategies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Standard 2	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.1 – Meeting the Needs of Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2 – Continuous Improvement of Client Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3 – Provision of Information to Clients	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4 – Third-Party Engagement in Training and Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.5 – Provision of Support Services to Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2.6 – Learner Access to Records of Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7 – Complaints and Appeals Strategy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Standard 3	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1 – Operations Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 – Continuous Improvement of Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 – Third-Party Training and/ or Assessment Services	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Records Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Non-Compliance³			
SF1.5.1			
<ul style="list-style-type: none"> • Assessment for SITXFSA101 Use Hygienic practices for food safety does not meet the unit 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2.3 – Quality Education and Training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Student Enrolment Records and Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.4 – Provision of Courses to Domestic Students	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. Student Learning Outcomes and Welfare Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.1 – Maximum Daily Hours of Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2 – Out of Hours Attendance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 – Student Safety	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Teaching, Learning and Assessment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.1 – Capacity to Deliver Scope of Registration	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Summary of Non-Compliance⁴

GF2.2.1

- The RTO policy does not define cheating and plagiarism.

GF5.1.1

- Assessment record sheet to support each task need to be in place

GF5.1.2

- Isolated examples where clear instructions to the student and assessor and recording mechanisms that support consistent assessor decision making were identified.

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 procedures in place to monitor compliance and acknowledge the experiences of Trainers / Assessors in the decision making of senior management.</p>	<p>Evidence reviewed during the audit:</p> <ul style="list-style-type: none"> • Organisational Structure • Interview with CEO • Management skills analysis April 2015 • Audit against the VRQA Guidelines by Cherylle Pell • HESG internal audit checklist • Business plan 2013 - 2015 • Police checks for all Board of Management members • Board of Directors policy and procedure • Minutes of Board meeting • Constitution and rules • Delegation of authority 	<p>No rectification required.</p>	

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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 at audit:</p> <ul style="list-style-type: none"> • Delegation of authority • Student information booklet • OH & S Policy • Risk Management policy and procedure • AQTF Risk Management policy and procedure • Quality Management policy and procedure • Access and Equity policy and procedure • Compliance with AQTF Standards, VRQA Guidelines and Legislative requirements policy • Code of Conduct policy and procedure • Managing diversity policy and procedure • Protecting your Privacy Policy and Procedure • Confidentiality policy and procedure • Recognition of Prior Learning, Credit transfer and National Recognition Policy • Refund policy and procedure • Equal Opportunity policy and procedure • Staff Handbook 	<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>The RTO Certificates and Statements of attainment do not meet the Australian Qualifications Framework (AQF) requirements.</p> <p>The Certificates contain the employability skills statement which should be removed.</p> <p>The Record of Results, called statement of results by the RTO does not include the date enrolled.</p> <p>The Statement of Attainment includes the old statement and reference to the AQF.</p> <p>The RTO's Issuing AQF Qualifications policy and procedure does not include information regarding the issuance of replacement certificates</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • VET Trak Student Management System • Records Management Policy & procedure • Archiving policy and procedure • Issuing AQF Qualifications policy and procedure • Certificate for Jaclyn Chadwick • Statement of results for Jaclyn Chadwick • Statement of Attainment Roselle Briscoe 	<p>Actions:</p> <p>The RTO should revise their templates for certificates, record of results and statement of attainment to:</p> <ul style="list-style-type: none"> • Remove the employability skills statement • Remove the reference to the AQF from the statement of attainment • Update the statement on the statement of attainment to include 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'. • Add the date enrolled to the Record of Results. • Include the RTO seal or watermark. <p>The RTO should revise their AQF Qualifications policy and procedure to makes sure it includes information regarding the issuance of replacement certificates</p>
	<p>Finding</p> <p>The RTO is Compliant with this aspect of Condition 6.</p> <p>The RTO has a mechanism in place to retain client records for a period of 30 years</p> <p>The RTO provides AVETMISS compliant data via VET</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • VET Trak Student Management System • Records Management Policy & procedure • Archiving policy and procedure • Issuing AQF Qualifications policy and procedure 	<p>No rectification required.</p>

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Trak.	<ul style="list-style-type: none"> • Student enrolment policy & procedure • Student information booklet • Course enrolment form • Expression of interest • Eligibility and student declaration 2015 	
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Improvement Opportunities

It is suggested that the RTO issue qualifications and statements of attainment from VET Trak. The RTO should also include information about the issuance of replacement certificates in the Student information booklet.

CONDITION 7 - Recognition of Qualifications Issued by other RTOs			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Condition 7.</p> <p>The RTO recognises the AQF Qualifications and Statements of Attainment issued by any other.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Recognition of Prior Learning (RPL) Credit Transfer and National recognition policy and procedure • Exemption Application • Credit transfer request • Student Handbook 2014 • Certificate Policy • Records Management Policy • Recognition of Prior Learning application form 	<p>No rectification required.</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>The NRT logo is used correctly in marketing and advertising of AQF qualifications to prospective clients.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Website: www.thelaurels.org.au • Student Handbook • Student induction session <p>Course Brochures</p> <ul style="list-style-type: none"> • Pathways for the future – all qualifications • Bacchus Marsh Community College – Children's Services, Community Services, Aged Care and Forestry • Food handlers Certificate and Food Safety Supervisor • First Aid Training • Certificate in General Education for Adults • Certificate II in Community Services • Certificate II in Horticulture • Certificate II in Forestry • Certificate III in Early Childhood Education and Care • Certificate III in Aged Care • Certificate III in Home and Community Care • Certificate IV in Training and Assessment • Newspaper advertisement • 2015 Course Guide Term 3 • Promotion and marketing policy and procedure 	<p>No rectification required.</p>	

Improvement Opportunities

Care should be taken when referring to qualifications in marketing. The Qualification code should always appear before the title.

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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"> • Maintaining Scope of Registration Policy and Procedure • Records management policy and procedure • Version control for Course Documentation 	<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"> • Planning and Evaluation policy and procedure • Continuous Improvement Policy & Procedure • Quality Indicators Policy and Procedure • HESG Internal Audit • Validation schedule • Continuous Improvement Register • Evaluation analysis form • General course evaluation • Mid-course evaluation • Analysis of feedback from all courses on scope of registration 	<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"> • Learning and Assessment policy & procedure • Creation of a training program and plan policy and procedure <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Industry consultation is detailed on the strategy</p>	<p>No rectification required.</p>	

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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>Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited courses and the RTO's own training and assessment strategies.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Learning and Assessment policy & procedure • Creation of a training program and plan policy and procedure <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate III in Early childhood education and care <p>Validation schedule</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • TAE40110 Certificate IV in Training and Assessment <p>Forms</p> <ul style="list-style-type: none"> • Assessment matrix • Validation form • Session plan • Assessment • Trainers Guide • Unit outcome report • Assessment submission checklist • Power point presentation • Learner resource/textbook <p>CHC30113 Certificate III in Early childhood education and care</p> <ul style="list-style-type: none"> • Practical placement logbook • Supervisor log book • Trainer Assessor logbook 	
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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			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.			
SF1.4.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with Element 1.4.</p> <p>While staff had professional development logs that included some VET sector development, it was found that more targeted PD could be done to develop Vocational Education and Training (VET) knowledge and skills.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Staff Recruitment and induction policy and procedure • Position Descriptions • Staff induction checklist • Staff/Trainer Handbook <p>Trainer Files</p> <ul style="list-style-type: none"> • Jenn Dodds • Karen Gibson • Maree Morgan • Simone Van Bergen • Heather Chambers 	<p>No rectification required.</p>

Improvement Opportunities
<p>It is suggested that the RTO add the requirement to undertake professional development in the three key areas to their staff/trainer handbook particularly in regard to developing VET sector capability.</p>

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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.			
SF1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Element 1.5.</p> <p>Assessment to support the unit SITXFSA101 Use Hygienic practices for food safety does not meet the requirements of the relevant Training Package and unit of competency.</p> <p>In particular the unit requires the delivery and assessment to occur in a commercial kitchen or close approximation. This can be a:</p> <ul style="list-style-type: none"> • Real industry workplace • Simulated industry environment such as a training kitchen servicing customers <p>This environment must include an operational commercial food preparation area, bar or kitchen with the fixtures, large and small equipment and workplace documentation defined in the Assessment Guidelines.</p> <p>Assessment tools provided for this unit consisted of a written test. While trainer observations and class participation were listed as methods of assessment there were no supporting tools.</p> <p>The unit requires candidates to integrate the use of</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Learning and Assessment policy & procedure • Creation of a training program and plan policy and procedure <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate III in Early childhood education and care <p>Validation schedule</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood 	<p>Actions:</p> <ul style="list-style-type: none"> • The RTO should revise the assessment tools and processes for SITXFSA101 Use Hygienic practices for food safety to make sure they meet the • Requirements of the relevant Training Package and unit of competency.

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<p>predetermined hygiene procedures and food safety practices within day-to-day food handling work functions. It also requires the integration of the basic aspects of food safety standards and codes into daily work activities. This is not evident in the assessment tools and processes.</p> <p>The assessment must also involve the student is food preparation using food ingredients and ready to eat food items.</p>	<p>education and care</p> <ul style="list-style-type: none"> • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Forms</p> <ul style="list-style-type: none"> • Assessment matrix • Validation form • Session plan • Assessment • Trainers Guide • Unit outcome report • Assessment submission checklist • Power point presentation • Learner resource/textbook <p>CHC30113 Certificate III in Early childhood education and care</p> <ul style="list-style-type: none"> • Practical placement logbook • Supervisor log book • Trainer Assessor logbook <p>Units audited</p> <ul style="list-style-type: none"> • AHCPGD201A Plant trees and shrubs • AHCNSY201A Pot up plants • SITXFSA101 Use Hygienic practices for food safety • CHCECE003 Provide care for children • CHCECE005 Provide care for babies and toddlers 	
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	<ul style="list-style-type: none"> • CHCECE006 Support behaviour of children and young people • TAEDES401A Design and develop learning programs • TAELLN 411 Address adult language, literacy and numeracy skills • HLTAID003 Provide First Aid <p>Student files</p> <ul style="list-style-type: none"> • Lorendana Dowdle 	
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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 enrolment policy & procedure • Student information booklet • Course enrolment form • Expression of interest • Eligibility and student declaration 2015 • LLN Questions sheet • Payment plan • Fees and charges policy and procedure • Student welfare and referral policy and procedure • Pre-training review – foundation skills 	<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"> • Planning and Evaluation policy and procedure • Continuous Improvement Policy & Procedure • Quality Indicators Policy and Procedure • HESG Internal Audit • Validation schedule • Continuous Improvement Register • Evaluation analysis form • General course evaluation • Mid-course evaluation • Analysis of feedback from all courses on scope of registration 	<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.thelaurels.org.au <p>Student information booklet</p> <ul style="list-style-type: none"> • Philosophy & management • Victorian funding • Student information • Application process • LLN • Code of conduct • OHS • Student Administration • Change of personal information • attendance • Practical placement • Insurance • Course delivery • Course evaluation and feedback • Trainer Requirements • Marketing and Recruitment • Learning outcome assessment • Recognition of Prior Learning • Credit transfer • What is a competency • Assessment procedures 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none"> • Academic misconduct • Students with special needs • Access and equity • Confidentiality and privacy • Complaints and appeals procedure • General information 	
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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 at audit:</p> <ul style="list-style-type: none"> • Website: www.thelaurels.org.au • Student Handbook • Student induction session • Course Brochures • Student enrolment policy & procedure • Training plan 	<p>No rectification required.</p>	

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 Information booklet • Complaints and appeals policy and procedure • Assessment Appeals procedure • Continuous Improvement Register • Evaluation analysis form • General course evaluation • Mid-course evaluation • Analysis of feedback from all courses on scope of registration 	<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 at audit:</p> <ul style="list-style-type: none"> • Student enrolment policy & procedure • Student information booklet • Course enrolment form • Expression of interest • Eligibility and student declaration 2015 • LLN Questions sheet • Payment plan • Fees and charges policy and procedure 	<p>No rectification required.</p>	

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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 at audit:</p> <ul style="list-style-type: none"> • Policy and procedure review schedule • Quality Management Policy and Procedure • Risk Management policy and procedure • AQTF Risk Management policy and Procedure • Compliance with QATF Standards, VRQA Guidelines and Legislative Requirements Policy and procedure • Learning and Assessment policy and procedure • Planning and Evaluation policy and procedure • Continuous Improvement Policy& Procedure • Quality Indicators Policy and Procedure • HESG Internal Audit • Validation schedule • Continuous Improvement Register • Evaluation analysis form • General course evaluation • Mid-course evaluation • Analysis of feedback from all courses on scope of registration 	<p>No rectification required.</p>	

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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 at audit:</p> <ul style="list-style-type: none"> • Version control for Course Documentation • VET Trak Student Management System • Records Management Policy & procedure • Archiving policy and procedure • Issuing AQF Qualifications policy and procedure • Student enrolment policy & procedure • Student information booklet • Course enrolment form • Expression of interest • Eligibility and student declaration 2015 • Business plan 2013 – 2015 • AQTF Risk Management policy and Procedure • Pre-training review – foundation skills policy and procedure • Validation and Moderation policy and procedure 	<p>No rectification required.</p>	

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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"> • Staff Recruitment and induction policy and procedure • Position Descriptions • Staff induction checklist • Staff/Trainer Handbook <p>Trainer Files</p> <ul style="list-style-type: none"> • Jenn Dodds • Karen Gibson • Maree Morgan • Simone Van Bergen • Heather Chambers 	<p>No rectification required.</p>	

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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.			Compliant
GF2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Compliant with Guideline 2.1.</p> <p>The RTO monitors course quality.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Validation and Moderation policy and procedure • Assessment validation checklist • Validation schedule TAE40110 • Validation schedules CHC30113 • Validation schedule CHC30212 • Validation schedule CHC30312 • Validation schedule AHC20410 • Validation schedule SFL20110 • Validation schedule CHC20112 • Validation schedules 22235VIC • Validation schedule for individual units 	<p>No rectification required.</p>
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.			Non-Compliant
GF2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with Guideline 2.2.</p> <p>The RTO's academic misconduct policy does not define cheating and plagiarism. It does include the 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"> • Academic misconduct policy and procedure • Student information booklet 	<p><u>Actions:</u></p> <ul style="list-style-type: none"> • The RTO should revise their Academic misconduct policy to ensure it includes a definition of cheating and plagiarism.

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GUIDELINE 2.3 - The provider must demonstrate that they can provide quality education and training to students			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
<p>The RTO is Compliant with Guideline 2.3.</p> <p>The RTO has policies and procedures in place for the retention unit of competency training and assessment information *for a minimum of 1 year post completion of the unit, including mechanisms for the retention of master resources.</p> <p>The RTO retains sufficient samples of student's assessment to demonstrate that quality education and training has occurred.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Quality Management Policy and Procedure • VET Trak Student Management System • Records Management Policy & procedure • Archiving policy and procedure • Issuing AQF Qualifications policy and procedure • Version control for Course Documentation • Student enrolment policy & procedure • Student information booklet • Course enrolment form • Expression of interest • Eligibility and student declaration 2015 • Business plan 2013 – 2015 • AQTF Risk Management policy and Procedure • Pre-training review – foundation skills policy and procedure • Validation and Moderation policy and procedure • Maintaining scope of registration Policy and procedure • Validation and Moderation policy and procedure • Assessment validation checklist • Validation schedule TAE40110 • Validation schedules CHC30113 • Validation schedule CHC30212 • Validation schedule CHC30312 • Validation schedule AHC20410 	<p>No rectification required.</p>	

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	<ul style="list-style-type: none">• Validation schedule SFL20110• Validation schedule CHC20112• Validation schedules 22235VIC• Validation schedule for individual units	
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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"> • Evacuation policy and procedure • Student information booklet • OH & S Policy • Risk Management policy and procedure • AQTF Risk Management policy and procedure • Quality Management policy and procedure • Access and Equity policy and procedure • Code of Conduct policy and procedure • Managing diversity policy and procedure • Protecting your Privacy Policy and Procedure • Equal Opportunity policy and procedure • Staff Handbook <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate III in Early Childhood education and 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 at audit:</p> <ul style="list-style-type: none"> • Evacuation policy and procedure • Student information booklet • OH & S Policy • Risk Management policy and procedure • AQTF Risk Management policy and procedure • Quality Management policy and procedure • Access and Equity policy and procedure • Code of Conduct policy and procedure • Managing diversity policy and procedure • Protecting your Privacy Policy and Procedure • Equal Opportunity policy and procedure • Staff Handbook <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate in Early Childhood education and 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
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"> • Evacuation policy and procedure • Student information booklet • OH & S Policy • Risk Management policy and procedure • AQTF Risk Management policy and procedure • Quality Management policy and procedure • Access and Equity policy and procedure • Code of Conduct policy and procedure • Managing diversity policy and procedure • Protecting your Privacy Policy and Procedure • Equal Opportunity policy and procedure • Staff Handbook <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate in Early Childhood education and 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
Finding	Evidence/Documentation Reviewed	Required Rectification(s)
<p>The RTO is Compliant with this aspect of Guideline 5.1.</p> <p>The RTO has comprehensive delivery and assessment plans for each qualification that indicates the modes of delivery and specifies the extent of work based and on-line or self-paced training and assessment.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Learning and Assessment policy & procedure • Creation of a training program and plan policy and procedure <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate III in Early childhood education and care <p>Validation schedule</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Forms</p> <ul style="list-style-type: none"> • Assessment matrix • Validation form 	<p>No rectification required.</p>

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	<ul style="list-style-type: none"> • Session plan • Assessment • Trainers Guide • Unit outcome report • Assessment submission checklist • Power point presentation • Learner resource/textbook <p>CHC30113 Certificate III in Early childhood education and care</p> <ul style="list-style-type: none"> • Practical placement logbook • Supervisor log book • Trainer Assessor logbook 		
GF 5.1.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with this aspect of Guideline 5.1.</p> <p>While the units audited were supported by a Unit outcome report and an Assessment submission checklist. There were no individual record sheets for each assessment task.</p> <p>TAELLN 411 Address adult language, literacy and numeracy skills</p> <p>The Assessment tasks for this unit include written questions and an assignment that requires the candidate to determine the LLN requirements for a unit of competency and to develop the supporting learning and assessment strategies to support the identified learner.</p>	<p>Evidence reviewed at audit:</p> <ul style="list-style-type: none"> • Occupancy permit – 11/12/01 • Occupancy permit 28/7/10 • CFA Fire extinguisher assessment • Asset Register • Learning and Assessment policy & procedure • Creation of a training program and plan policy and procedure <p>Training and assessment strategy:</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment 	<p>Actions:</p> <ul style="list-style-type: none"> • The RTO should make sure that each individual assessment task is supported by record sheet. • The RTO should revise the instructions to the students for the assessment tasks to support the TAELLN 411 Address adult language, literacy and numeracy skills. The revised instructions to the student must clearly state the specific evidence requirements. These could also be added to the Assessment submission sheet.

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<p>While the marking guide includes a cut and paste of the assessment requirements the instructions to the student do not clearly specify the requirements to :</p> <ul style="list-style-type: none"> • Identify available sources of support to address at least two of the identified LLN skill needs of the learner group • Customise and use at least two learning resources to address LLN requirements • Select, use and review at least two instructional strategies that directly address the identified LLN needs of the learner group • Use advice from specialist LLN practitioners to inform practice • Select, use and review at least two assessment strategies that cater for the identified LLN needs of the learner group <p>The Assessment submission sheet only refers to two learning resources. It is recommended that the RTO revise the instructions to the student to make sure the specific evidence requirements are clearly stated.</p>	<p>Timetable and Training plan</p> <ul style="list-style-type: none"> • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment • CHC30113 Certificate III in Early childhood education and care <p>Validation schedule</p> <ul style="list-style-type: none"> • CHC30113 Certificate III in Early childhood education and care • HLTAID003 Provide First Aid • SITXFSA101 Use Hygienic practices for food safety • AHC20410 Certificate II in Horticulture • TAE40110 Certificate IV in Training and Assessment <p>Forms</p> <ul style="list-style-type: none"> • Assessment matrix • Validation form • Session plan • Assessment • Trainers Guide • Unit outcome report • Assessment submission checklist • Power point presentation • Learner resource/textbook <p>CHC30113 Certificate III in Early childhood education and care</p> <ul style="list-style-type: none"> • Practical placement logbook • Supervisor log book • Trainer Assessor logbook 	
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GF 5.1.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	<p>The RTO is Non-Compliant with this aspect of Guideline 5.1.</p> <p>The practical placement for the Certificate III in Early Childhood Education and Care is supported by a Supervisor Log book, a student placement book and a Trainer/assessor logbook.</p> <p>The Supervisor Log book does not contain any instructions on how this is to be completed. It asks the supervisor if they have observed or discussed with the student a list of items based on the elements from each unit of competency. There is no explanation for how the supervisor is to answer, particularly if they have not observed or discussed the item?</p> <p>The RTO should review this logbook to include instructions to the Supervisor.</p> <p>The Trainer/assessor log book does not include decision making rules or mechanisms for recording observations where – at least 3 different babies or toddlers need to be observed. Decision making rules are a guide to what the assessor should expect to see. They also support reliability of assessment tools to make sure that consistent assessment decisions are made across assessors.</p> <p>For example the log book includes the question:</p> <p>'Does the student implement safe sleep practices and implement quality sleeping environments in consultation</p>		<p><u>Actions</u></p> <ul style="list-style-type: none"> • The RTO should revise the supervisor log book to make sure it contains clear instructions on how the log book is to be completed. • The RTO should revise the trainer/assessor log book to make sure it contains benchmarks to guide the assessor decision making. • The RTO should also consider how the layout of the record book can be improved to support the recording of observation of the candidate working with the 3 different babies and toddlers.

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<p>with families? This must be observed with at least 3 different babies or toddlers.' Decision making rules would provide a list of the minimum safe sleep practices that the assessor should expect to see or discuss in order to deem the performance satisfactory. The RTO should also consider how the layout of the record book can support the recording of the 3 different babies and toddlers.</p>		
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Improvement Opportunities

In the assessor guide to support the Certificate II in Horticulture where the answer will vary according to individual choice or workplace, good practice would still include an example of a possible response, rather than not providing any response. This then provides a guideline or benchmark for the assessor to make their judgement.