

Audit Date: 3/4 December 2019

RTO: Angliss Neighbourhood House Inc.

Applicant Details			
Applicant Name	Angliss Neighbourhood House Inc.	TOID	6389
Address	2/11 Vipont St., Footscray VIC 3011		
	Website	www.anglissnh.net.au	
Registration Contact	Ms Meg Higgins		
Phone Number	(03) 9687 9908	Email	meg@anglissnh.net.au
Audit Team			
Audit Firm	ShineWing Australia	Auditor/s	John Molenaar
Auditor/s		Other Attendees	Meg Higgins, Coordinator Jenny Penfold, Education Coordinator
Registering Body Details			
Contact Person	Julie Florence		
Phone Number	9032 1560	Email	vet.audit@edumail.vic.gov.au
Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.4
2016 VRQA Guidelines Audited	3.1, 3.2	4.1,4.2	
Audit Date/s	3/4 December 2019		
RTO Background			
<p>Angliss Neighbourhood House (ANH) is an incorporated, not-for-profit organisation managed and operated by a community-based board of management for the benefit of the community. Established in 1981, ANH is a registered training provider delivering adult, community and further education programs and vocational training.</p> <p>Angliss Neighbourhood House provides a range of programs, classes and activities for local residents and the wider community. It involves people from the community in all aspects of these programs and in the management of the House. ANH offers language and literacy pre-accredited and accredited courses, assessments, curriculum and resource development, public internet access and room hire.</p> <p>ANH House is situated within the City of Maribyrnong and receives support and funding from the Department of Education and Early Childhood Development, Adult Community and Further Education Board, the Department of Human Services, State Government Higher Education and Skills Group and the City of Maribyrnong.</p> <p>ANH delivers training to people from Footscray, St Albans and Port Melbourne, and includes a diversity of cultures, predominately Vietnamese. Students are from a CALD background and include asylum seekers,</p>			

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physically and intellectually disabled, mature age learners and people seeking to develop skills for employment.

The centre delivers accredited programs to approximately 20 students each year and non-accredited programs to about 50 students per year. Non-accredited programs include computer/IT skills classes, conversation classes and a book club.

Staff at the centre includes a part time coordinator, education coordinator and administration support and one trainer for accredited courses. Facilities are provided by the Department of Housing with the ANH paying for all service costs.

Summary of audit findings

The audit identified that ANH has employed a well-qualified, experienced and passionate trainer who has delivered sound training and conducted realistic assessment. The trainer maintained comprehensive notes on each learner's progress, identified ongoing learner support needs and student support provided.

One minor area of non-compliance was identified, at Standard 2.2, where the RTO had not implemented a strategy for the collection of data for the continuous improvement of student support services.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
22484VIC	Certificate I in EAL (Access) Units: VU22593 Read and write simple messages and forms - core VU22596 Use basic digital technology language and skills - elective	2/11 Vipont St., Footscray VIC 3011
22485VIC	Certificate II in EAL (Access) Units: VU22603 Read and write simple personal communications and transactional texts - core VU22608 Explore transport options – elective	2/11 Vipont St., Footscray VIC 3011

Interviewee(s) – Staff name and position; employer name and position	
Jenny Penfold	Trainer/assessor: Certificate I in EAL (Access) Certificate II in EAL (Access)
Class of twelve students	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	
Training is delivered at: 2/11 Vipont St., Footscray VIC 3011		

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

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

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Audit Summary - AQTF Conditions of Registration

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

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non-Compliant	Not audited
Standard 1	X		
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies	X		
1.3 – Training and Assessment Resources	X		
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies	X		
Standard 2		X	
2.1 – Meeting the Needs of Clients	X		
2.2 – Continuous Improvement of Client Services		X	
2.3 – Provision of Information to Clients	X		
2.4 – Third-Party Engagement in Training and Assessment	X		
2.5 – Provision of Support Services to Clients	X		
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy	X		
Standard 3	X		
3.1 – Operations Management	X		
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management	X		
Summary of Non-Compliance²			
SF.2.2.1			
Angliss Neighbourhood House Inc. had not systematically collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs.			

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

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non-Compliant	Not audited
1. Governance, Financial viability and Management systems			X
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			X
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)	X		
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services	X		
4.1 – Training and assessment practices	X		
4.2 – Amount of training	X		
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			X
5.1 – Annual Declaration of Compliance			X

Detailed Findings - AQTF Conditions of Registration

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

CONDITION 3 - Compliance with Legislation		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Policy and Procedures Manual • Website • Staff Handbook • Student Handbook • Tutor Induction Kit • Tutor Position Descriptions and Contracts 		
CF.3.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. had identified and implemented relevant Commonwealth, State or Territory legislation and regulatory requirements that were relevant to its operations and its scope of registration. It ensured that its staff and clients were fully informed of these requirements that affected their duties or participation in vocational education and training through the Student Handbook.</p>	N/A

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

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

CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Record Management Policy. • Certificate Register. • Certification and Issuing of Qualifications and Statements of Attainment Procedure. • Statement of Attainment – issued to Jenny Djordjevic • Easy Stats. • Register of certificates issued. • Record Management Policy. • Easy Stats – records of AVETMISS compliant data. • Samples of monthly SVTS reports submitted. • Enrolment Form • Student Information Sheet (simplified) USI information • Student Handbook – USI information • Easy Stats – records of student USI numbers 		
CF.6.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. had issued testamurs in accordance with the requirements of the Training Package that met the Australian Qualifications Framework (AQF) TGA. The testamurs included the Nationally Recognised Training (NRT) logo in accordance with the current conditions of service.</p> <p>Only one full Certificate had been issued in 2020. It was noted that the Certificate issued include a statement about Employability Skills with a web address that was no longer current. This was deleted from the template Certificate at the time of audit.</p>	N/A

The certificate issued was not accompanied by a Record of Results. This was rectified at the time of audit and the student was re-issued with a modified Certificate that included a Record of Results and had the Employability Skills statement deleted.		
CF.6.2.	Finding	Required Rectification(s)
Angliss Neighbourhood House Inc. had confirmed that it would retain client records of attainment of units of competency and qualifications for a period of 30 years.		N/A
CF.6.3.	Finding	Required Rectification(s)
Angliss Neighbourhood House Inc. had a student records management system in place that had the capacity to provide the registering body with AVETMISS compliant data.		N/A
CF.6.4.	Finding	Required Rectification(s)
Angliss Neighbourhood House Inc. had provided a return of its client records of attainment of units of competency and qualifications to the VRQA for 2019 through monthly SVTS reporting.		N/A
CF.6.5.	Finding	Required Rectification(s)
Angliss Neighbourhood House Inc. met the requirements for implementation of a national unique student identifier.		N/A

CONDITION 7 - Recognition of Qualifications Issued by other RTOs		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Recognition of Prior Learning Policy and Procedures. • Student Handbook – National Recognition of qualifications and credit transfer. 		
CF.7.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. had procedures in place for the recognition of AQF Qualifications and Statements of Attainment issued by any other RTO. Students were informed in the Student Handbook.</p> <p>It was noted that no students had applied for Credit Transfer and RPL as all students were enrolled in entry level foundation skill courses and had not completed previous accredited learning in Australia.</p>	N/A

CONDITION 8 - Accuracy and Integrity of Marketing		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Website Course Brochure – Training Guide – included information about the course delivery and assessment. Included all required information. • Semester Brochure • Pre-enrolment interview materials and verbal clarification 		
CF.8.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had ensured that its marketing and advertising of AQF qualifications to prospective clients was ethical, accurate and consistent with its scope of registration. The NRT logo was employed in accordance with its conditions of use.	N/A

CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Continuous Improvement Register • Scope of Registration Folder • Course Curriculum Folders • Policy and procedure – arrangements for accredited courses 		
CF.9.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had provisions in place for the management of the transition from superseded Training Packages within 12 months of their publication on the TGA.	N/A
Improvement Opportunities		
Though Angliss Neighbourhood House Inc. does not currently have Training Packages qualifications on its Scope of Registration, Angliss Neighbourhood House Inc. would benefit by including in the Policy and Procedure – arrangements for accredited courses, a statement that confirms that the RTO will management the transition from superseded Training Packages within 12 months of their publication on the TGA.		

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Continuous improvement register that identified improvements to course materials. • Education based continuous improvement role and register maintained by the Education Coordinator. • Sample of completed student Quality Indicator surveys. • Quality Indicator and outcomes report sent to the VRQA – February 2019. 		
SF.1.1.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. collected, analysed and acted on relevant data for continuous improvement of training and assessment.	N/A

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		Compliant
Evidence/Documentation Reviewed		
<p>Learning and assessment strategies for the following qualifications and units:</p> <p>22484VIC Certificate I in EAL (Access) Units: VU22593 Read and write simple messages and forms - core VU22596 Use basic digital technology language and skills - elective</p> <p>22485VIC Certificate II in EAL (Access) Units: VU22603 Read and write simple personal communications and transactional texts - core VU22608 Explore transport options – elective</p> <ul style="list-style-type: none"> • Training and Assessment Strategies: 22484VIC Certificate I in EAL (Access) Version 5 30/10/2018 22485VIC Certificate II in EAL (Access) Version 5 30/10/2018 • Course structure and course delivery plans identifying units and the unit content, nominal hours and assessment methods. • Unit Session Plans 		
SF.1.2.1	Finding	Required Rectification(s)
	Strategies for training and assessment met the requirements of the relevant accredited course and were developed in consultation with industry.	N/A

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.		Compliant
Evidence/Documentation Reviewed		
<p>Staff, facilities, equipment and training and assessment materials for the following qualifications and units:</p> <p>Facilities:</p> <ul style="list-style-type: none"> • Large training room – 20 students • Small meeting/interview room 6 - 8 students • Computer lab – nine computers • Activities room • Staff preparation • Reception/office. 		
SF.1.3.1	Finding	Required Rectification(s)
	Staff, facilities, equipment and training and assessment materials used by the RTO were consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.	N/A

<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>		<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>		
<p>Trainer/assessor information for the following qualifications and units:</p> <p>22484VIC Certificate I in EAL (Access) Units: VU22593 Read and write simple messages and forms - core VU22596 Use basic digital technology language and skills - elective</p> <p>22485VIC Certificate II in EAL (Access) Units: VU22603 Read and write simple personal communications and transactional texts - core VU22608 Explore transport options – elective</p> <p>Trainer/assessor: Jenny Penfold Personnel File</p>		
<p>SF.1.4.1</p>	<p>Finding</p>	<p>Required Rectification(s)</p>
<p>Training and assessment was delivered by a trainer and assessor who had the necessary training and assessment competencies and the relevant vocational competencies, consistent with the requirements of the accredited courses and could demonstrate current industry skills directly relevant to the training/assessment being undertaken. The trainer had continued to develop her Vocational Education and Training (VET) knowledge and skills as well as industry currency and trainer/assessor competence.</p>		<p>N/A</p>

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As a sustainability provision, the House had identified an alternative trainer/assessor who could deliver training under supervision and did not conduct assessments.	
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<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	Compliant
Evidence/Documentation Reviewed	
<p>Assessment strategies for the following qualifications and units: 22484VIC Certificate I in EAL (Access) Units: <i>VU22593 Read and write simple messages and forms – core</i> <i>VU22596 Use basic digital technology language and skills - elective</i> Enrolled student files reviewed:</p> <ul style="list-style-type: none"> • Quang Huu Ho • Tieu Anh Ha • Thai Luan Dinh • Thi Thanh Dan Tran (Dan) • Jasminka Stojkova • Tam Ngoc To <p>Files included:</p> <ul style="list-style-type: none"> • Foundation Skills Pre-training Assessment • Foundation Skills Pre-training Assessment Tool for students in EAL • ASCF Level 1 Integrated tasks • Individual Training Plan 2019 • Statement of Fees • Unit of competency summary record sheet June 2019 • Unit result - competent 	

VU22596 Use basic digital technology language and skills – elective

Completed student assessments:

- Tieu Anh Ha - C June 2019
- Thai Luan Dinh - C June 2019
- Thi Thanh Dan Tran (Dan) - Task A, not Task B, June 2019

Student files included:

- Unit of competency summary record sheet June 2019
- Unit result - competent
- Ticks against unit elements S/NYS - not attempted
- Assessment task coversheet
- Task A - Label, match criteria, safe work practices, read instructions, listening
- Task B - Identify computer parts
- Notes by the assessor on the task forms

VU22608 Explore transport options

Assessment tasks:

- Task A Public transport
- Task B Driving and riding in Australia

Student completed assessments:

- Tieu Anh Ha
- Thai Luan Dinh - C June 2019
- Thi Thanh Dan Tran (Dan) - Task A, not Task B, June 2019

22485VIC Certificate II in EAL (Access)

Units:

VU22603 Read and write simple personal communications and transactional texts – core

Assessment tasks:

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- Task A Absent from school phone message
- Task B Absent from school – writing an email
- Task C Centrelink form

Completed student assessments:

- Assimo Lagoudakis (Mina)
- Chi Nguyen - C June 2019
- Intisar Shabri - C June 2019
- Jenny Djordjevic - C June 2019
- Tri Tai Phan - C June 2019
- My Kieu Luong - C June 2019

VU22608 Explore transport options – elective

Task A Public transport

Task B Driving and riding in Australia

Completed student assessments:

- Assimo Lagoudakis (Mina)
- Chi Nguyen - C June 2019
- Intisar Shabri - C June 2019
- Jenny Djordjevic - C June 2019
- Tri Tai Phan - NYC June 2019, Task B NYC
- My Kieu Luong - C June 2019

Validation Plan 2018 – course transition

Validation Plan 2019 – 2023

Files of completed assessment validations for 2018 and 2019

ThinkWest Task Bank amendments register

SF.1.5.1	Finding	Required Rectification(s)
	<p>Assessments met the requirements of the relevant accredited course and were conducted in accordance with the principles of assessment and the rules of evidence, met the workplace regulatory requirements and were systematically validated.</p> <p>Students were supported in the completion of assessment tasks, consistent with the course assessment requirements.</p> <p>It was noted that the trainer/assessor maintained comprehensive notes on each student's completed assessments, identifying learner progress, support accessed and support to be provided for further learning.</p>	<p>N/A</p>

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Pre-enrolment interview template • Pre-enrolment interview • Samples of completed forms maintained on student files reviewed (X 11) • Skills First eligibility assessment forms • Samples of trainer/assessor comments on student performance and support accessed - maintained on student files (X 11) • Student Handbook – Student Safety and Welfare/Student Support. • Student Information Sheet (simplified) 		
SF.2.1.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. had established the needs of clients and delivered services to meet these needs. An individualised approach to supporting each learner was adopted to ensure that each learner was supported to progress at their own pace. The trainer/assessor maintained comprehensive notes on each learner's progress and areas of support needed.</p>	N/A

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Non-Compliant
Evidence/Documentation Reviewed		
No evidence of the strategy for obtaining feedback on the effectiveness of student support services.		
SF.2.2.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had not systematically collected data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services met student needs	Angliss Neighbourhood House Inc. is required to develop and implement a systematic approach to the collection of data for the continuous improvement of client services to enable the analysing and acting upon relevant information to ensure that student services meet student needs.
Improvement Opportunities		
Angliss Neighbourhood House Inc. would benefit from conducting periodic focus groups with a selection of learners to discuss a range of areas, including student support services, to identify what works for the learners, how services may be improved and to identify additional services that may be of benefit to learners.		

2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Pre-training interview • Course information • Website • Eligibility interview 		
SF.2.3.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had provided sufficient information, before students enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations.	N/A

2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Training and Assessment Strategies – industry consultations. • ThinkWest Task Bank amendments register 		
SF.2.4.1	Finding	Required Rectification(s)
	The employer contributed to each learner's training and assessment through initial course development and local support organisation provide input to employment opportunities for early foundation skills learners.	N/A

2.5 - Learners receive training, assessment and support services that meet their individual needs.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Students interviewed: 12 students Certificate I and Certificate II EAL. • Student file notes – comprehensive notes maintained by the trainer/assessor on student progress and support provided. • Individual training plans (for eleven student files reviewed). 		
SF.2.5.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.	N/A

2.6 - Learners have timely access to current and accurate records of their participation and progress.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Handbook 'Your rights as a student in Australia'. • Student Information Sheet (simplified) – Access to your records. 		
SF.2.6.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.	N/A

2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Student Handbook - Complaints, Compliments and Appeals Procedure • Student information sheet – simplified • Complaints and Appeals Procedure – included informal, formal, appeal and external including the VRQA • Complaints register – no entries, handled informally 		
SF.2.7.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. provided appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively. The complaints and appeals procedures included procedures for students to appeal a complaints decision and the source for an independent external mediator was identified.</p> <p>Most concerns were handled through informal discussions and issues resolved informally.</p> <p>It was noted that learners interviewed were very vocal and keen to express their ideas and opinions, confirming that an environment of open discussion, review and recommendations was cultivated.</p>	N/A

3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • QMS – policies and procedures • Student Handbook • Code of Practice • Handout: 'Your rights as a student in Australia' • Enrolment Form (Completed forms sighted for 11 student files reviewed) • Individual Student Training Plans (Completed plans sighted for 11 student files reviewed) • Trainer/assessor information 		
SF.3.1.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. management of its operations ensured clients received the services detailed in their agreement with the RTO.	N/A

3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • HESG Audit Report June 2019 • Angliss Neighbourhood House Internal Audits Report September 2019 • Continuous Improvement Register 		
SF.3.2.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. used a systematic and continuous improvement approach to the management of operations.	N/A

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

3.4 - The RTO manages records to ensure their accuracy and integrity.		Compliant
Evidence/Documentation Reviewed		
<ul style="list-style-type: none"> • Completed sample of Student Records Checklist. • Record Management Policy: <ul style="list-style-type: none"> Roles and responsibilities: <ul style="list-style-type: none"> – Training and Assessment Records Procedures for managing, retaining and archiving: <ul style="list-style-type: none"> – Compliance Records – Business Records – Electronic Records – Paper-based Records • Version control application to footers of all documents sighted – Version Number, Date, Review Date, Authorisation • Document Register • Policy and Procedures Manual 		
SF.3.4.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. managed records to ensure their accuracy and integrity.	N/A

Detailed Findings – 2016 VRQA Guidelines for VET Providers

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

Audit Date: 3/4 December 2019

RTO: Angliss Neighbourhood House Inc.

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

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

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

**Not Audited in
Phase 2 audit**

Not audited as part of this Re-registration Audit.

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

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

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

GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:		Not audited
<ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 		
Evidence/Documentation Reviewed		
<p>Angliss Neighbourhood House Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		
GF 2.2.1	Finding	Required Rectification(s)
<p>Angliss Neighbourhood House Inc. had not entered into third party agreements for the delivery and assessment of qualifications, units or courses.</p>		<p>N/A</p>

Audit Date: 3/4 December 2019

RTO: Angliss Neighbourhood House Inc.

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

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

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

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

Audit Date: 3/4 December 2019

RTO: Angliss Neighbourhood House Inc.

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

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

<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.1.1	Finding	Required Rectification(s)
	A review of trainer/assessor information confirmed that training and assessment was conducted by trainers/assessors who had vocational competencies to meet the requirements identified in course documentation and maintain current industry skills directly relevant to the training and assessment related to foundation qualifications, and current knowledge and skills in vocational training and learning that informed their training and assessment.	N/A

Audit Date: 3/4 December 2019

RTO: Angliss Neighbourhood House Inc.

GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.4		
GF 3.2.1	Finding	Required Rectification(s)
	Training and assessment was delivered by appropriately qualified trainers/assessors.	N/A

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

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

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

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.		Compliant
Evidence/Documentation Reviewed		
See Standard 1.2		
GF 4.1.1	Finding	Required Rectification(s)
	Angliss Neighbourhood House Inc. training and assessment strategies and practices, were not consistent with the course requirements however learners completed their course at their own pace and were provided with an additional duration if required, to enable each student to meet the requirements for each unit of competency in which the student was enrolled.	N/A

GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:		Compliant
<ul style="list-style-type: none"> a) the existing skills, knowledge and the experience of the student; b) the mode of delivery; and c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. 		
Evidence/Documentation Reviewed		
<p>See Standard 1.2</p>		
GF 4.2.1	Finding	Required Rectification(s)
	<p>Angliss Neighbourhood House Inc. identified a duration for each qualification reviewed which was a shorter duration than the nominal hours for units, as identified in course documentation. It had determined the amount of training it provided to each student with regard to the existing skills, knowledge and the experience of the student and the mode of delivery, through all learners being provided with additional time to complete their course.</p>	<p>N/A</p>
Improvement Opportunities		
<p>Angliss Neighbourhood House Inc would benefit by developing a rationale for the amount of training it provides for each learner, linking the course entry requirements, selection criteria, mode of delivery, including class size and access to tutors, student support available for the existing skills, knowledge and the experience of the student to confirm that the amount of training that each learner receives is consistent with the needs of each learner.</p>		

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

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

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

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

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

Not audited as part of this Re-registration audit.

GF 4.7	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A

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

Not audited as part of this Re-registration audit.

GF 5.1	Finding	Required Rectification(s)
	Not audited as part of this Re-registration audit.	N/A