



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

Audit Date: 25th – 26th March 2015

Applicant: Williamstown Community and Education Centre Inc

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.			Required Rectification(s)	Non-Compliant
SF.1.3.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
	Gaps in assessment materials were noted across sampled units/modules – Refer Standard 1.5 and Guideline 5.1 for further details.	22235VIC Certificate I in General Education for Adults (Introductory); 22251VIC Certificate II in EAL (Access); 22257VIC Certificate IV in EAL (Employment/ Professional), and 22250VIC Certificate I in EAL (Access) assessment materials - Verbal discussions with Education Coordinator.	WCEC is required to develop and implement a full suite of assessment materials for all units of competency/modules.	
SF.1.3.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
	Training, learning and assessment materials were not in place for BSBITU304A Produce spreadsheets.	Nil	WCEC is required to develop and implement a full suite of training, learning and assessment materials for all units of competency/modules including BSBITU304A.	
SF.1.3.3	Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
	Offers for or employment of training and assessment staff for the 22257VIC Certificate IV in EAL (Employment/ Professional), and 22250VIC Certificate I in EAL (Access) were not in place.	22257VIC Certificate IV in EAL (Employment/ Professional), and 22250VIC Certificate I in EAL (Access) Training and Assessment Strategy. - Verbal discussions with Education Coordinator	WCEC is required to ensure that all program offerings are appropriately staffed by suitably qualified trainers and assessors. Where a course is currently not being offered, letters of offers and acceptances of employment or similar should be in place.	



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ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:			Non-Compliant
SF1.4.1 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
WCEC had employed sufficient trainers/assessors to support the provision of training and assessment services for 22235VIC and 22251VIC. Where required, appropriate training and assessment supervisory arrangements were in place. Training and assessment staff for 22257VIC and 22250VIC were not identified. Refer Standard 1.3 and Guideline 5.1 for detailed findings.	- Processes to ensure that training and assessment services were conducted by suitably qualified trainers were verbally outlined by the Education Coordinator. C. Hynes trainer file including resume, verified copy of qualification, letter of completion for TESOL qualification and evidence of ongoing professional development.	WCEC is required to ensure that all program offerings are appropriately staffed by suitably qualified trainers and assessors. Where a course is currently not being offered, letters of offers and acceptances of employment or similar should be in place.	
Improvement Opportunities			
SI.1.4 Evidence of certification and a transcript of results should be in place for all trainer and assessor qualifications. Letters of completion are to be used as an interim measure only.			



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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				Non-Compliant	
SF.1.5.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
22235VIC Certificate I in General Education for Adults (Introductory) Sampled units: VU21305 Create simple texts for employment purposes and VU21307 Work with money in simple familiar situations (clustered with VU21311)	- Assessment methods at unit level did not align with those identified in the Training and Assessment Strategy. - Assessment documentation was not complete (Refer to findings for Guideline 5.1).	- Assessment documentation for sampled units VU21305 and VU21307 - Verbal discussions with the Education Coordinator	In relation to 22235VIC assessment processes, tools and instruments, WCEC is required to: ensure assessment methods at unit level reflect those identified within the Training and Assessment Strategy.		
SF.1.5.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
22251VIC Certificate II in EAL (Access) Sampled units: VU21456 Participate in simple conversations and transactions and VU21461 Access the internet and email to develop language	- Assessment methods at unit level did not align with those identified in the Training and Assessment Strategy. - Assessment documentation was not complete	- Assessment documentation for sampled units VU21456 and VU21461 - Verbal discussions with the Education Coordinator	In relation to 22251VIC assessment processes, tools and instruments, WCEC is required to: ensure assessment methods at unit level reflect those identified within the Training and Assessment Strategy.		



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(Refer to findings for Guideline 5.1).			
SF.1.5.3	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
22257VIC Certificate IV in EAL (Employment/Professional) Sampled unit: BSBITU304A Produce spreadsheets Assessment processes and related assessment tools, instruments and documentation were not in place for BSBITU304A (Also refer 1.3.)		Nil	WCEC is required to develop and implement a full suite of assessment materials for all units of competency/modules including BSBITU304A.
SF.1.5.4	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
22257VIC Certificate IV in EAL (Employment/Professional) Sampled unit: VU21474 Analyse and participate in complex conversations - Assessment methods at unit level did not align with those identified in the Training and Assessment Strategy. - Assessment documentation was not complete (Refer to findings for Guideline 5.1).		- Assessment documentation for sampled unit VU21474 - Verbal discussions with the Education Coordinator	In relation to 22257VIC assessment processes, tools and instruments, WCEC is required to: ensure assessment methods at unit level reflect those identified within the Training and Assessment Strategy.
SF.1.5.5	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
22250VIC Certificate I in EAL (Access) Sampled units: VU21451 Participate in short simple exchanges Assessment methods at unit level did not align with		- Assessment documentation for sampled unit VU21451 - Verbal discussions with the Education Coordinator	In relation to 22251VIC assessment processes, tools and instruments, WCEC is required to: ensure assessment methods at unit level reflect those identified within the Training and Assessment



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those identified in the Training and Assessment Strategy.	Strategy.	
Assessment documentation was not complete (Refer to findings for Guideline 5.1).		
SF.1.5.6 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Within the RTO's policies and procedures there was a section related to validation, however this was limited to statements of intent. There were no systematic processes in place to manage assessment validation. RTO representatives indicated that validation was undertaken in conjunction with a local cluster of RTOs, however, of the units sampled only two had been validated.	- Verbal discussions with Education Coordinator - VU21456 and VU21451 validation reports	WCEC is required to develop and implement validation processes which ensure systematic validation of scope items and that improvements resulting from validation processes are actioned, and records of validation are retained.



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
2.1	The RTO establishes the needs of clients and delivers services to meet these needs.			
The RTO had established the needs of clients and delivered services to meet these needs.		- The systems the RTO had in place to establish the needs of clients, and the support services in place to meet the needs of clients, were verbally outlined by the Centre Manager and Education Coordinator. - Student Handbook	N/A	
Improvement Opportunities				
SL2.1		Review support services information provided to students, ensuring such information covers the full range of support services available internally and provides an overview of relevant external support services.		



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2.2 The RTO continuously improves client services by collecting, analysing and acting upon relevant data			Non-Compliant
SF 2.2.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	The RTO had not identified or implemented a strategy for the continuous improvement of client services by collecting, analysing and acting upon relevant data.	Nil	WCEC is required to develop and implement processes for the collection, analysis, action, recording and reporting of data related to client/support services.



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
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				
The RTO had provided sufficient information, before clients enrolled or entered into an agreement, about the training, assessment and support services to be provided and about their rights and obligations. For findings regarding pre-enrolment information for: • Support Services, refer Standard 2.1 • Cheating and plagiarism, refer Guideline 2.2		• Website • Course brochures • Student/Participant Information Handbook • Verbal discussion with Centre Manager and Education Coordinator	N/A	
Improvement Opportunities				
SI.2.3				
• Include processes to obtain a certificate reprint and information regarding disclosure of information/confidentiality arrangements within the Student Handbook.				



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
2.5 - Learners receive training, assessment and support services that meet their individual needs.				
The RTO had provided sufficient support to ensure that learners received training, assessment and support services that met their individual needs.		Refer Standard 2.1	N/A	



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
2.6- Learners have timely access to current and accurate records of their participation and progress				
The RTO had developed and implemented procedures to ensure that learners had timely access to current and accurate records of their participation and progress.		Student Handbook	N/A	
	Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Processes were in place to ensure accurate records of student participation were maintained.		- Record Management Policy - Student files for: 22250VIC - Angela Dang and Rosy Magdalena + Assessments for two units sighted 22251VIC – My Huynh Zhuoxin Sun	N/A	
Improvement Opportunities				
SI.2.6				
Within the Student Handbook include information about the process for students to access their records of participation and progress.				



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2.7 The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively			
SF.2.7.1	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Within the complaint section of the procedure, there was no: • Clear process for the management of complaint. • Information as to how the complainant would be notified of the outcome, or the timeframe for such notification.	• Complaints, Grievance and Appeals Procedure • Verbal discussion with Education Coordinator and Centre Manager	WCEC is required to undertake a full review of its complaint handling procedure and processes.
SF.2.7.2	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Within the appeal section of the procedure, there was no: • Clear process for the management of an appeal. • Information as to how the appellant would be notified of the outcome, or the timeframe for such notification. • Information regarding the appeal of an assessment decision and how this differed from a general appeal.	• Complaints, Grievance and Appeals Procedure • Verbal discussion with Education Coordinator and Centre Manager	WCEC is required to undertake a full review of its appeal handling procedure and processes.
SF.2.7.3	Finding	Evidence/Documentation Reviewed	Required Rectification(s)
	Complaints and appeals information provided to students was in overview only and did not provide clear and comprehensive information about the lodgement	• Student Handbook	WCEC is required to review complaints and appeals information provided to students via the Student Handbook, ensuring information regarding the



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and management of a complaint or appeal. Students were also not informed that they could escalate a complaint or appeal to the VRQA or National Training Complaints Hotline in the event that internal RTO processes had failed to resolve the matter to the student's satisfaction.		lodgement and management of a complaint or appeal is clear, comprehensive and sequential and includes escalation of a complaint or appeal to the VRQA or National Training Complaints Hotline.
SF.2.7.4 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
RTO staff were not informed of their role and responsibilities regarding complaints and appeals.	Nil	WCEC is required to develop and disseminate a communication strategy which informs staff of their roles and responsibilities related to complaints and appeals.

Improvement Opportunities

SL2.7

- Include processes for the management and confidentiality of documentation related to a complaint and appeal within the Complaints, Grievance and Appeals Procedure.



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
3.1 The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.				
The RTO had appropriate fee agreements in place.		- Centre generated receipt which included course title and amount paid. - Refund information noted on website, Enrolment Form, and Student Handbook.	N/A	



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
3.2 The RTO uses a systematic and continuous improvement approach to the management of operations				
The RTO had a range of strategies in place to support the continuous improvement of its operations and programs.		• Stakeholder feedback mechanisms • Continuous Improvement Policy • Continuous Improvement Register • Continuous Improvement Calendars Schedule 2015 • A staged internal audit conducted by the RTO management team was in progress. The internal audit commenced in January 2015.	N/A	



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3.4 The RTO manages records to ensure their accuracy and integrity			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
The RTO had relevant and sufficient record management systems in place that were commensurate with the scope and scale of its operations.	- Recordkeeping Policy and Procedure - Locked facilities for file storage. - Electronic data security measures verbally outlined by Centre Manager and Education Coordinator.	N/A	
Improvement Opportunities			
SI.3.4 Within the Record Management Policy information regarding retention and archive timeframes of various types of documentation, could be more clearly differentiated and specific.			



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Detailed Findings – VRQA Guidelines for VET Providers

GUIDELINE 1.3 The provider must provide information about its management systems			Non-Compliant
GF.1.3.1 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The trainer matrix did not map vocational competence or vocational experience to units of competency.	C. Hynes trainer matrix	WCEC is required to ensure all trainers and assessors have appropriate vocational competence at least to the level being delivered and assessed, and relevant vocational experience. Such information should be detailed on a unit by unit basis within each trainer/assessor matrix.	
GF.1.3.2 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
A signed CV was in place, however employment details were not current and vocational experience and skills were in outline only, as such it was not possible to establish whether the trainer and assessor had current and relevant vocational experience, knowledge and skills.	C. Hynes curriculum vitae (CV)	WCEC is required to ensure that all CVs/resumes are in place for all trainers and assessors, and that CVs are current and appropriately detail employment history, roles and responsibilities.	



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GUIDELINE 1.5 Consistent with its overall governance arrangements the provider must have appropriate academic/educational governance arrangements.			Compliant
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
The RTO had appropriate academic/educational governance arrangements in place.	• Committee of Management • Organisational chart • Verbal discussion with Centre Manager and Education Coordinator	N/A	



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GUIDELINE 2.1 – The provider must demonstrate that it is able to monitor course quality, externally moderate student performance and drive continuous improvement in course delivery.			Non-Compliant
GF.2.1.1 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
Within the RTO's policies and procedures there was a section related to moderation, however this was limited to statements of intent. There were no processes in place to manage assessment moderation, and no moderation schedule in place. RTO representatives indicated that moderation was undertaken in conjunction with a local cluster of RTOs, however, of the units sampled none had been moderated.	Verbal discussions with Education Coordinator	WCEC is required to develop and implement moderation processes which ensure a systematic approach to moderation and that improvements resulting from moderation processes are actioned, and records of moderation are retained.	



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GUIDELINE 2.2 The provider must demonstrate that it has measures in place to prevent and detect cheating and plagiarism amongst its students and to deal appropriately with any instances of these practices			Non-Compliant
GF 2.2.1 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
A Cheating and Plagiarism Policy was in place, however the following gaps were noted: - The definition of cheating and plagiarism was narrow and required expansion. - Prevention strategies were not included, detection strategies were limited and management of allegations of cheating and plagiarism were not included.	Cheating and Plagiarism Policy	WCEC is required to ensure a clear and comprehensive Cheating and Plagiarism Policy is in place.	
GF 2.2.2 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
There was no communication strategy in place to inform staff of their roles and responsibilities in relation to cheating and plagiarism.	Nil	WCEC is required to develop and disseminate a communication strategy which informs staff of their roles and responsibilities in relation to prevention, detection and management of cheating and plagiarism.	
GF 2.2.3 Finding	Evidence/Documentation Reviewed	Required Rectification(s)	
There was no communication strategy in place to inform students about cheating and plagiarism; prevention strategies; the management of allegations of cheating and plagiarism and associated penalties.	Student Handbook	WCEC is required to develop and disseminate a comprehensive communication strategy which informs students of cheating and plagiarism.	
Improvement Opportunities			
GI.2.2			
The RIO should review the penalties for cheating and plagiarism to ensure that they are adequate and appropriate.			



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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)	
The RTO had established processes in place for the retention of assessment documentation for a minimum of one year.	• Record Management Policy • Student files for: -- 22250VIC - Angela Dang and Rosy Magdalena + Assessments for two units sighted -- 22251VIC - My Huynh Zhuoxin Sun	N/A	



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Finding		Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
GUIDELINE 3.4 For provision of courses to domestic students (students who do not hold Student Visas) a provider who is not exempt under the provisions of any Ministerial Direction, Order, Regulation or Act must: • be a member of a Tuition Assurance Scheme for domestic students or • obtain appropriate tuition fee insurance, or bank guarantee sufficient to meet refund of fees paid in advance or • only accept student tuition payments in arrears.				
The RTO had processes in place for the protection of student fees paid in advance.		• Fees and Refunds Policy • Verbal discussions with Centre Manager and Education Coordinator	N/A	



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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)	
The RTO did not permit or require students to attend scheduled classes for more than 8 hours in any one day.	Course timetable	N/A	



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Finding			Required Rectification(s)	Compliant
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)				
Class scheduling did not permit or require students to attend scheduled classes outside of 0800 – 2200 hours on any one day.	Course timetable		N/A	



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GUIDELINE 4.4: Providers must indicate the measures they intend to take to address matters of student safety			
Finding	Evidence/Documentation Reviewed	Required Rectification(s)	Compliant
The RTO was not in a high risk category, as such safety measures focussed on those relevant to in class activities.	Student Handbook	N/A	



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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
GF.5.1.1 Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
Training and assessment materials were not in place for all units of competency.	Refer Standard 1.3 and 1.5	WCEC is required to develop a full suite of training, learning and assessment materials for all units of competency.		
GF.5.1.2 Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
Training and assessing staffing arrangements were not in place for 22257VIC and 22250VIC.	Refer Standard 1.2 and 1.3	WCEC is required to ensure appropriate staffing arrangements are in place for all courses.		
GF.5.1.3 Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
Assessment methods identified within Training and Assessment Strategies did not consistently reflect assessment methods at unit level.	Refer Standard 1.5	WCEC is required to ensure assessment arrangements are consistent across all documentation.		
GF.5.1.4 Finding	Evidence/Documentation Reviewed	Required Rectification(s)		
Clear written information was not provided to students as to how each unit was to be assessed.	Refer Standard 1.5	WCEC is required to develop and disseminate a communication strategy which provides students with an overview of assessment requirements for each unit.		



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GF.5.1.5 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
The RTO could not consistently demonstrate that assessment approaches met the requirements of each unit of competency.	Sampled units assessment documentation	WCEC is required to review all unit assessments to ensure that the assessment approach meets the requirements of each unit of competency. Such analysis must be recorded by WCEC in the form of mapping documents or similar, and records retained.
GF.5.1.6 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Assessment criteria/model answers were not in place for each assessment activity.	Refer Standard 1.5	WCEC is required to develop and implement clear and comprehensive assessment criteria/model answers for each assessment activity.
GF.5.1.7 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Assessment record sheets/tools were not in place for each assessment activity/task.	Refer Standard 1.5	WCEC is required to develop and implement a comprehensive assessment record sheet for each assessment task, ensuring each is appropriately signed and dated.
GF.5.1.8 Finding	Evidence/Documentation Reviewed	Required Rectification(s)
Validation processes had not been consistently implemented across all units of competency.	Refer Standard 1.5	WCEC is required to implement validation processes and retain comprehensive records of validation outcomes and actions.