

## Learn Local Compliance requirements information & support checklist

### Learn Local requirements to check your Organisation's compliance

As outlined in the 2015 ACFE Board Pre-accredited Training Delivery Guide, DET website & Preaccredited Quality Framework (PQF) kit.

#### Course delivery requirements including AFrames

- Minimum course duration of 20 hours but courses can be more than this
- AFrame documentation in latest PQF format must be provided on request. These include AFrame Overviews and session plans for each funded course stored carefully for ease of access should they be requested by ACFE (DET)
- New courses must have AFrames attached to the Delivery Plan submission

#### Moderation (course improvement process against employability skills & quality indicators)

- All pre-accredited courses must complete moderation and documentation is to be stored ready for easy accessibility (many store these with the course information so that all information is kept together)
- Documentation required for Moderation include:
  - Moderation Checklist (Form A)
  - Moderation Tool (Form B)
  - Moderation Summary (Form C)
  - AFrame Overview
  - Session Plans
  - Course evaluations
  - Learn Plans part one and part two (some keep a summary of Learner feedback as this makes Moderation easier)
  - Any existing evidence of Learner's class work where appropriate (this can include photos of Learners interacting as evidence of team/group work)

Link: <http://www.education.vic.gov.au/training/providers/learnlocal/Pages/pqf.aspx>

#### Verification (Manager and ACFE verifies selected courses)

- Courses selected will undergo validation- Sample courses will be chosen at least once over a 3 year period.
- Form D of the Moderation process will need to be filled out when the organisation is notified they have been chosen for the validation/verification process. Moderation Form D records the courses chosen by DET and the processes/actions formally signed off by the Manager regarding these courses.

#### Tutor responsibilities

- Evidence for moderation include - examples of tasks/Learner's work (a couple of pieces per course - if possible) to be stored so they can be located easily
- Evidence of Tutor's reflective practice – written notes in right hand column of session plans. This evidence meets the Moderation quality Indicator requirements for reflective practice

## Advertising requirements

- Victorian Government (DET) Guidelines on use of government branding to be complied with
- Branding requirements include Learn Local Guidelines to be complied with i.e. only unaltered Learn Local logos to be included in organisation's brochures and they should be present next to any advertised Learn Local funded course. Check our website for links to both of these <http://www.chn.net.au/managers-resources.html>

## Reporting requirements

- Training delivery is to be reported on at a minimum of quarterly each year
- Reporting is to be completed through the SVTS (Skills Victoria Training System)
- Concessions given to students must be flagged appropriately with SVTS to be considered for reimbursement
- Check and comply with Section 5 of SVTS data requirements...
- Fees to be managed as per link <http://www.education.vic.gov.au/training/providers/learnlocal/Pages/fees.aspx>
- Eligibility for funded place – must retain green Medicare card and any proof of concession for each Learner enrolled in courses
- Data reporting regularly conducted (minimum of quarterly – some do this monthly)

## Information management requirements

- Privacy notice requirements to be complied with (see note below)
- Enrolment forms – keep for 7 years
- Proof of citizenship – keep for 7 years
- Proof of concession – keep for 7 years
- AFrame documentation – maintain in storage for moderation/verification/validation

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## The Victorian Common Funding Agreement (October 2015)

### Records

Clause 6.3 – *Records* are to be retained for a period of seven years after completion of the activity or termination or expiry of the Agreement- whichever is earlier

*Records* – definition included on page 5 of the Agreement – a “document” created, managed, maintained, brought into existence... or used by the organisation...in relation to the funding, the activity or the performance of the Organisations’ obligations under the Agreement”.

### Auditing

There are three types of processes involved that are stated in the above Agreement:

1. **Verification** of Pre-accredited Training documentation by DET Regional Staff should occur once every 3 years. The Regional Team will notify the Organisation that they are going to audit. Organisations considered to have smaller delivery plans will be required to produce 1 moderated course, medium sized 2 courses and large Organisations 3 courses. They will be required to produce a current AFrame overview, Session Planner and Moderation documentation for the selected courses
2. **IME Audit** – ACFE Board Pre- accredited Ineligible Module Enrolment Audit

3. **Funding Audit** – each file will need to contain a completed, signed and dated enrolment form, Proof of citizenship (Green Medicare card) and any copies of concession cards for the Learners enrolled in ACFE funded courses.

Clause 9 - Audit and Performance Review Department will audit for:

- Monitoring and assessing performance
- Assess the ability to deliver or not deliver on courses
- Assess if concern exists over compliance with the Agreement
- Assess if concern exists over misused funds
- Assess that funds are being used correctly

Clause 12 – Suspension – The department will require ceased delivery or will suspend payment of all or part of funding if:

- Delivery of intended courses has failed or is likely to fail
- There is suspicion that funds have been misused or clear evidence of misuse
- There is a breach of Agreement
- The organisation is not financially viable/stable

### **Insurance**

Appropriate cover for operational and Business risk must be maintained for the duration of the funding period and for 6 years after completion of the activity with Victoria managed Insurance department, Liability Mutual Insurance or an insurer authorised under the Insurance Act (CTH) or approved in writing by the Department.

### **Risk management**

Risk Management is to be conducted in accordance with AS/NZs ISO: (Australian Standard)

[http://www.finance.gov.au/sites/default/files/COV\\_216905\\_Risk\\_Management\\_Fact\\_Sheet\\_FA3\\_23082010\\_0.pdf](http://www.finance.gov.au/sites/default/files/COV_216905_Risk_Management_Fact_Sheet_FA3_23082010_0.pdf)

### **Policies required:**

**Records Management Policy** – this needs to outline retention of documentation for 7 years

**Privacy policy** – this needs to include Government legislation (Federal and State), best practice requirements and should refer to and include an Information Collection statement which details how the information can be collected/used (e.g. for release to relevant government funding departments)

**Fraud prevention policy** – Policy available on CHN website for LLO's to adapt.



## Checklist of items to be collected for ACFE Governance Status Update process

### Mandatory requirements

- Certificate of Registration from the ACFE Board
- Financial Reports from most recent AGM
- VMIA public liability insurance Certificate of currency

### Tier One Criteria

- Organisation's statutory compliance with ACFE Board requirements (current funding and contracts- must demonstrate a record of timely attendance to such matters)
- Working capital ratio (dividing current assets by current liabilities)
- Debt to equity ratio (divide total liabilities by total equity)
- Operating result evidence –
  - (a) Total deficit in past 3 years
  - (b) Net surplus over past 3 years
  - (c) Surplus in each of the past 3 years
- Transfer scores for each criterion to the summary in section 3.2 (needs to be 4 or more to be eligible).

### Tier Two Criteria

- Achievement of ACFE Board and government outcomes (delivers programs and services in accordance with its contract.
- Governance – Document the composition of the Committee of Management, their skills, how often they meet and the activities they perform.
- Business/Operational Plan (must document adult community education as an organisational objective.
- Accounting systems and processes (production of regular reconciled accounts as evidence)
- Policies and operational guidelines and quality procedures to meet legal requirements as an incorporated body, its business and community obligations. (refer to policies and procedures manual)
- Fraud prevention and management (copy of Fraud policy)
- Budgetary process –financial budgetary process (evidence of this)
- Diversification strategy (refer to operational/Business plan)
- Transfer the scores for each criterion to the summary in section 3.3 and total the scores for Tier Two. (a score of 5 or more is desirable)

Attach the following additional items:

- Independent Accountant's Certificate and statement of Business viability
- Copy/scan and sign (Chairperson and witness) the handwritten pages 9 and 10 of the Guidelines to add to the other collected documents.

Link to detailed information-

<http://www.education.vic.gov.au/training/providers/learnlocal/Pages/network.aspx>