

Training Accreditation Council
Audit Report – Extension to Scope Audit
RTO ABC
Audit Date: 01/01/2020
Audit Method: Desktop Audit

Scope Reviewed at Audit:

BSB60215 Advanced Diploma of Business
BSB31115 Certificate III in Business Administration (Medical)

Audit Team

Lead Auditor:

Auditor One

Registering Body

Regulation Officer:

Regulation Officer One

AUDIT DETAILS**ORGANISATION DETAILS**

Legal Name	RTO ABC	RTO Number	12345
Trading Name	RTO ABC	No. of Students	N/A
Size of RTO	Medium		
Website	www.RTOABC.com.au		
Main Address			

Legally Responsible	Position
Email	Phone

Registration Contact	Position
Email	Phone

ORGANISATION OVERVIEW

The RTO has applied to add BSB31115 Certificate III in Business Administration (Medical) and BSB60215 Advanced Diploma of Business to its current scope of registration.

BSB31115 Certificate III in Business Administration (Medical), is superseding BSB31112 Certificate III in Business Administration (Medical) which is currently on scope.

AUDIT DATE/S

Main Audit 01/01/2020

SITE/S AUDITED

RTOABC - 1

STANDARDS FOR REGISTERED TRAINING ORGANISATIONS (RTOs) 2015**Standards audited:**

Standard 1 – BSB60215 Advanced Diploma of Business

1, 1.1, 1.2, 1.2a, 1.2b, 1.2c, 1.3, 1.3a, 1.3b, 1.3c, 1.3d, 1.7, 1.8, 1.8a, 1.8b, 1.9, 1.9a, 1.9b, 1.9c, 1.9d, 1.10, 1.12, 1.13, 1.13a, 1.13b, 1.13c.

Standard 1 – BSB31115 Certificate III in Business Administration (Medical)

1, 1.1, 1.2, 1.2a, 1.2b, 1.2c, 1.3, 1.3a, 1.3b, 1.3c, 1.3d, 1.7, 1.8, 1.8a, 1.8b, 1.9, 1.9a, 1.9b, 1.9c, 1.9d, 1.10, 1.12, 1.13, 1.13a, 1.13b, 1.13c.

Standard 3 – 3.6, 3.6a, 3.6b, 3.6c, 3.6d

Standard 5 - 5, 5.1, 5.1, 5.2, 5.2, 5.2a, 5.2a, 5.2b, 5.2b, 5.2b i, 5.2b i, 5.2b ii, 5.2b ii, 5.2b iii, 5.2b iii, 5.2b iv, 5.2b iv, 5.2b v, 5.2b v, 5.2c, 5.2c, 5.2d, 5.2d, 5.2d i, 5.2d i, 5.2d ii, 5.2d ii, 5.2e, 5.2e, 5.2e i, 5.2e i, 5.2e ii, 5.2e ii, 5.2e iii, 5.2e iii, 5.2f, 5.2f

INTERVIEWS CONDUCTED BY AUDITOR AT AUDIT**Staff**

Staff Name	Position/Title	Entry	Exit
Person 1	CEO	Yes	Yes
Person 2	RTO Training Manager	Yes	Yes

SCOPE**SCOPE OF DELIVERY APPLIED FOR**

Training Product	Delivery Method	Audit Site	Audited
BSB60215 Advanced Diploma of Business	FF	Site 1	Yes
BSB31115 Certificate III in Business Administration (Medical),	FD, FF, OL	Site 2	Yes

SUMMARY OF OVERALL AUDIT OUTCOMES**AUDIT****Audit Method** Desktop Audit**Date of Audit**

01/01/2020

Date Report Submitted

01/01/2020

Overall Level of Compliance:

The outcome of this audit has indicated that the RTO's overall level of compliance is:

Non Compliant - Minor

The requirements of the Standards for Registered Training Organisations (RTOs) 2015 have not been met based on the evidence reviewed but there is no or minor adverse impact on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.

Auditors Justification:

The RTO has minor non-compliances across the scope of audit therefore the overall level is deemed to be minor.

The RTO is non-compliant with the following Standards for Registered Training Organisations (RTOs) 2015.

Standard 1 - BSB60215 Advanced Diploma of Business – 1.3, 1.3a

Standard 3 – 3.6, 3.6d

Standard 5 – 5.2, 5.2a, 5.2d

STRENGTHS AND OPPORTUNITIES FOR IMPROVEMENT**Opportunities for improvement identified across the Standards for Registered Training Organisations (RTOs) 2015**

Standard 1

It is suggested the RTO consider a systematic process for providing opportunities, monitoring and capturing evidence that trainers maintain their industry currency and professional development.

AUDIT REPORT**Standard 1****BSB60215 Advanced Diploma of Business**

1 The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses **Non Compliant**

Comments The comments listed in this section of the report pertain to this qualification and the units of competency that were subject to audit. Additional information specific to the qualification may be found under the unit titles.

Based on the sample evidence reviewed at audit the RTO did not demonstrate compliance with Clause 1.13a of Standard 1.

Clause 1.13 the evidence presented was insufficient to demonstrate one trainer/assessor has all of the vocational competencies that they are nominated to deliver/assess.

1.1 - The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled. **Compliant**

Evidence The evidence submitted by the RTO for Clause 1.1 included:

- Training and assessment strategy
- Delivery and assessment strategy

The training and assessment strategy includes:

- Learning cohort
- Amount of training
- Mode of delivery
- Entry requirements
- Industry engagement
- Course structure and delivery plan
- Evidence gathering methods
- Pathways
- Physical resources
- Validation
- Education and support services

The delivery and assessment strategy includes:

Group details, mode of delivery, individual study requirements, required resources, OHS, RPL, student support services, reasonable adjustment, appeals, delivery and assessment plan.

The RTO submitted a Training and Assessment Strategy and Two Delivery and Assessment Strategies for the qualification, the documentation submitted demonstrated the training and assessment strategies including the amount to training is consistent with the requirements of the Training Package for this qualifications.

Findings Based on the sample evidence presented for audit the RTO is found to be compliant with this clause.

1.2 - For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to: **Compliant**

Evidence Please refer to clause 1.1 for a list of evidence relation to this clause.

The RTO presented evidence that demonstrated it had undertaken a reliable process to establish the amount of training to be provided including taking into account the existing skills, knowledge and experience of the learner and mode of delivery.

Findings Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.

1.2a - the existing skills, knowledge and the experience of the learner; **Compliant**

1.2b - the mode of delivery; and **Compliant**

1.2c - where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification. **Compliant**

1.3 - The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient: **Compliant**

Evidence

- Learning and Assessment Resources V1
- Safe First Training Workplace Booking Request Form V2

Please refer to clause 1.1 for a list of additional evidence relation to this clause.

Please refer to clause 1.13 for evidence pertaining to trainers and assessors.

The RTO included in each Delivery and Assessment Strategy information regarding the resources required to delivery/assess each unit of competency, the Training and Assessment Strategy detailed the trainers and assessors nominated to deliver/assess each qualification.

The evidence presented by the RTO demonstrated compliance with this clause.

Findings Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.

1.3a - trainers and assessors to deliver the training and assessment; **Compliant**

1.3b - educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment; **Compliant**

1.3c - learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and; **Compliant**

1.3d - facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the **Compliant**

training and assessment.

1.7 - The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses. **Compliant**

Evidence Student Handbook 2018 V3
Learner Interviews

Findings Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.

1.8 - The RTO implements an assessment system that ensures that assessment (including recognition of prior learning): **Compliant**

Evidence BSBADV602 Develop an advertising campaign - Smallprint Assessments V3 2015
BSBADV603 Manage advertising production - Smallprint Assessments V3 2015
Learner File
Observation Report
Summative Assessment
Project 1
Formative Assessments

BSBHRM602 Manage human resources strategic planning
HR Control Plan
Practical Assessment
Third Party ID Verification and Questions
Mapping
Assessment Summary
Written Oral Assessment

BSBFIM601 Manage finances:
Practical Assessment V3 (demolition)

Findings The evidence presented for audit demonstrated assessment complies with the assessment requirements of the Training Package and will be conducted in accordance with the Principles of Assessment and the Rules of Evidence.

Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.

1.8a - complies with the assessment requirements of the relevant training package or VET accredited course; and **Compliant**

1.8b - is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2. **Compliant**

1.9 - The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration: **Compliant**

Evidence Assessment Validation Schedule x 2 – Review
Validation of Assessment Plan/Checklist

Findings Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.

1.9a - when assessment validation will occur; **Compliant**

1.9b - which training products will be the focus of the validation; **Compliant**

1.9c - who will lead and participate in validation activities; and	Compliant
1.9d - how the outcomes of these activities will be documented and acted upon.	Compliant
1.10 - For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.	Compliant
Evidence	Assessment Validation Schedule x 2 – Review Assessment Validation Schedule x 2 – Review Validation of Assessment Plan/Checklist
Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.
1.12 - The RTO offers recognition of prior learning to individual learners.	Compliant
Evidence	RPL Procedure V2 BSB41419 Certificate IV in Work Health and Safety RPL Portfolio
Findings	The RTO has demonstrated compliance with this clause.
1.13 - In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:	Non Compliant
Evidence	Strategy for qualification Onsite interviews Resume for Trainer 1 and Trainer 2 TAE40110 Certificate IV in Training and Assessment Professional Development plans
Findings	<p>The following information pertains to this qualification only. The RTO demonstrated compliance with the requirements of this clause for the individual units and clusters of units that were subject to audit.</p> <p>The RTO had not undertaken a reliable process to determine the trainer/assessor nominated to deliver/assess BSB60215 Advanced Diploma of Business meets the requirements of this clause for all units in the TAS that are available for selection.</p> <p>Based on the sample evidence presented for audit the RTO is found to be non-compliant with this clause as it did not demonstrate the trainer assessor nominated to deliver BSB60215 Advanced Diploma of Business has vocational competencies at least to the level being delivered and assessed.</p> <p>The RTO is required to present evidence to demonstrate the trainer assessor has vocational competencies at least to the level being delivered and assessed.</p>
1.13a - vocational competencies at least to the level being delivered and assessed;	Non Compliant
1.13b - current industry skills directly relevant to the training and assessment being provided; and	Compliant
1.13c - current knowledge and skills in vocational training and learning that informs their training and assessment.	Compliant

BSB60215 Advanced Diploma of Business

1 The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses **Compliant**

Comments The comments listed in this section of the report pertain to this qualification and the units of competency that were subject to audit. Additional information specific to the qualification may be found under the unit titles.

Based on the sample evidence reviewed at audit the RTO was compliant at audit.

1.1 - The RTO's training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled. **Compliant**

Evidence The evidence submitted by the RTO for Clause 1.1 included:

- Training and assessment strategy
- Delivery and assessment strategy

The training and assessment strategy includes:

- Learning cohort
- Amount of training
- Mode of delivery
- Entry requirements
- Industry engagement
- Course structure and delivery plan
- Evidence gathering methods
- Pathways
- Physical resources
- Validation
- Education and support services

The delivery and assessment strategy includes:

Group details, mode of delivery, individual study requirements, required resources, OHS, RPL, student support services, reasonable adjustment, appeals, delivery and assessment plan.

The RTO submitted a Training and Assessment Strategy and Two Delivery and Assessment Strategies for the qualification, the documentation submitted demonstrated the training and assessment strategies including the amount to training is consistent with the requirements of the Training Package for this qualifications.

Findings Based on the sample evidence presented for audit the RTO is found to be compliant with this clause.

1.2 - For the purposes of Clause 1.1, the RTO determines the amount of training they provide to each learner with regard to: **Compliant**

Evidence Please refer to clause 1.1 for a list of evidence relation to this clause.

The RTO presented evidence that demonstrated it had undertaken a reliable process to establish the amount of training to be provided including taking into account the existing skills, knowledge and experience of the learner and mode of delivery.

Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.2a - the existing skills, knowledge and the experience of the learner;		Compliant
1.2b - the mode of delivery; and		Compliant
1.2c - where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.		Compliant
1.3 - The RTO has, for all of its scope of registration, and consistent with its training and assessment strategies, sufficient:		Compliant
Evidence	<ul style="list-style-type: none"> • Learning and Assessment Resources V1 • Safe First Training Workplace Booking Request Form V2 <p>Please refer to clause 1.1 for a list of additional evidence relation to this clause.</p> <p>Please refer to clause 1.13 for evidence pertaining to trainers and assessors.</p> <p>The RTO included in each Delivery and Assessment Strategy information regarding the resources required to delivery/assess each unit of competency, the Training and Assessment Strategy detailed the trainers and assessors nominated to deliver/assess each qualification.</p> <p>The evidence presented by the RTO demonstrated compliance with this clause.</p>	
Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.3a - trainers and assessors to deliver the training and assessment;		Compliant
1.3b - educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;		Compliant
1.3c - learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and;		Compliant
1.3d - facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.		Compliant
1.7 - The RTO determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET accredited courses.		Compliant
Evidence	<p>Student Handbook 2018 V3</p> <p>Learner Interviews</p>	
Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.8 - The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):		Compliant
Evidence	<p>BSBADV602 Develop an advertising campaign - Smallprint Assessments V3 2015</p> <p>BSBADV603 Manage advertising production - Smallprint Assessments V3 2015</p> <p>Leaner File</p> <p>Observation Report</p> <p>Summative Assessment</p> <p>Project 1</p>	

	Formative Assessments	
	BSBHRM602 Manage human resources strategic planning	
	HR Control Plan	
	Practical Assessment	
	Third Party ID Verification and Questions	
	Mapping	
	Assessment Summary	
	Written Oral Assessment	
	BSBFIM601 Manage finances:	
	Practical Assessment V3 (demolition)	
Findings	The evidence presented for audit demonstrated assessment complies with the assessment requirements of the Training Package and will be conducted in accordance with the Principles of Assessment and the Rules of Evidence.	
	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.8a - complies with the assessment requirements of the relevant training package or VET accredited course; and		Compliant
1.8b - is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2.		Compliant
1.9 - The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that includes for each training product on the RTO's scope of registration:		Compliant
Evidence	Assessment Validation Schedule x 2 – Review Validation of Assessment Plan/Checklist	
Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.9a - when assessment validation will occur;		Compliant
1.9b - which training products will be the focus of the validation;		Compliant
1.9c - who will lead and participate in validation activities; and		Compliant
1.9d - how the outcomes of these activities will be documented and acted upon.		Compliant
1.10 - For the purposes of Clause 1.9, each training product is validated at least once every five years, with at least 50% of products validated within the first three years of each five year cycle, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator.		Compliant
Evidence	Assessment Validation Schedule x 2 – Review Assessment Validation Schedule x 2 – Review Validation of Assessment Plan/Checklist	
Findings	Based on the sample evidence presented for the audit the RTO is found to be compliant with this clause.	
1.12 - The RTO offers recognition of prior learning to individual learners.		Compliant
Evidence	RPL Procedure V2	

BSB41419 Certificate IV in Work Health and Safety RPL Portfolio

Findings	The RTO has demonstrated compliance with this clause.	
1.13 - In addition to the requirements specified in Clause 1.14 and Clause 1.15, the RTO's training and assessment is delivered only by persons who have:		Compliant
Evidence	Strategy for qualification Onsite interviews Resume for Trainer 1 and Trainer 2 TAE40110 Certificate IV in Training and Assessment Professional Development plans	
Findings	Based on the evidence presented for the audit the RTO is found to be compliant with this clause.	
1.13a - vocational competencies at least to the level being delivered and assessed;		Compliant
1.13b - current industry skills directly relevant to the training and assessment being provided; and		Compliant
1.13c - current knowledge and skills in vocational training and learning that informs their training and assessment.		Compliant

Standard 3

3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records		Non Compliant
Comments	The RTO was not able to provide appropriate AQF certification documentation	
3.6 – The RTO meets the requirements of the Student Identifier scheme, including		Non Compliant
Evidence	Records of learner AQF certification documentation are not maintained by the RTO and were not accessible.	
Findings	The RTO is found not compliant with clause 3.6d The RTO is required to demonstrate how it maintains records of learner progress and how learner records are accessed.	
3.6a - verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;		Compliant
3.6b - ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;		Compliant
3.6c - ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar; and		Compliant
3.6d - ensuring the security of Student Identifiers and all related		Non Compliant

documentation under its control, including information stored in its student management systems.

Standard 5

5 Each learner is properly informed and protected.

Non Compliant

Comments The RTO did not demonstrate compliance with the requirements of sub-clauses 5.2 a and d) i as the course codes and titles of the training products to which the learner is to be enrolled are not written as published on the National Register and, information about learners rights in relation to complaints and appeals do not meet the requirements of the Standards.

5.1 - Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.

Compliant

Evidence Course Outline V2
Website
Support Services
Student Handbook 2020 V3

Findings The RTO has demonstrated compliance with this clause.

5.1 - Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.

Compliant

Evidence Course Outline V2
Website
Support Services
Student Handbook 2020 V3

Findings The RTO has demonstrated compliance with this clause.

5.2 - Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

Non Compliant

Evidence Course Outline V2
Website
Support Services
Student Handbook 2020 V3

Findings The course code and title used on marketing materials including flyers and the web site is not written as published on the National Register, course titles have been abbreviated and alternative names presented.

Based on the sample evidence reviewed at audit the RTO did not demonstrate compliance with the requirements of this clause, specifically the course codes and titles of the training products to which the learner is to be enrolled are not written as published on the National Register.

The RTO is required to present for review evidence that course codes and titles of the training products to which the learner is to be enrolled are written as published on the

National Register.

5.2a - the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;	Non Compliant
5.2b - the training and assessment, and related educational and support services the RTO will provide to the learner including the:	Compliant
5.2b i - estimated duration;	Compliant
5.2b ii - expected locations at which it will be provided;	Compliant
5.2b ii - expected locations at which it will be provided;	Compliant
5.2b iii - expected modes of delivery;	Compliant
5.2b iv - name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf; and	Not Audited
5.2b v - any work placement arrangements.	Not Audited
5.2c - the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF certification documentation.	Compliant
5.2d - the learner's rights, including:	Non Compliant
5.2d i - details of the RTO's complaints and appeals process required by Standard 6; and	Non Compliant
5.2d ii - if the RTO, or a third party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in;	Not Audited
5.2e - the learner's obligations:	Compliant
5.2e i - in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;	Not Audited
5.2e ii - any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and	Compliant
5.2e iii - any materials and equipment that the learner must provide; and	Compliant
5.2f - information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.	Not Audited

***** End of Report *****