**The Audit Experience: Facts & Fiction Webinar**

**Date: 25 September 2020**

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# Introduction To Audits

## TAC Audit Objectives

The primary objective of an audit is to establish that the RTO or applicant is, at a minimum, meeting the Standards for RTOs and the requirements for the applicable training products. Essentially, this means the Auditor will need to sight tangible evidence that demonstrates how compliance with each Standard and Clause is being achieved.

The purpose and scope of a TAC audit will depend on the type of audit, e.g., initial registration, amendment to scope or renewal of registration. The audit will focus on a range of business practices, protocols and business systems within the audit scope and will most likely involve:

* visual inspection/site visits;
* review of documentation; and
* interviews with staff and other stakeholders.

The intent of an audit is not to simply ‘tick off’ a compliance-driven system. Establishment of systems and processes that appear to meet all the requirements of the Standards but prove unrealistic when it comes to implementation and ongoing management, may contribute to non-compliance.

Similarly, an RTO that engages a consultant to develop all its business systems may also be found non-compliant at audit if the management fails to take ownership of that system and cannot articulate how it operates on a day to day basis to meet the requirements of the Standards.

## TAC Audit Principles

The following principles underpin the way all TAC audits are conducted. They provide a reference point for RTOs, applicants and Auditors for the conduct of audits.

The principles specify that audits are:

Systematic

Audits are conducted in a systematic manner based on an audit sampling strategy to ensure that the audit findings, conclusions and recommendations accurately represent the organisation’s operations.

RTOs or applicants can also contribute to the audit process through their own pre-audit planning and preparation, ensuring necessary staff, resources and evidence are available for the audit to progress smoothly.

TAC determines the scope and schedule of audits based on identified risks, in accordance with the [TAC Risk Framework](http://www.tac.wa.gov.au/about-us/regulatoryapproach/Pages/default.aspx) and [Regulatory Strategy.](http://www.tac.wa.gov.au/about-us/regulatoryapproach/Pages/default.aspx) Using this information TAC will determine:

* the Standards and Clauses to be audited;
* the training product/s to be audited;
* whether the audit is to be a desk audit or a site audit;
* the delivery sites to be visited as part of the audit;
* the audit team members required to conduct the audit such as co-Auditors, observers and technical experts.

Depending on the type of audit, Auditors in conjunction with TAC may determine where relevant:

* the staff and students to be interviewed or surveyed;
* the range of student files to be examined; and
* the training and assessment materials to be examined.

Outcomes-Focused

For established RTOs, outcomes are the result of strategies implemented to achieve quality training, assessment, client services and management systems. The primary role for the Auditor is to determine, from evidence provided by the RTO, whether the deployment of the RTO’s processes meet the requirements of the Standards for RTOs. The RTO’s approach to the management of its operations, in particular the systems it has in place to ensure continuous improvement, will also provide evidence of whether the outcomes achieved are sustainable.

To focus on outcomes, the audit process reviews evidence provided by each RTO about what has been achieved against the Standards for RTOs. There is no “one-size-fits-all” approach to compliance – the audit outcome will be based on whether the RTO’s systems are working as intended and meeting the requirements of the Standards.

The Auditor will consider whether:

* the RTO’s evidence has met the requirements of each Standard or Clause; and
* results were achieved through the planned and systematic deployment of specific actions taken by the RTO.

The audit will also check for the deployment of RTO policies and procedures, and the effectiveness of these policies and procedures in achieving quality outcomes and good governance. If the RTO is not achieving anticipated outcomes, the audit may then focus on processes being used by the RTO to identify and resolve any issues.

The [Users’ Guide to the Standards for RTOs](http://www.tac.wa.gov.au/StandardsRTOs2015/Pages/default.aspx) suggests a range of evidence that RTOs may choose to present to demonstrate their business practices and how compliance with the Standards is being maintained.

For new applicants seeking registration, the audit considers whether:

* the applicant has met the requirements of each Standard and Clause;
* the planned approach to achieving quality outcomes is systematic;
* the applicant is sufficiently aware of the VET environment in which it will operate; and
* the intent of the planned business practices are achievable and sustainable.

Evidence-Based

Audit findings in relation to an RTO’s compliance with the Standards for RTOs are based entirely on the evidence available to the Auditor.

Auditors do not have preconceptions about the form that evidence may take, therefore it is up to the RTO or applicant to present evidence based on their business model and training and assessment practices.

Judgements about whether evidence demonstrates compliance are guided by consideration of these questions:

* Is the evidence valid - is it reflecting the requirements identified in the Standard or Clause that is being audited?
* Is the evidence sufficient – is it sufficiently addressing the requirements enabling a fair and reasonable judgement about compliance?
* Is the evidence authentic? – is it genuine, real and related to actual practice?
* Is the evidence current - is it relevant to the operations of the RTO at the time of the audit and reflects current industry/regulatory requirements?

If there is insufficient evidence to make a finding of compliance, the gaps will be explained by:

* restating the Standards or Clause in relation to the evidence provided;
* explaining why the evidence is not sufficient (relating to the rules of evidence).

A finding of non-compliance does not always indicate that the organisation is not complying with a particular Clause – occasionally it may be due to an absence of evidence available at the time of the audit.

For new applicants seeking registration, the focus of the audit is on intent, as there will have been no deployment of systems or processes to demonstrate compliance. The Auditor’s role is to check and confirm sufficient evidence is presented to demonstrate that the applicant has the capacity to operate effectively as an RTO and have the capacity to operate as an RTO immediately following the audit.

Flexible

RTOs vary in size and scope, from a one-person RTO delivering units of competency in a niche market in one location, to a large RTO with numerous qualifications on its registration offered state-wide. The diversity of RTOs includes private RTOs, community RTOs, enterprise-based RTOs, industry-based RTOs, TAFEs and schools.

This diversity means that there is no ‘one size fits all’ approach to evidence of compliance. The Auditor must be open to considering the different forms of evidence that each RTO may provide to support making a judgement about compliance with the Standards and Clauses.

Fair, Open and Transparent

The RTO’s legally responsible person identified by the RTO or applicant is informed about the audit in advance and given an opportunity to provide evidence of compliance in a form suited to the RTO’s operations.

For site audits, the audit schedule will be communicated between the RTO or applicant and Auditor. The process is confirmed at the entry meeting between audit team and RTO/applicant. The legally responsible person, senior management and/or delegate are required to attend the entry and exit meetings with the audit team as part of the site audit process.

Auditors will provide information about their role when interviewing staff or clients. The Auditor will also explain how the information participants provide will contribute to judgements about compliance with the Standards for RTOs.

If the audit takes more than one day, a brief meeting at the close of each day may be scheduled to inform the RTO of any issues that have arisen during the day. On completion of a site audit, the Auditor will provide the organisation with an oral summary of the audit findings during the exit meeting. The Auditor must inform the RTO or applicant that the information provided at the exit meeting is a preliminary assessment only, and that the official audit report will include more comprehensive information on the audit findings. Auditors are not required to provide an oral summary of audit outcomes for desk audits.

Following any audit, the Auditor will prepare a report which is submitted to TAC for consideration. Should any non-compliances be identified, the RTO will be formally notified by TAC.

Further information on the audit process and timelines for submission of rectification evidence is available on the [TAC website](http://www.tac.wa.gov.au/registration/audits/Pages/default.aspx).

## Category of Audit

Once registered, the audits that could occur during an RTO’s registration include:

* an audit conducted within 24 months of initial registration (for RTOs that applied for initial registration prior to 1 August 2018);
* audits required as a result of changes to the RTO’s scope of registration; and
* audits commissioned by TAC as part of its ongoing risk management approach.

The extent to which each RTO is monitored and audited by TAC during its registration period is based on an assessment of risk to the quality of training and assessment outcomes and the national VET sector. The process for doing this is described in the [TAC Risk Framework](http://www.tac.wa.gov.au/about-us/regulatoryapproach/Pages/default.aspx).

There are a number of different types of audit that may be scheduled by TAC, and these fall into two categories: audits resulting from applications and those initiated by TAC.

Audits Resulting from Applications

When an application is received, TAC will undertake a desktop review to determine if the application is complete. Once it is determined that the application requirements have been met, TAC will conduct a risk assessment to determine whether an audit is necessary in line with the requirements of the [TAC Risk Framework](http://www.tac.wa.gov.au/about-us/regulatoryapproach/Pages/default.aspx) and [Regulatory Strategy](http://www.tac.wa.gov.au/about-us/regulatoryapproach/Pages/default.aspx).

Based on the outcome of the risk assessment an audit may be required.

Audits resulting from applications are triggered by applications for registration or changes to an existing registration.

These audits include:

* Initial registration audits
* Amendment to scope audits
* Renewal of registration audits

Audits Initiated by TAC

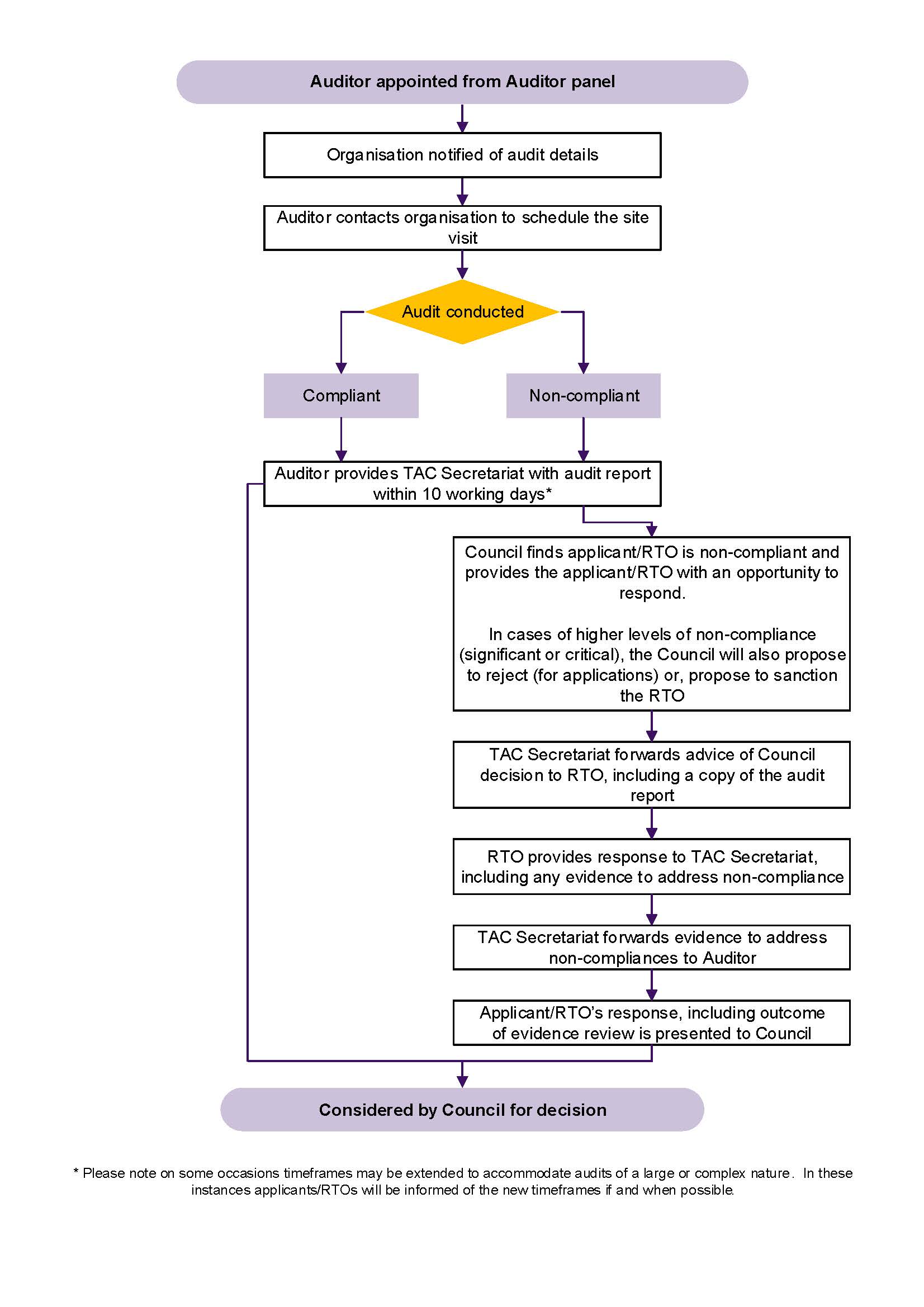
Audits initiated by TAC are undertaken most commonly to monitor compliance or respond to an identified risk. The audits include:

|  |  |
| --- | --- |
| Within 24 month audits | For RTOs that applied for initial registration prior to 1 August 2018, a post initial audit will be conducted within the first 24-months of registration. The purpose of this audit is to confirm that the RTO remains compliant with the Standards for RTOs, and that the policies and procedures that were reviewed at the initial registration audit have been deployed. |
| Monitoring audits | In some instances an RTO will be required to undergo a monitoring audit. Monitoring audits are generally targeted audits endorsed by TAC that focus on specific training products or Standards.  These audits are often initiated to ensure that the actions proposed by an RTO to rectify non-compliances have been deployed, or to address particular training areas or concerns that have been raised by industry. |
| Complaint audits | TAC only investigates only complaints that relate to an RTO’s compliance with the Standards for RTOs. An audit can be initiated in response to a complaint if an internal review determines that there are grounds for further investigation or that there are potential breaches of the Standards. The RTO will be advised of the complaint and the process for the investigation.  Information about complaint audits is available in the [TAC Complaints Policy.](http://www.tac.wa.gov.au/industry/Pages/Complaints-against-RTOs.aspx) |
| Strategic Industry Audits | Strategic Industry Audits (SIAs) provide an in-depth analysis of systemic issues pertaining to a specific industry area or other systemic VET issues. The consideration of risk at the local level allows WA to respond to locally or nationally identified quality issues and intervene in a timely manner . |
| Compliance Monitoring Audits | Compliance Monitoring Audits (CMA) allow for the monitoring of compliance with the Standards for RTOs as a result of non-compliances identified at previous audits or when seeking removal of a sanction.  A CMA can be initiated when one of the following criteria applies:   * On application from an RTO to remove sanctions applied by Council; * When an RTO has been found critically non-compliant at audit, and a follow up audit is necessary to ensure the actions taken by the RTO have been deployed; * When two consecutive significant or higher non-compliant outcomes have been identified against the same qualification or industry area within a three year period; * When TAC has determined that the outcome of an audit indicates that a broader audit sample is required due to the identification of risks that could be detrimental to learners undertaking VET with the RTO.   All CMAs endorsed by the Council will be charged in line with the CMA fees schedule as outlined in the [CMA policy](http://www.tac.wa.gov.au/Pages/Policies-and-procedures.aspx). |

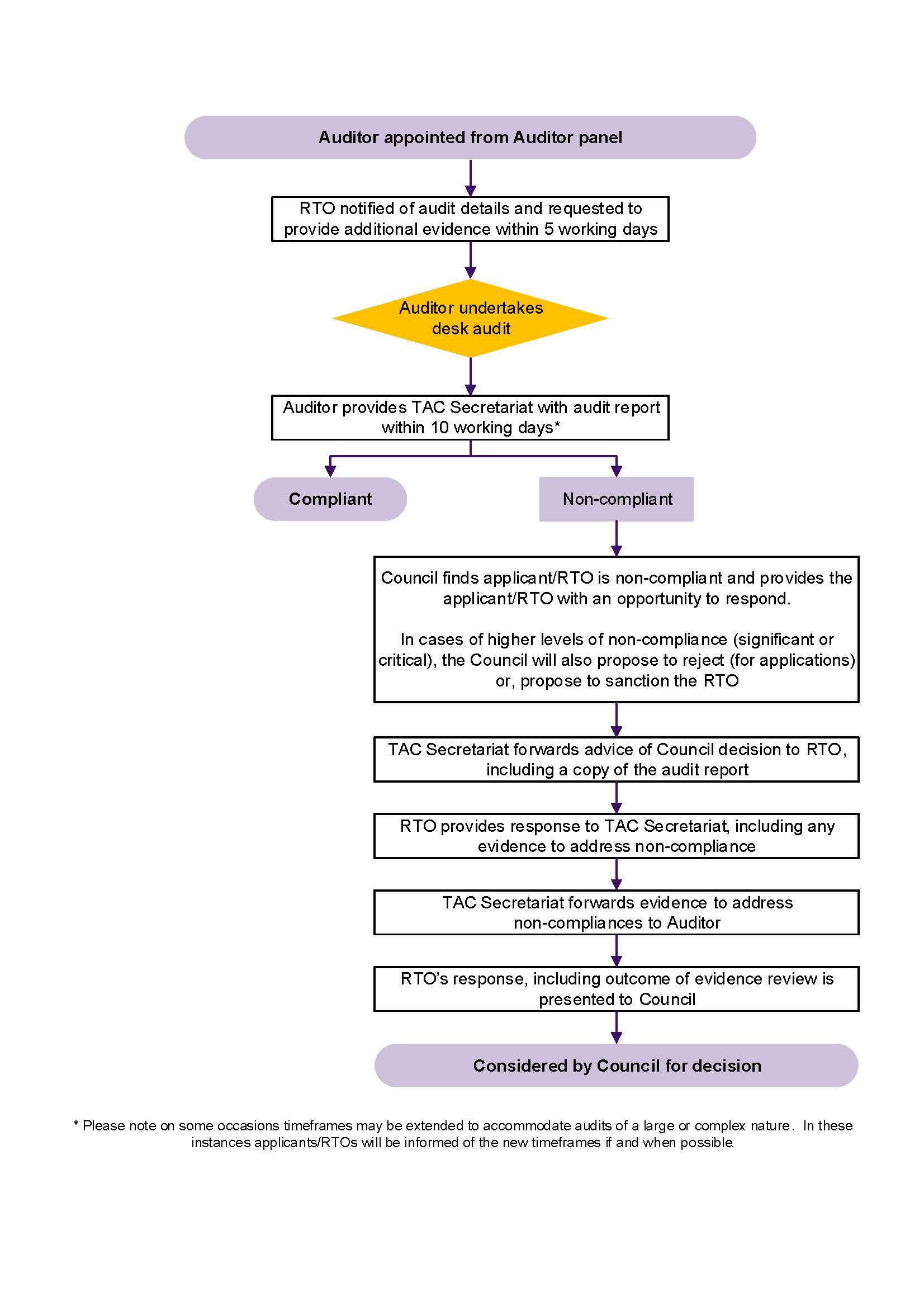
* 1. Audit Method

There are two audit methods: site audits and desk audits.

### Site Audits

A site audit is an audit that includes a visit to the RTO or applicant’s physical premises. It allows the Auditor to collect, through interviews and observation, a broad range of evidence to determine the extent to which an RTO or applicant complies with the Standards for RTOs. The process for a general site audit is outlined in the below flowchart.

### Desk Audits

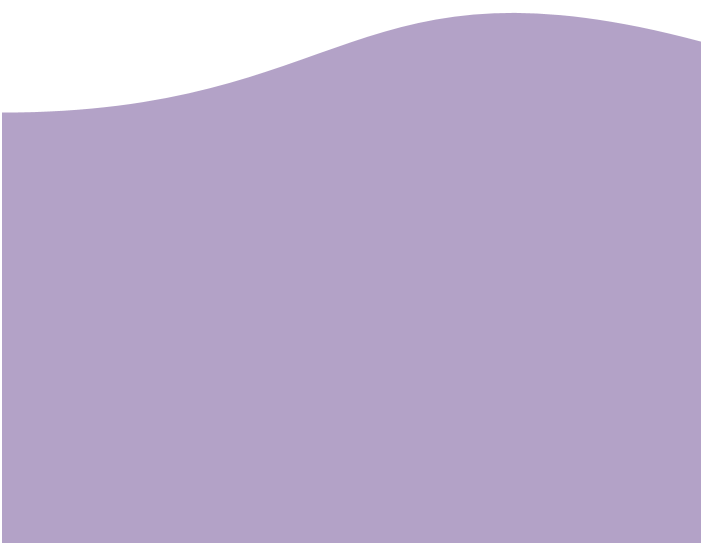
A desk audit is an audit that is conducted off site but may involve email or telephone contact with the RTO or applicant. The same audit principles that apply to site audits also apply to desk audits, but a desk audit may be used where a physical inspection is not required. The process for a general desk audit is outlined in the below flowchart.

* 1. The Audit Team

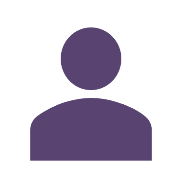
An audit may be conducted by a single Auditor or by an audit team comprised of a lead Auditor, one or more co-Auditors and an observer/s may also attend. Technical experts may also be called upon by the Auditor when seeking technical advice or expertise in regard to an industry specific requirement outlined in the training product.

Site Audits - Roles and Responsibilities of the Audit Team

The following outlines the roles and responsibilities of the audit team for site audits.



* confirm the scope of the audit with TAC;
* contact the RTO or applicant and make an appointment for audit;
* identify and confirm resources (including audit team members and audit documentation) required to conduct the audit;
* review documentation and develop a plan and schedule for the audit in conjunction with the RTO or applicant and then confirm these arrangements;
* brief the audit team;
* conduct the entry meeting;
* manage audit team resources by ensuring that there is effective communication between the members of the audit team, and by working with the RTO or applicant’s representative to ensure that the audit team have access to the materials, sites and personnel they require;
* coordinate the audit findings by meeting with the audit team to synthesise the evidence collected;
* conduct the feedback session with the RTO or applicant and confirm follow-up;
* provide information to the RTO or applicant about the complaint process and follow-up action required;
* provide feedback to the audit team; and
* prepare the audit report with support from the audit team and submit to TAC.



LEAD AUDITOR

The role of the lead Auditor is to:

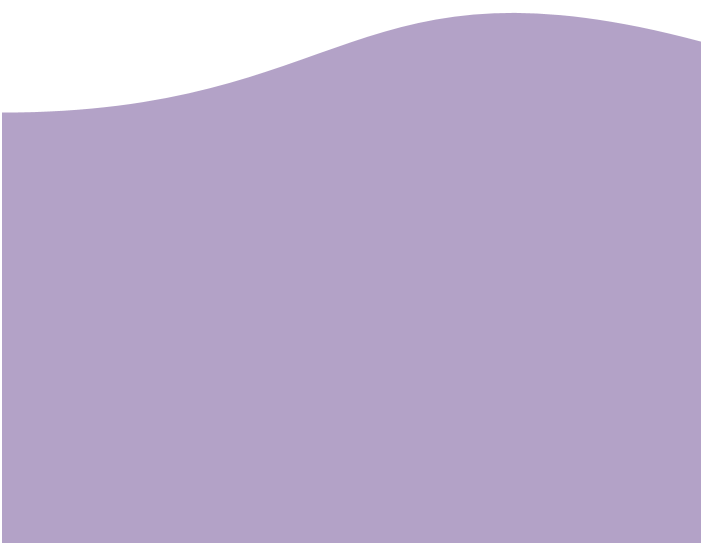
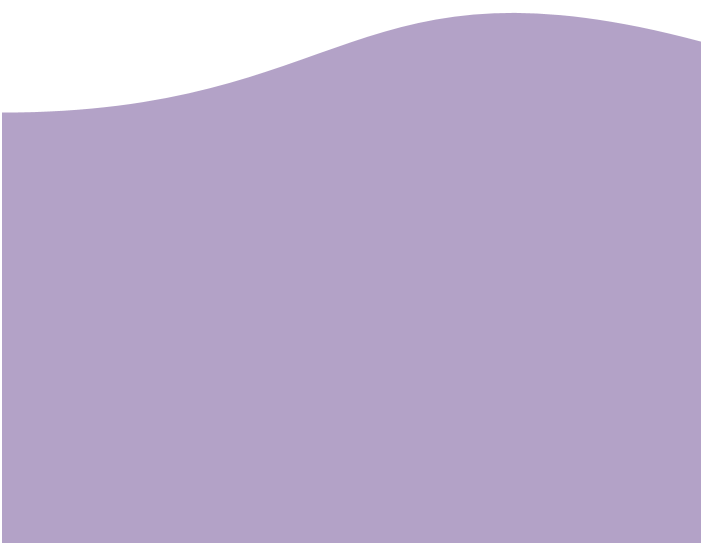


* participate in the entry meeting;
* identify and gather information;
* analyse information;
* evaluate information;
* report findings;
* participate in the feedback session; and
* undertake other duties as requested by the lead Auditor.



CO-AUDITOR

The role of the co-Auditor is to:

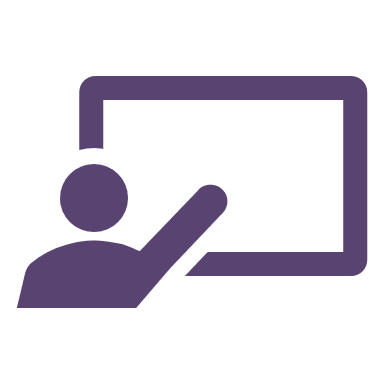


Technical experts may be used to provide advice to Auditors where TAC has agreed that access to expert industry advice would assist in the conduct of the audit. Technical experts can advise the audit team on current industry, regulatory or workplace requirements. Technical experts may also provide industry advice in the context of training product requirements.

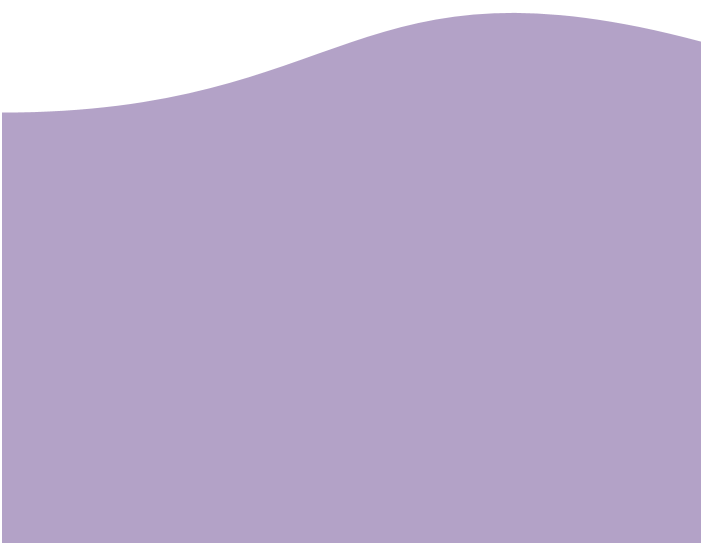
Technical experts must be familiar with the content of the vocation. Their contribution will be of most value if they have relevant, current experience in the industry sector and knowledge of training and assessment issues related to their industry.

The role of the technical expert is to:

* provide specialist knowledge and skills in the relevant industry where required - this may be required prior to the audit, during the audit or after the audit;
* if a technical advisor attends a TAC audit as part of the audit team, the technical expert will work under the direction and supervision of the lead Auditor at all times during the audit.
* participate in a pre-audit briefing (if required);
* assist the audit team to identify and gather information about strategies for training and assessment, the qualifications of staff and adherence to legislation and regulatory requirements as they affect the quality of training and assessment;
* provide advice about industry/regulatory requirements in respect of facilities, equipment and resources for the training products being audited; and
* meet with the lead Auditor at the conclusion of the audit to discuss any feedback and/or follow-up activities.



TECHNICAL EXPERTS



Observers are drawn from TAC and occasionally from other sections within the Department of Training & Workfoce Development. Further to this, trainee Auditors or new members of TAC staff may attend audits as observers. Auditors from VET Regulators in other states or territories may also attend as observers on occasions in order to build consistency in audit approaches across Australia.

The role of the observer is to:

* ensure that the correct audit process is followed;
* guard against bias, error and omission by providing a third-party view of the site visit;
* in the event of a formal complaint by the RTO, provide a third party account;
* provide clarification on site visit issues to TAC where required; and
* participate in the entry meeting and exit interview with the RTO.



OBSERVERS

Knowledge and Skills of Auditors

TAC establishes a panel of Auditors and Accreditation Reviewers through a public tender process.

Auditors are required to demonstrate they have the necessary knowledge and skills to apply audit principles, procedures and techniques when undertaking TAC audits. Auditors must hold relevant Auditor competencies[[1]](#footnote-1) and continuously demonstrate current and relevant vocational competencies in the conduct of audits.

Members of the TAC audit panel are required to undertake ongoing professional development and attend regular mandatory Auditor moderation meetings.

TAC Auditors and must observe the [TAC Code of Practice for RTO Auditors and Accreditation Reviewers](http://www.tac.wa.gov.au/about-us/TAC/Pages/TAC-Code-of-Practice-.aspx) at all times.

## Consultants at Audits

During an audit, the Auditor is required to assess how the systems the provider has implemented, or intends to implement, meet the requirements of the Standards for RTOs. Through this process the Auditor also has the opportunity to assess staff’s understanding of these systems. Many RTOs or applicants engage consultants to help prepare for a TAC audit. For the Auditor to be confident that a provider has the capacity to meet the requirements for registration, the interaction at the audit must be between the Auditor and the provider, not the consultant.

A consultant may attend an audit to provide support to the RTO. However, unless the consultant has been delegated the authority by the RTO’s Legally Responsible Person and will undertake the role on an ongoing basis for the RTO, the consultant cannot:

* provide responses to the Auditor on behalf of the provider; or
* enter into discussions regarding the conduct, progress or findings of the audit.

## Overall Level of Non-Compliance

The overall finding of an audit is based on the extent to which the evidence reviewed demonstrates compliance with the Standards for RTOs.

The overall finding is either compliance or non-compliance, defined as follows:

COMPLIANCE

The evidence reviewed indicates that the requirements of the Standards for RTOshave not been met.

The evidence reviewed indicates that the requirements of the Standards for RTOs have been met.

NON-

COMPLIANCE

When the overall finding is non-compliance, Auditors will also assign an **overall level** of non-compliance. This is recorded on the report and is one of the factors that informs an RTO’s risk rating. The levels of non-compliance are identified as:

Minor Non-Compliance

In this case, the requirements of the Standards for RTOs 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.

Evidence viewed could indicate that one or more of the following has occurred:

* the non-compliance identified does not demonstrate a serious breakdown of the RTO’s systems for the provision of quality training and assessment;
* continuous improvement systems are in place; and/or
* data from the quality indicators or other sources shows that clients are generally satisfied with services and outcomes from the RTO.

Significant Non-Compliance

In this case, the requirements of the Standards for RTOs have not been met based on the evidence reviewed and there are **indications of a significant adverse impact** on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.  
  
Evidence viewed could indicate that one or more of the following has occurred:

* training and assessment systems are not sufficiently focused on quality training and assessment outcomes and meeting individual learners’ needs in some areas of the RTO’s operations;
* systems to continuously improve the RTO’s operations are inadequate;
* data from the quality indicators or other sources shows that a range of clients have expressed dissatisfaction with services and outcomes from the RTO; and/or
* previously identified minor non-compliance has not been rectified or evidence of improvement within the applicable period has not been provided.

Critical Non-Compliance

The requirements of the Standards for RTOs have not been met based on the evidence reviewed and **a critical adverse impact** on learners and/or consumers of goods and services produced in the training environment or the current (or future) workplace is occurring or has occurred.  
  
Evidence viewed could indicate that one or more of the following has occurred:

* training and assessment systems are not achieving quality training and assessment outcomes and are not meeting individual learners’ needs;
* there is a breakdown in, or absence of, effective management systems;
* there is no systematic approach to continuous improvement; and/or
* data from quality indicators or other sources shows that there is widespread or persistent dissatisfaction with services and outcomes.

Critical Non-Compliance (Risk of Injury or Death)

The requirements of the Standards for RTOs have not been met based on the evidence reviewed and **a critical adverse impact** which may **indicate risk of injury or death** to learners and/or consumers of goods and services produced in the training environment or the current (or future) workplace is occurring or has occurred.

Evidence viewed could indicate that one or more of the following has occurred:

* training and assessment systems are not achieving quality training and assessment outcomes and are not meeting individual learners' needs;
* there is a breakdown in, or absence of, effective management systems;
* there is no systematic approach to continuous improvement;
* data from quality indicators or other sources shows that there is widespread or persistent dissatisfaction with services and outcomes; and/or
* there is a risk of injury or death to people in the training environment or the current (or future) workplace.
* In such instances, the level of risk and potential impact on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace may warrant immediate rectification.

Where an Auditor has identified a risk of injury or death, the Auditor must contact the Manager Regulation at TAC immediately to discuss the concerns. It is essential that the Auditor contacts TAC as soon as the risk of injury or death is identified so the non-compliance can be managed appropriately.

The Auditor will be asked to report to TAC the risk and the likelihood of the risk of injury or death occurring. The Auditor may also be required to submit the audit report to TAC within a shortened timeframe. In addition, the RTO may be required to provide evidence of rectification within a shortened timeframe, depending on the risk and the likelihood of the risk occurring.

The following table forms part of the [Management of Critical Non-Compliance Policy](http://www.tac.wa.gov.au/Pages/Policies-and-procedures.aspx) and outlines the rectification timeframe based on the likelihood of risk of injury or death occurring:

|  |  |  |
| --- | --- | --- |
| CRITICAL NON- COMPLIANCE (RISK OF INJURY OR DEATH) | | |
| LIKELIHOOD OF RISK OCCURRING | Almost Certain | Current practices may lead to risk of injury or death to learners and/or staff in the training environment or the current (or future) workplace.  Evidence that training/assessment practices may lead to risk of injury or death to learners in the training environment or the current (or future) workplace.  Evidence that the training/assessment practices may lead to risk of injury or death to consumers of goods and services produced in the training environment or the current (or future) workplace.  Rectification Timeframe: 24 Hours |
| Likely | Current practices may lead to risk of injury or death to learners and/or staff in the training environment or the current (or future) workplace.  Evidence that training/assessment practices may lead to risk of injury or death to learners in the training environment or the current (or future) workplace.  Evidence that the training/assessment practices may lead to risk of injury or death to consumers of goods and services produced in the training environment or the current (or future) workplace.  Rectification Timeframe: Up to 3 Days |
| Possible | Current practices may lead to risk of injury or death to learners and/or staff in the training environment or the current (or future) workplace.  Evidence that training/assessment practices may lead to risk of injury or death to learners in the training environment or the current (or future) workplace.  Evidence that the training/assessment practices may lead to risk of injury or death to consumers of goods and services produced in the training environment or the current (or future) workplace.  Rectification Timeframe: Up to 10 Days |
| Unlikely | Current practices may lead to risk of injury or death to learners and/or staff in the training environment or the current (or future) workplace.  Evidence that training/assessment practices may lead to risk of injury or death to learners in the training environment or the current (or future) workplace.  Evidence that the training/assessment practices may lead to risk of injury or death to consumers of goods and services produced in the training environment or the current (or future) workplace.  Rectification Timeframe: Up to 20 Days |
| Rare | Current practices may lead to risk of injury or death to learners and/or staff in the training environment or the current (or future) workplace.  Evidence that training/assessment practices may lead to risk of injury or death to learners in the training environment or the current (or future) workplace.  Evidence that the training/assessment practices may lead to risk of injury or death to consumers of goods and services produced in the training environment or the current (or future) workplace.  For example: No current enrolments in the training product  Rectification Timeframe: Up to 20 Days |

# Example Audit Report

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |
|  | |  | | --- | | **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) | |  | |  | |  | |  | |  | |  | | | | | |  |
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|  |  |  |  | |  |  |  | | --- | --- | --- | | **Audit Team** | | | | **Lead Auditor:** |  | Auditor One | |  |  |  |
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|  |  |  | |  |  |  | | --- | --- | --- | | **Registering Body** | | | | **Regulation Officer:** |  | Regulation Officer One | | |  |  |  |

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|  |  | |  |  |  |  | | --- | --- | --- | --- | | **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 BSB311112 Certificate III in Business Administration (Medical) which is currently on scope. | | | | | | | | |  |  | |
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|  |  |  |  | |  |  |  | | --- | --- | --- | | **AUDIT DATE/S** | | | | Main Audit | 01/01/2020 |  | | | | |  | |
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|  |  |  | |  | | --- | | **SITE/S AUDITED** | | RTOABC - 1 | | | | |  |  | |
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|  |  |  | |  | | --- | | **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 | | | | |  |  | |
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|  |  |  |  | |  |  |  |  | | --- | --- | --- | --- | | **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 | | | |  |  | |
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|  | |  |  | | --- | --- | | **Student/s** | | | **Student Group** | | | BSB60215 Advanced Diploma of Business | This learner is currently enrolled and undertaking training.  The learner advised that the RTO: - provided detailed information prior to enrolment - was responsive  - made regular contact - provided timely feedback - had a knowledgeable trainer and assessor  The learner was very satisfied the service provided by the RTO. | | BSB31115 Certificate III in Business Administration (Medical), | This learner completed a cluster of three units of competency in 2019.  The learner advised that the RTO: - provided detailed information prior to enrolment - created a workplace environment for the delivery of training - had a knowledgeable trainer and assessor  The learner was satisfied the service provided by the RTO and felt competent to test and tag electrical equipment upon course completion. | | | | | | | |  | |
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|  | |  |  | | --- | --- | | **Employer/s** | | | **Employer Name** |  | | Employer Representative | This employer advised that RTOABC is their preferred provider:  The employer advised that the RTO: - provided detailed information prior to enrolment - was responsive  - well prepared - allowed sufficient time for delivery and assessment - provided timely feedback - had a knowledgeable trainer and assessor - promptly issued certificates | | **Employer Name** |  | | Employer Representative | This employer advised that the staff who had attended the course provided very positive feedback about the training.   The employer advised that the RTO: - provided detailed information prior to enrolment - was responsive  - well prepared - allowed sufficient time for delivery and assessment - provided timely feedback - had a knowledgeable trainer and assessor - promptly issued certificates. | | | | | | | |  | |
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|  |  | | |  |  | |  |  |  |  | | --- | --- | --- | --- | | **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 | | |  |  | |
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|  | |  |  |  |  | | --- | --- | --- | --- | | **SUMMARY OF OVERALL AUDIT OUTCOMES** | | | | | **AUDIT**  **Audit Method** | Site Visit | **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 and there are indications of a significant 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.** | | | | | | | | | | |  | |
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|  |  |  |  | |  | | --- | | Standard 1 - BSB60215 Advanced Diploma of Business | | Standard 1 - BSB31115 Certificate III in Business Administration (Medical), | | Standard 3 | | Standard 5 | | | |  |  | |
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|  |  | |  | | --- | | **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. | | | | | | |  | |

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|  | |  | | --- | | **AUDIT REPORT** | | | | | | |  |
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|  | |  |  |  | | --- | --- | --- | | **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 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** | 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 Leaner 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** | 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.  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.  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.  The RTO is required to present evidence to demonstrate the trainer assessor has vocational competencies at least to the level being delivered and assessed. | | | **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** | • 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 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** | 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 Leaner 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:** | | **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** | | | | |
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| |  |  |  | | --- | --- | --- | | **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 records of learner progress leading to enabling certification documentation are maintained by the RTO and are accessible as required. | | | **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 documentation under its control, including information stored in its student management systems.** | | **Non Compliant** | | **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. | | | **Opportunities** | When informing a prospective learner about the amount of training required, it is suggested the RTO consider the existing skills, knowledge and experience of the learner.  It is suggested the RTO review the requirements of clause 5.2c to ensure that the information regarding its obligations to the learner is included in its handbook and on its website. | | | **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** | | **5.2a - 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 - 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 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 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 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** | | **5.2b 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** | | **5.2c - 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 - 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 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** | | **5.2d 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 - 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 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 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** | | **5.2e 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** | | **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 \*\*\*\*\*\*\*\*\*\*** | |  | |  |

# Useful Contacts

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| Apprenticeship Office  [www.dtwd.wa.gov.au](http://www.dtwd.wa.gov.au)/apprenticeship-office  [apprenticeshipoffice@dtwd.wa.gov.au](mailto:apprenticeshipoffice@dtwd.wa.gov.au)  13 19 54 | Ombudsman WA  [www.ombudsman.wa.gov.au](http://www.ombudsman.wa.gov.au)  [mail@ombudsman.wa.gov.au](mailto:mail@ombudsman.wa.gov.au)  08 9220 7555 |
| Australian Apprenticeships  [www.australianapprenticeships.gov.au](http://www.australianapprenticeships.gov.au) | **State Law Publishers**  [www.slp.wa.gov.au](http://www.slp.wa.gov.au) |
| Australian Industry and Skills Committee  [www.aisc.net.au](file:///C:/Users/hartm/Desktop/www.aisc.net.au) | **State Training Board**  [www.stb.wa.gov.au](http://www.stb.wa.gov.au)  [ostb@dtwd.wa.gov.au](mailto:ostb@dtwd.wa.gov.au)​  08 6551 5593 |
| Australian Qualifications Framework  [www.aqf.edu.au](http://www.aqf.edu.au)  [aqfc@aqf.edu.au](mailto:aqfc@aqf.edu.au)  08 8306 8777 | **Trades Recognition Australia**  [www.tradesrecognitionaustralia.gov.au](http://www.tradesrecognitionaustralia.gov.au)  [traenquiries@dese.gov.au](mailto:traenquiries@dese.gov.au)  1300 360 992 |
| Australian Skills Quality Authority  [www.asqa.gov.au](http://www.asqa.gov.au)  [enquiries@asqa.gov.au](mailto:enquiries@asqa.gov.au)  1300 701 801 | **Training.gov.au**  [www.training.gov.au](http://www.training.gov.au) |
| Department of Education, Skills and Employment (Commonwealth)  [www.education.gov.au](http://www.education.gov.au)  1300 566 046 | **Unique Student Identifier**  [www.usi.gov.au](http://www.usi.gov.au)  1300 857 536 |
| Department of Training and Workforce Development  [www.dtwd.wa.gov.au](http://www.dtwd.wa.gov.au)  [info@dtwd.wa.gov.au](mailto:info@dtwd.wa.gov.au?subject=Enquiry%20from%20Contact%20Us%20on%20Department%20of%20Training%20and%20Workforce%20Development%20website)  08 6551 5000 | **Victorian Registration and Qualifications Authority**  [www.vrqa.vic.gov.au](http://www.vrqa.vic.gov.au)  [vrqa@edumail.vic.gov.au](mailto:vrqa@edumail.vic.gov.au)  03 9637 2806 |
| Independent Tertiary Education Council Australia  [www.iteca.edu.au](http://www.iteca.edu.au/)  [membership@iteca.edu.au](mailto:membership@iteca.edu.au)  1300 421 017 |  |
| Jobs and Skills WA  [www.jobsandskills.wa.gov.au](http://www.jobsandskills.wa.gov.au)  13 64 64 |  |
| My Skills  [www.myskills.gov.au](http://www.myskills.gov.au) |  |
| National Centre for Vocational Education Research  [www.ncver.edu.au](http://www.ncver.edu.au)  [ncver@ncver.edu.au](mailto:ncver@ncver.edu.au)  08 8230 8400 |  |

# Training Accreditation Council Information

**Training Accreditation Council**

Telephone: 08 9224 6510

Email: tac@dtwd.wa.gov.au

Postal Address: Locked Bag 16 OSBORNE PARK DC WA 6916

Address: Level 9, 20 Walters Drive, OSBORNE PARK WA 6017

**Training Accreditation Council Website**

[www.tac.wa.gov.au](http://www.tac.wa.gov.au)

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| Application Forms | [www.tac.wa.gov.au/registration/Pages/Application-forms.aspx](file:///C:/Users/hartm/Desktop/www.tac.wa.gov.au/registration/Pages/Application-forms.aspx) |
| Application User Guides | [www.tac.wa.gov.au/registration/Pages/Application-forms.aspx](file:///C:/Users/hartm/Desktop/www.tac.wa.gov.au/registration/Pages/Application-forms.aspx) |
| Complaints against RTOs | https://www.tac.wa.gov.au/students/Pages/Complaints-against-RTOs.aspx |
| Course Accreditation | [www.tac.wa.gov.au/course-accreditation/Pages/default.aspx](http://www.tac.wa.gov.au/course-accreditation/Pages/default.aspx) |
| Fact Sheets | [www.tac.wa.gov.au/StandardsRTOs2015/Pages/Fact%20Sheets/Fact-sheets.aspx](http://www.tac.wa.gov.au/StandardsRTOs2015/Pages/Fact%20Sheets/Fact-sheets.aspx) |
| Frequently Asked Questions | [www.tac.wa.gov.au/StandardsRTOs2015/Pages/FAQs/FAQs.aspx](file:///C:/Users/hartm/Desktop/www.tac.wa.gov.au/StandardsRTOs2015/Pages/FAQs/FAQs.aspx) |
| Policies and Guidelines | [www.tac.wa.gov.au/Pages/Policies-and-procedures.aspx](http://www.tac.wa.gov.au/Pages/Policies-and-procedures.aspx) |
| Professional Development | [www.tac.wa.gov.au/about-us/Pages/Professional-Development.aspx](http://www.tac.wa.gov.au/about-us/Pages/Professional-Development.aspx) |
| RTOPortal | https://rtoportal.tac.wa.gov.au/ |
| Standards for Registered Training Organisations 2015 | [www.tac.wa.gov.au/StandardsRTOs2015/Pages/default.aspx](http://www.tac.wa.gov.au/StandardsRTOs2015/Pages/default.aspx) |
| TAC Update (newsletter) | [www.tac.wa.gov.au/newsandevent/Pages/default.aspx](http://www.tac.wa.gov.au/newsandevent/Pages/default.aspx) |
| Users’ Guide to the Standards for RTOs | [www.tac.wa.gov.au/StandardsRTOs2015/Pages/Users%E2%80%99-Guide-.aspx](http://www.tac.wa.gov.au/StandardsRTOs2015/Pages/Users%E2%80%99-Guide-.aspx) |

1. *Standards for VET Regulators 2015:* Schedule 1 – Competency Requirements [↑](#footnote-ref-1)