Audit report – RTO Delegation

ORGANISATION DETAILS
Organisation’s legal name: Innovative Business Training Pty Ltd
Trading name/s: N/A
RTO number: 3875
CRICOS number: N/A

AUDIT TEAM
Lead auditor: Lesley Shaw
Assistant/s: N/A
Technical advisor/s: N/A

AUDIT DETAILS
Audit reason: RTO Delegate audit
Activity type: Site visit
Address of site/s visited: 15 Andrew St.
                          Castlemaine VIC 3540
Date/s of audit: 22 April 2016
Organisation’s contact for audit: Ms Wendy Tagliabue Director
                                 wendy@innovativebusinesstraining.com.au 03 93470252
Delegation requirements audited: 1, 2, 3, 4, 5, and 6
Standards / Clauses audited: 1.1, 1.2, 1.3, 1.8, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, 1.21,
                             1.22, 1.25, 2.4, 4.1, 5.1, 5.2, 5.3, 5.4

BACKGROUND
- The organisation is regionally located in Castlemaine, Victoria with a training presence in Melbourne. It has been operating as an RTO for over 20 years with a focus on agribusiness courses.
- The organisation has recently extended its scope of registration under Delegation to include 2 qualifications in Building and Construction in a move to grow the size of the RTO and maintain long term financial viability.
- Core clients have been to date microbusinesses or start up businesses that are land based or offer services in management and/or administration.
- Delivery is currently in Victoria only with some fee for service training activity interstate.
- The organisation has funding contract with the Victorian Department of Education and was approved in December 2015 as a VET FEE HELP provider. The latter is seen as a way to offer the disadvantaged groups in the region higher AQF level training options.
Total number of current enrolments in RTO as at audit date:
- 7

**AUDIT SAMPLE**

<table>
<thead>
<tr>
<th>Code</th>
<th>Training products</th>
<th>Mode/s of delivery / assessment*</th>
<th>Current enrolments</th>
</tr>
</thead>
<tbody>
<tr>
<td>AHC41010</td>
<td>Certificate IV in Agribusiness</td>
<td>Mixed</td>
<td>7</td>
</tr>
<tr>
<td>CPC50210</td>
<td>Diploma of Building and Construction</td>
<td>Mixed</td>
<td>0</td>
</tr>
</tbody>
</table>

*(Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify))

**INTerviewees**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Training products</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ms Wendy Tagliaabue</td>
<td>Director</td>
<td>AHC41010, CPC50210</td>
</tr>
<tr>
<td>Mr Aaron Hines</td>
<td>Training Manager</td>
<td>AHC41010, CPC50210</td>
</tr>
</tbody>
</table>

**Original Finding at Time of Audit**

Audit finding as at 29/04/2016:
Delegation requirements: **Requirements NOT met**
Standards requirements: **NOT compliant**
- If the requirements have not been met and/or non-compliance has been identified, this audit report describes evidence of the findings.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

**Audit Finding Following Analysis of Rectification Evidence**

Audit finding following analysis of additional evidence provided on 03/06/2016:
Delegation requirements: **Requirements Met**
Standards requirements: **Compliant**

**Audit Finding by Requirement**

Requirements for a delegate Quality Assurance System (Delegation requirements)

<table>
<thead>
<tr>
<th>Section</th>
<th>Original finding</th>
<th>Finding following rectification</th>
</tr>
</thead>
<tbody>
<tr>
<td>R1</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>R2</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>R3</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>R4</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>R5</td>
<td>Requirement met</td>
<td>n/a</td>
</tr>
<tr>
<td>R6</td>
<td>Requirement not met</td>
<td>Requirement met</td>
</tr>
<tr>
<td>Standard</td>
<td>Original finding</td>
<td>Finding following rectification</td>
</tr>
<tr>
<td>------------</td>
<td>------------------</td>
<td>--------------------------------</td>
</tr>
<tr>
<td>Standard 1</td>
<td>Not Compliant</td>
<td>Compliant</td>
</tr>
<tr>
<td>Standard 2</td>
<td>Not Audited</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 4</td>
<td>Compliant</td>
<td>n/a</td>
</tr>
<tr>
<td>Standard 5</td>
<td>Not Compliant</td>
<td>Compliant</td>
</tr>
</tbody>
</table>

**RATING OF AUDIT FINDING**

Performance of the delegated function: Poor

Effectiveness of the internal review: Poor

**ABOUT THIS REPORT**

This report details findings against the ‘Requirements for a delegate Quality Assurance System’, as described in Schedule 2 of the Delegation Agreement; and the Standards for Registered Training Organisations 2015.

Requirements for a delegate Quality Assurance System

- The evidence guidance included against each requirement is designed to guide the auditor and RTO on the requirements of the requirement. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether the requirements have been met.
- The ‘Reasons for finding of Met / Not Met’ section of the report will document all findings including any issues that were considered in the formulation of a finding.

**Standards for Registered Training Organisations 2015**

- The evidence guidance included against clause is designed to guide the auditor and RTO on the requirements of the clause. The evidence guidance is not designed to limit the audit findings and there may be other factors an auditor takes into consideration when determining whether compliance has been demonstrated.
- Where evidence of non-compliance is identified, the ‘Reasons for finding of non-compliance’ section of the report will document the issues that were considered in the formulation of a finding of non-compliance.
REQUIREMENTS FOR A DELEGATE QUALITY ASSURANCE SYSTEM

R 1 GENERAL
To be compliant with R 1 the RTO must meet the following:

R 1.1
The quality assurance system is defined and documented, and ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions.

Original finding: Not Met
Following rectification: Met

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The quality assurance system is defined and documented</td>
<td>☒</td>
<td>☐</td>
</tr>
<tr>
<td>The quality assurance system ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

Reasons for finding of Not Met:
The evidence provided by the organisation was:
• Policies and Procedures V 3 March 2016

The evidence provided did not meet R 1.1 for the following reason:
• The policies and procedures were defined and documented however the quality assurance system did not clearly define the roles and responsibilities in relation to the delegated functions.

In order for the requirements to be Met, the organisation is required to:
• Provide evidence the quality assurance system includes clear delineation and accountabilities of roles in relation to the delegated functions.

Analysis of rectification evidence:
Evidence supplied:
• Innovative Business Training (IBT) Delegate Function Roles and Responsibilities 070416 – for each of the Delegate Requirements it is stated who is responsible and when the function will be actioned.
• IBT Duty Statement Company Director 060516 – includes role and responsibility against the delegated functions.

The evidence provided supports compliance with the requirements of R 1.1.

R 1.2
The quality assurance system includes processes related to the delegated functions that ensure the effective exercise of functions, including, but not limited to processes to guide the following activities:
a) Designing, planning, implementing, monitoring and reviewing the Delegate’s performance against the delegation relevant to the VET Regulator Standards and the NVETR Act
b) Managing staff competence
c) Ensuring accountability and transparency
d) Reporting obligations
e) Managing documents and records.

Original finding: Not Met
Following rectification: Met
Evidence guidance

The quality assurance system includes processes related to the delegated functions which ensures the effective exercise of functions  ❑  ❑

Processes guide the following activities:

- designing, planning, implementing, monitoring and reviewing the Delegate’s performance against the delegation relevant to the VET Regulator Standards and the NVETR Act  ❑  ❑
- managing staff competence  ❑  ❑
- ensuring accountability and transparency  ❑  ❑
- reporting obligations  ❑  ❑
- managing documents and records  ❑  ❑

Reasons for finding of Not Met:
The evidence provided by the organisation was:
- Policies and Procedures V 3 March 2016

The evidence provided did not meet R 1.2 for the following reason:
- The policies and procedures did not include processes related to the delegated functions, which ensure the effective exercise of its functions.

In order for the requirements to be Met, the organisation is required to:

- Present evidence of a quality assurance system that includes processes to guide;
  - designing, planning, implementing, monitoring and reviewing the Delegate’s performance against the delegation relevant to the VET Regulator Standards and the NVETR Act
  - managing staff competence (refer also to R3.1 Managing staff competence)
  - ensuring accountability and transparency (refer also to R4.1c Accountability and Transparency)
  - managing documents and records (refer also to R6.1 Managing Document and Records)

Analysis of rectification evidence:
Evidence provided:
- IBT Policy and Procedures Manual V6 23052016 Pages 61,62,63

The policy and procedures manual has been updated to include how IBT:
- develops, plans, monitors and reviews its performance,
- ensures staff competence,
- ensures accountability and
- manages and documents and records.

The evidence provided supports compliance with the requirements of R 1.2.

R 2 MONITORING AND INTERNAL REVIEW
To be compliant with R 2 the RTO must meet the following:
### R 2.1

**Internal Review of the Quality Assurance System** is undertaken at least annually to evaluate the system’s continuing suitability and effectiveness, to ensure that the system is effectively and consistently implemented, and to ensure adherence to the delegation Agreement.

<table>
<thead>
<tr>
<th>Original finding: Not Met</th>
<th>Following rectification: Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y N</td>
</tr>
<tr>
<td>An Internal Review of the Quality Assurance System has been undertaken at least annually</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>The Internal Review:</td>
<td></td>
</tr>
<tr>
<td>• evaluated the system’s continuing suitability and effectiveness</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>• ensured that the system is effectively and consistently implemented</td>
<td>☒ ☐</td>
</tr>
<tr>
<td>• ensured adherence to the delegation Agreement</td>
<td>☒ ☐</td>
</tr>
</tbody>
</table>

**Reasons for finding of Not Met:**

The evidence provided by the organisation was:

- Audit completed by external consultant in Nov 2015
- Audit completed by the Delegate’s compliance manager in March 2016
- Continuous Improvement Plan V4 040416

The evidence provided did not meet R 2.1 for the following reason:

- The internal reviews did not ensure adherence to the delegation Agreement. The reviews only assessed the Delegate’s compliance with the RTO Standards for RTOs 2015 and the Victorian HESG funding contract.

**In order for the requirements to be Met, the organisation is required to:**

- Provide evidence of an Internal Review process that not only evaluates the suitability and effectiveness of the quality assurance system but also includes adherence to the delegation Agreement.

**Analysis of rectification evidence:**

Evidence provided:

- IBT Policy and Procedures Manual V6 23052016 Page 63
- IBT Internal Audits by Quarter templates
- IBT Continuous Improvement Plan V6 21052016

The Policy and Procedures manual has been updated to include adherence to the Delegation Agreement and ASQA Delegate Audit checklist has become part of the quarterly internal audit schedule. The Continuous Improvement Plan has been updated to record recent actions taken in response to Delegation Audit report.

The evidence provided supports compliance with the requirements of R 2.1.

### R 2.2

**The Internal Review:**

a) Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.
b) Includes consideration of evidence gained through monitoring activities.
c) Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.
The following table outlines the findings and rectifications related to the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function:

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Original finding: Not Met</th>
<th>Following rectification: Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Internal Review:</td>
<td></td>
<td>Y N</td>
</tr>
<tr>
<td>• was sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation</td>
<td>☒ ☐</td>
<td></td>
</tr>
<tr>
<td>• included consideration of evidence gained through monitoring activities</td>
<td>☒ ☐</td>
<td></td>
</tr>
<tr>
<td>• took into consideration a range of relevant data and sources, including internal and external stakeholder feedback</td>
<td>☒ ☐</td>
<td></td>
</tr>
<tr>
<td>• fostered the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function</td>
<td>☒ ☐</td>
<td></td>
</tr>
</tbody>
</table>

**Reasons for finding of Not Met:**

The evidence provided by the organisation was:

- Audit completed by external consultant in Nov 2015.
- Audit completed by the Delegate’s compliance manager in March 2016
- Continuous Improvement Plan V4 040416

The evidence provided did not meet R 2.2 for the following reason:

- The Internal Review process was comprehensive and robust and able to identify strengths and weaknesses as quantified in the Continuous Improvement Plan. However, the process did not include the identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.

**In order for the requirements to be Met, the organisation is required to:**

- Provide evidence the internal review process fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.

**Analysis of rectification evidence:**

Evidence provided:

- IBT Policy and Procedures Manual V6 23052016 Page 63
- IBT Internal Audits by Quarter templates
- IBT Continuous Improvement Plan V6 21052016

The revised internal review process will ensure the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function. The Continuous Improvement Plan has been updated to record recent actions taken in response to Delegation Audit report.

The evidence provided supports compliance with the requirements of R 2.2.
The Delegate has systematically acted on, monitored and evaluated improvement opportunities arising from the Internal Review

Reasons for finding of Met:
Evidence provided:
- Continuous Improvement Plan including action items, who is responsible and the timeline for completion.

R 3 MANAGING STAFF COMPETENCE
To be compliant with R 3 the RTO must meet the following:

R 3.1 The Delegate ensures competent personnel perform the delegated functions and decisions by:
   a) Determining and monitoring the necessary competence and performance of personnel.
   b) Where applicable, providing training or taking other actions to achieve necessary competence and performance.
   c) Ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate’s obligations.

Original finding: Not Met Following rectification: Met

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate ensures competent personnel perform the delegated functions and decisions</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Delegate determines and monitors the necessary competency and performance of personnel</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Delegate provides training or other actions to achieve necessary competence and performance</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Delegate ensures personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate’s obligations</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of Not Met:
The evidence provided by the organisation:
- Policies and Procedures V 3 March 2016
- Staff Appraisals Process
- Professional Development Policy and Procedures
- Professional Development Schedule 2016

The evidence provided did not meet R 3.1 for the following reason:
- The evidence provided did not demonstrate the staff allocated responsibility to perform delegated functions and make decisions. There was no evidence the staff is made aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate’s obligations.

In order for the requirements to be Met, the organisation is required to:
Provide evidence of how it ensures:
- Competent personnel perform the delegated functions and decisions.
- Personnel are made aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate’s obligations.

Analysis of rectification evidence:

Australian Skills Quality Authority
Audit report RTO Delegation - Innovative Business Training Pty Ltd
Evidence provided:
- IBT Delegate Function Roles and Responsibilities
- IBT Staff Induction and Competency Review 23052016
- IBT Professional Development Records 20052016

The Innovative Business Training (IBT) Delegate Function Roles and Responsibilities 070416 identifies for each of the Delegate Requirements who is responsible and when the function will be actioned. The Staff Induction and Competency Review form now includes a section on Delegation Status and Procedures and the Professional Development Record indicates that a 2 hour training session was provided in May 2016 to all staff on the Delegation functions.

The evidence provided supports compliance with the requirements of R 3.1.

### R 4 ACCOUNTABILITY AND TRANSPARENCY

To be compliant with R 4 the RTO must meet the following:

**R 4.1**
The Delegate ensures accountability and transparency in relation to the delegated functions by:

a) Demonstrating that quality assurance processes and decisions are consistently applied.
b) Demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.
c) Demonstrating that outcomes of the delegated functions and decisions lead to:
   - Quality training and assessment outcomes
   - Effectively managed transition arrangements, and
   - No disadvantage to students.
d) Accurate and authorised information regarding the Delegation Agreement is made public.

<table>
<thead>
<tr>
<th>Original finding: Not met</th>
<th>Following rectification: Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Quality assurance processes and decisions are consistently applied</td>
<td>☒</td>
</tr>
<tr>
<td>Decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness</td>
<td>☒</td>
</tr>
</tbody>
</table>

The outcomes of the delegated functions and decisions have led to:

- Quality training and assessment outcomes that demonstrate compliance with the Standards for Registered Training Organisations 2015
- The effective management of transition arrangements as required by the Standards for Registered Training Organisations 2015 and the General Direction – Learner Transition
- No disadvantage to students
- Accurate and authorised information regarding the Delegation Agreement is made public

**Reasons for finding of Met / Not Met:**

The evidence provided by the organisation:

- Policies and Procedures V 3 March 2016
- Training and assessment strategies and assessment tools for CPC50210 Diploma of Building and Construction (Building) and AHC41010 Certificate IV in Agribusiness

The evidence provided did not meet R 4.1 for the following reasons:
• The training and assessment strategy for CPC50210 Diploma of Building and Construction (Building) and AHC41010 Certificate IV in Agribusiness were not compliant with clause 1.1 of the Standards for RTOs 2015
• The assessment tools for the following units in CPC50210 Diploma of Building and Construction (Building) were not compliant with clause 1.8 of the Standards for RTOs 2015
  - CPCCBC5003A Supervise the planning of on-site medium rise building or construction work
  - CPCCBC5018A Apply structural principles to the construction of medium rise buildings

In order for the requirements to be Met, the organisation is required to:

Provide evidence of:
• Training and assessment strategies for AHC41010 Certificate IV in Agribusiness and CPC50210 Diploma of Building and Construction (Building) compliant with clause 1.1 of the Standards for RTOs 2015
• Assessments tools for the above units from the CPC50210 Diploma of Building and Construction (Building) that are compliant with clause 1.8 of the Standards for RTOs 2015. (Refer also to findings under clause 1.8 of the Standards for RTOs 2015).

Analysis of rectification evidence:

Evidence provided:
• Training and assessment strategies for AHC41010 Certificate IV in Agribusiness and CPC50210 Diploma of Building and Construction (Building) compliant with clause 1.1 of the Standards for RTOs 2015 (Refer to specific comments under clause 1.1)
• Assessments tools for units CPCCBC5003A and CPCCBC5018A compliant with clause 1.8 of the Standards for RTOs 2015. (Refer to specific comments under clause 1.8)

The evidence provided supports compliance with the requirements of R 4.1.

R 5 REPORTING OBLIGATIONS
To be compliant with R 5 the RTO must meet the following:

R 5.1
The Delegate reports regularly and within set timeframes to ensure the completeness, accuracy and currency of information on the National Register

Original finding: Met  Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate reports regularly and within set timeframes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information on <a href="http://www.training.gov.au">www.training.gov.au</a> is complete, accurate and current</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of Met:
• The Delegate has submitted via ASQA.net, the appropriate documentation relating to its scope of registration and the information on www.training.gov.au is complete, accurate and complete.

R 5.2
The Delegate reports regularly and within set timeframes to ASQA including:
• Annually in relation to the exercise of the delegated function
• On request.

Original finding: Met  Following rectification: n/a
Evidence guidance

The Delegate has reported annually in relation to the exercise of the delegated function

The Delegate has reported any information on request of ASQA

Reasons for finding of Met / Not Met:

• The Delegate has provided the Annual Activity Summary report to ASQA.

R 6 MANAGING DOCUMENTS AND RECORDS
To be compliant with R 6 the RTO must meet the following:

R 6.1
The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained.

Original finding: Not Met
Following rectification: Met

Evidence guidance

The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained

Reasons for finding of Not Met:

The evidence provided by the organisation:

• Record Management Policy and Procedures V3 March 2016
• Electronic communication relating to the delegated functions

The evidence provided did not meet R 6.1 for the following reason:

The Delegate’s current Record Management Policy and Procedures does not specifically relate to the control and maintenance of records relating to the Delegation functions.

In order for the requirements to be Met, the organisation is required to:

Provide evidence that documents and records relating to the delegated functions are effectively controlled and maintained.

Analysis of rectification evidence:

Evidence provided:

• IBT Policy and Procedures Manual V6 23052016 Pages 61 and 62
• IBT Document control register V3 020616

The evidence describes how documents relating to the delegation functions will be controlled and maintained.

The evidence provided supports compliance with the requirements of R 6.1.

R 6.2
The Delegate has a documented procedure that is consistently implemented that defines the controls for:

a) Approval, review and updating, version status, distribution of and access to documents
b) Identification, storage, protection, retrieval, retention and removal of records

Original finding: Met
Following rectification: n/a
Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Delegate has a documented procedure that defines the controls for the approval, review and updating, version status, distribution of and access to documents</td>
<td>☒</td>
<td></td>
</tr>
<tr>
<td>The Delegate a documented procedure that defines the controls for the Identification, storage, protection, retrieval, retention and removal of records</td>
<td>☒</td>
<td></td>
</tr>
<tr>
<td>The Delegate implements these procedures consistently</td>
<td>☒</td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of Met:
Evidence provided:
- Records Management Policy and Procedures
- Register IBT Document control V2 07042016

The evidence provided demonstrates the Delegate has a documented procedure for the control of records.
STANDARDS FOR REGISTERED TRAINING ORGANISATIONS 2015

STANDARD 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. To be compliant with Standard 1 the RTO must meet the following:

Clause 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.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A training and assessment strategy (or strategies) was provided for each training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>product sampled</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Each strategy is consistent with the requirements of the training product</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Each strategy provides a framework to guide the learning requirements and the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>training and assessment arrangements of each training product – the macro level</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>requirements of the learning and assessment process</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Each strategy identifies an amount of training to be provided to learners that is</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>consistent with the requirements of the training product</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Each strategy has been consistently implemented</td>
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</tbody>
</table>

Reasons for finding of non-compliance:

**AHC41010 Certificate IV in Agribusiness**

A training and assessment strategy (TAS) was provided for this qualification.

The evidence provided does not demonstrate the organisation’s strategies and practices are consistent with the AHC Training Package for the following reasons:

- The packaging rules for the qualification have not been accurately addressed. There are currently 3 elective units selected from outside the prescribed list. The rules allow for a maximum of 2 electives to be chosen from outside the elective list.
- The training schedule on page 6 of the TAS indicates there are 16 hours of training per month for each of the units – AHCBUS401A and AHCBUS403A. However the delivery schedule on page 3 of the TAS indicates there are 24 hours of face to face delivery.

**CPC50210 Diploma of Building and Construction (Building)**

A training and assessment strategy (TAS) was provided for this qualification.

The evidence provided does not demonstrate the organisation’s strategies and practices are consistent with the CPC Training Package for the following reasons:

- The information provided on the target group is inconsistent and the entry requirements are confusing. The target group are expected to be employed in the building industry, have a trade Certificate or higher in any CPC qualification and at 6 years experience in the industry. However it is then noted there are no entry requirements for the qualification as per the Training Package.
• The intensity of learning per cluster also requires review as it is proposed that 30 hours per week over 12 months is required. For a learner working full time to attend classes, undertake self study and complete assessments for 30 hours a week would appear unmanageable.

• The assessment arrangements described in the TAS do not include any workplace observation and assessment as required by the training product.

In order to become compliant, the organisation is required to:

**AHC41010 Certificate IV in Agribusiness**
- Provide evidence in the TAS that the packaging rules for the training product have been followed correctly.
- Ensure the amount of face to face training stated in the training and delivery schedules in the TAS are accurate and consistent throughout the document.

**CPC50210 Diploma of Building and Construction (Building)**
- Clarify in the TAS the target group and ensure entry requirements are consistent with this target group.
- Review the duration of the qualification and the hours allocated for each cluster of units to ensure the intensity of learning is manageable for full time employed learners.
- Ensure the assessment arrangements in the TAS include as required by the training product, workplace observation and assessment.

---

### Analysis of rectification evidence:

Evidence provided:
- Revised TAS AHC41010 Certificate IV in Agribusiness
- Revised TAS CPC5021 Diploma of Building and Construction

The evidence provided in the revised TAS for AHC41010 Certificate IV in Agribusiness indicates the packaging rules for the qualification have been correctly addressed and the amount of face to face training for the two units reviewed (AHCBUS401A and AHCBUS403A) is accurate in both the delivery and training schedules.

The evidence provided in the revised TAS for CPC5021 Diploma of Building and Construction indicates the entry requirements are consistent with the target group of existing employees or contractors. More information has been provided on the duration and intensity of learning for full time and part time learners and the assessment arrangements include assessor observation and assessment, and the collection of third party evidence.

The evidence provided supports compliance with the requirements of clause 1.1.

---

### 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:

- a) the existing skills, knowledge and the experience of the learner;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

<table>
<thead>
<tr>
<th>Original finding: Not Compliant</th>
<th>Following rectification: Compliant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence guidance</td>
<td>Y</td>
</tr>
</tbody>
</table>

For each training product sampled, the amount of training to be provided identified in each strategy is consistent with:

- the existing skills, knowledge and experience of learners  

Australian Skills Quality Authority
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• the mode/s of delivery
• the number of units and/or modules being delivered

Reasons for finding of non-compliance:

**AHC41010 Certificate IV in Agribusiness**
A training and assessment strategy (TAS) was provided for this qualification.
The evidence provided does not demonstrate compliance with clause 1.2 for the following reason:
- There are hours allocated in the delivery schedule for face to face training, mentoring, self paced study and assessment. It is unclear the amount of training (formal activities) included in the mentoring and self study component of the course.

**CPC50210 Diploma of Building and Construction (Building)**
A training and assessment strategy (TAS) was provided for this qualification.
The evidence provided does not demonstrate compliance with clause 1.2 for the following reason:
- There are hours allocated in the delivery schedule for face to face training, self paced study and assessment. It is unclear the amount of training (formal activities) included in the self study component of the course.
- The hours allocated to face to face training and self study are inconsistent throughout the documentation. For example the delivery schedule states for the Medium Rise Building Projects cluster of 4 units, there will be a total of 184 hours of face to face delivery and 144 hours of self study. However based on the information provided under Duration on page 4 and in the Schedule on page 11 there is 384 hours of face to face delivery and 280 hours of self study for the cluster.

In order to become compliant, the organisation is required to:

**AHC41010 Certificate IV in Agribusiness**
**CPC50210 Diploma of Building and Construction (Building)**
- Provide evidence of how the amount of training is consistent with the existing skills, knowledge and experience of the learners.

**CPC50210 Diploma of Building and Construction (Building)**
- Ensure the TAS has accurate and consistent information on the amount of hours allocated for face to face training and self study. (Refer also to clause 1.1)

**Analysis of rectification evidence:**

**AHC41010 Certificate IV in Agribusiness**
Evidence provided:
- Revised TAS AHC41010 Certificate IV in Agribusiness
The revised TAS has an updated delivery schedule breaking down hours of training into face to face training, mentoring including site visits, independent study/ applied skill development and assessment. Further information has been provided on the one on one mentoring sessions and activities included in the independent study component. The amount of training is consistent with the existing skills, knowledge and experience of the learners.

**CPC50210 Diploma of Building and Construction (Building)**
Evidence provided:
- Revised TAS CPC50210 Diploma of Building and Construction (Building)
The revised TAS has clearly identified that learners will have a minimum of five years on-site construction experience, have access to building sites and be currently working in the construction industry for at least 20 hours per week.
The amount of hours allocated to face to face training is 704 hours and 495 hours for self study. An explanation is provided on the scope of activities included in self study. The evidence provided supports compliance with the requirements of clause 1.2.

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

- a) trainers and assessors to deliver the training and assessment;
- b) educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;
- c) 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
- d) facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Original finding: Not Compliant  
Following rectification: Compliant

Evidence guidance

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>For all training products sampled, there are sufficient:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• trainers and assessors</td>
<td></td>
<td></td>
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<tr>
<td>• educational and support services to meet the needs of learners</td>
<td></td>
<td></td>
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<tr>
<td>• learning resources that address the requirements of all components of the</td>
<td></td>
<td></td>
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<tr>
<td>relevant training product and are accessible to all learners</td>
<td></td>
<td></td>
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<tr>
<td>• facilities and equipment to accommodate the number of learners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consistency is evident between each strategy and the above resources</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

**CPC50210 Diploma of Building and Construction (Building)**

A hire agreement to use the facilities at Ringwood Training/ Ringwood Secondary College was provided.

The evidence provided does not demonstrate compliance with clause 1.3 for the following reason:

- The agreement did not state the facilities and equipment that will be available to learners at this Training Centre.

In order to become compliant, the organisation is required to:

- Provide evidence the facilities and equipment available for use at the Training Centre will meet the resource requirements for this training product.

Analysis of rectification evidence:

Evidence provided:

- Revised TAS CPC50210 Diploma of Building and Construction (Building)

The TAS has clarified that assessors will visit the student's workplace to assess demonstration of skills at the work site. Workplace supervisors will confirm workplace demonstration by providing third party reports. The training facility at Ringwood Secondary College will only be used for training purposes.

The evidence provided supports compliance with the requirements of clause 1.3.

Clause 1.8
The RTO implements an assessment system that ensures that assessment (including recognition of prior learning):
a) complies with the assessment requirements of the relevant training package or VET accredited course; and
b) 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.

Original finding: Not Compliant Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AHC41010 Certificate IV in Agribusiness</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Assessment meets the assessment requirements of the training package or course.</td>
<td>☒</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>Assessment appropriately simulates workplace conditions (refer assessment conditions/assessment guidelines)</td>
<td>☐</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td><strong>AHCBUS401A Administer finance, insurance and legal requirements</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment tools consist of:</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Applied assignment. Three parts:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Part A Legal Requirements</td>
<td></td>
<td></td>
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<tr>
<td>Part B Insurance Requirements</td>
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<tr>
<td>Part C Finance requirements</td>
<td></td>
<td></td>
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<tr>
<td><strong>AHCBUS403A Support and review business structures and relationships</strong></td>
<td></td>
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<tr>
<td>Assessment tools consist of:</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Assessment 1 – Knowledge questions</td>
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<tr>
<td>Assessment 2 – Applied Assignment</td>
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<tr>
<td><strong>Principles of Assessment – fairness, flexibility, validity, reliability:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>AHCBUS401A</strong></td>
<td><strong>AHCBUS403A</strong></td>
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<tr>
<td>Y</td>
<td>N</td>
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</tbody>
</table>
Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>Y</th>
<th>N</th>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Validity: Assessment evidence considered has direct relevance to the unit or module’s specifications</td>
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<td></td>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
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<td></td>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
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<td></td>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
</tr>
</tbody>
</table>

CPC50210 Diploma of Building and Construction (Building)
Assessment meets the assessment requirements of the training package or course. 
Assessment appropriately simulates workplace conditions (refer assessment guidelines)
CPCBBC5003A Supervise the planning of on-site medium rise building or construction work
Assessment tools consist of:
- written questions
- project work
- case studies

CPCBBC5018A Apply structural principles to the construction of medium rise buildings
Assessment tools consist of:
- written questions
- project work
- case studies

Principles of Assessment – fairness, flexibility, validity, reliability:

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>Y</th>
<th>N</th>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Elements addressed (to levels as defined in performance criteria)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Knowledge evidence/required knowledge addressed</td>
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<td></td>
<td></td>
<td>Performance evidence/required skills addressed</td>
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<tr>
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<td></td>
<td></td>
<td></td>
<td>Assessment conditions/critical aspects of evidence addressed</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Context and consistency of assessment addressed to appropriate AQF level</td>
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<tr>
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<td></td>
<td></td>
<td>Assessment of knowledge and skills is integrated with their practical application</td>
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<tr>
<td></td>
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<td></td>
<td>Assessment uses a range of assessment methods</td>
</tr>
</tbody>
</table>
Criteria defining acceptable performance are outlined for all instruments
Clear information about assessment requirements is provided (for assessors and students)
Allows for reasonable adjustment and provides for objective feedback
Considers dimensions of competency and transferability

Rules of Evidence – validity, sufficiency, authenticity, currency:

<table>
<thead>
<tr>
<th>Evidence guidance:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Validity: Assessment evidence considered has direct relevance to the unit or module's specifications</td>
</tr>
<tr>
<td>Sufficiency: Sufficient assessment evidence is considered to substantiate a competency judgement</td>
</tr>
<tr>
<td>Authenticity: Assessment evidence gathered is the learner’s own work</td>
</tr>
<tr>
<td>Currency: Competency judgements include consideration of evidence from the present or the very recent past</td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

**CPC50210 Diploma of Building and Construction (Building)**

**CPCBC5018A Apply structural principles to the construction of medium rise buildings**

**CPCBC5003A Supervise the planning of on-site medium rise building or construction work**

Assessment tools consist of:

- written questions
- project work
- case studies

The evidence provided does not support that assessment complies with the assessment requirements of the relevant Training Package nor the principle of assessment – validity, and the rules of evidence – sufficiency, for the following reasons:

- The assessment tasks did not address all parts of the unit. There was insufficient evidence of assessment in the planning and implementing the erection or demolition of buildings in CPCBC5018A or the requirement to demonstrate in the workplace the supervision of a medium rise building or construction project in CPCBC5003A.
- The assessment requirements are not valid as the assessment of knowledge and skills are not integrated with their practical application. Both units require under the conditions of assessment to ‘include direct observation of tasks in real or simulated work conditions, with questioning to confirm the ability to consistently identify and correctly interpret the essential underpinning knowledge required for practical application’.
- The current assessment tasks do not require any demonstration of skills to be observed and assessed in the workplace or a closely simulated workplace.
- For assessment evidence to be valid and sufficient, the Training Package requires the evidence must be collected over a period of time reflecting the scope of the role and practical requirements of the workplace and include a range of direct, indirect and supplementary evidence.
In order to become compliant, the organisation is required to:

CPC50210 Diploma of Building and Construction (Building)
CPCCABC5018A Apply structural principles to the construction of medium rise buildings
CPCC5003A Supervise the planning of on-site medium rise building or construction work

- Provide evidence the assessment tasks for the above units of competency are valid and sufficient, by ensuring they fully address the requirements of each unit of competency including the assessment requirements as specified in the Evidence Guide.

Analysis of rectification evidence:

CPC50210 Diploma of Building and Construction (Building)
CPCCABC5018A Apply structural principles to the construction of medium rise buildings
CPCC5003A Supervise the planning of on-site medium rise building or construction work

Evidence provided for both units (CPCCABC5018A and CPCC5003A):

- Student assessment packs for each unit including instructions for all assessments required. Assessments now require the completion of knowledge questions, case study, workplace project, assessor observation and third party evidence.
- Student supporting documents such as workplace documentation, site plans, schedules and other resources. These are to be used to complete each case study and/or workplace project.
- Assessment mapping guide
- Marking guide
- Assessor supporting documentation such as demolition and construction schedules.

The assessment tasks address unit requirements, as there is now a combination of theory and practical assessment in the workplace, which is further supported by third party evidence. Evidence collected will be valid and sufficient and collected over a period of time reflecting the scope of the role and practical requirements of the workplace.

The evidence provided supports compliance with the requirements of clause 1.8.

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:

- a) vocational competencies at least to the level being delivered and assessed;
- b) current industry skills directly relevant to the training and assessment being provided; and
- c) current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Original finding: Compliant

Following rectification: n/a

Evidence guidance

Each trainer / assessor must meet all requirements for each training product being delivered:

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Training product code/s delivered</th>
<th>1.13 (a)</th>
<th>1.13 (b)</th>
<th>1.13 (c)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Katia Leonate</td>
<td>ACH41010</td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
</tbody>
</table>

Australian Skills Quality Authority
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<table>
<thead>
<tr>
<th>Name</th>
<th>Code</th>
<th>Y/N</th>
<th>Y/N</th>
<th>Y/N</th>
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<th>Y/N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jill Noble</td>
<td>ACH41010</td>
<td>☒</td>
<td>☒</td>
<td>☒</td>
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</tr>
<tr>
<td>Brian McDonnell</td>
<td>CPC50210</td>
<td>☒</td>
<td>☒</td>
<td>☒</td>
<td>☒</td>
<td>☒</td>
</tr>
<tr>
<td>Colin Brewer</td>
<td>CPC50210</td>
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</table>

**Clause 1.14**
The RTO's training and assessment is delivered only by persons who have:

a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1, or demonstrated equivalence of competencies; and

b) from 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 of Schedule 1.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>VET qualifications of trainers and assessors have been verified</td>
<td>☒</td>
<td>☒</td>
</tr>
</tbody>
</table>

Each trainer / assessor must meet at least one of the following requirements:

<table>
<thead>
<tr>
<th>Trainer / Assessor name</th>
<th>Schedule 1 Item 1</th>
<th>Schedule 1 Item 2</th>
<th>Demonstrated equivalence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Y</td>
<td>N</td>
<td>Y</td>
</tr>
<tr>
<td>Katia Leonait</td>
<td>☒</td>
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<tr>
<td>Jill Noble</td>
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<tr>
<td>Brian McDonnell</td>
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<tr>
<td>Colin Brewer</td>
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</table>

*Schedule 1, Item 1: TAE40110 Certificate IV in Training and Assessment or its successor*

*Schedule 1, Item 2: A Diploma or higher level qualification in adult education*

**Clause 1.15**
Where a person conducts assessment only, the RTO ensures that the person has:

a) prior to 1 January 2016, the training and assessment qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1, or demonstrated equivalence of competencies; and

b) from 1 January 2016, Item 1 or Item 2 or Item 3 of Schedule 1.

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
</table>

Original finding: Compliant  Following rectification: n/a

Original finding: Not audited  Following rectification: n/a

Australian Skills Quality Authority
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Evidence guidance | Y | N
---|---|---
The RTO uses assessors that conduct assessment only.
If no, clause is not audited. If yes:

**Clause 1.16**
The RTO ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency based training and assessment.

| Original finding: Compliant | Following rectification: n/a |

| Evidence guidance | Y | N |
---|---|---|
Trainers and assessors undertake professional development in the knowledge and practice of vocational training, learning and assessment, including competency based training and assessment

**Clause 1.17**
Where the RTO, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

| Original finding: Not audited | Following rectification: n/a |

| Evidence guidance | Y | N |
---|---|---|
People delivering training under supervision are utilised
If no, clauses 1.17 – 1.20 are not audited, go to Clause 1.22. If yes:

| Supervision is provided by a trainer that meets the requirements of clauses 1.13 and 1.14 |
---|---|---|
People under supervision do not determine assessment outcomes

**Clause 1.18**
The RTO ensures that any individual working under the supervision of a trainer under Clause 1.17:

a) holds the skill set defined in Item 4 of Schedule 1 or, prior to 1 January 2016, is able to demonstrate equivalence of competencies;
b) has vocational competencies at least to the level being delivered and assessed; and
c) has current industry skills directly relevant to the training and assessment being provided.

| Original finding: Not audited | Following rectification: n/a |

| Evidence guidance | Y | N |
---|---|---|
Each individual who works under the supervision of a trainer **must meet all** requirements for each training product being delivered:

**Clause 1.19**
Where the RTO engages an individual under Clause 1.17, it ensures that the training and assessment complies with Standard 1.

| Original finding: Not audited | Following rectification: n/a |

| Evidence guidance | Y | N |
Training and assessment complies with Standard 1

Clause 1.20
Without limiting Clauses 1.17 - 1.19, the RTO:
   a) determines and puts in place:
      i) the level of the supervision required; and
      ii) any requirements, conditions or restrictions considered necessary on the
          individual’s involvement in the provision of training and collection of assessment
          evidence; and
   b) ensures that trainers providing supervision monitor and are accountable for all training
      provision and collection of assessment evidence by the individual under their supervision.

Original finding: Not audited  Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervision arrangements have been identified</td>
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</tr>
<tr>
<td>People delivering training under supervision have been monitored by the supervising trainer</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Clause 1.21
Prior to 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment:
   a) hold the training and assessment qualification at least to the level being delivered; or
   b) have demonstrated equivalence of competencies.

Not audited – clause does not apply from 1 January 2016 (Clause 1.22 applies from this date)

Clause 1.22
From 1 January 2016, to deliver any AQF qualification or skill set from the Training and Education Training Package (or its successor) the RTO must ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

Note: from 1 January 2017, the requirements set out in Clause 1.22 continue to apply to any other AQF qualification or skill set from the Training and Education Training Package (or its successor).

Original finding: Not audited  Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>A TAE qualification or skill set is included in the audit scope</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If no, clause is not audited. If yes:

Clause 1.23
From 1 January 2017, to deliver the training and assessment qualification specified in Item 1 of Schedule 1, or any assessor skill set from the Training and Education Training Package (or its successor), the RTO must ensure all trainers and assessors delivering the training and assessment:
   a) hold the qualification specified in Item 5 of Schedule 1; or
   b) work under the supervision of a trainer that meets the requirement set out in (a) above.
Clause 1.24
The RTO must ensure that any individual working under supervision under Clause 1.23.b) holds the qualification specified in Item 1 of Schedule 1 and does not determine assessment outcomes.

Not audited as clause does not commence until 1 January 2017

Clause 1.25
From 1 January 2016, to deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the RTO must have undergone an independent validation of its assessment system, tools, processes and outcomes in accordance with the requirements contained in Schedule 2 (and the definitions of independent validation and validation).

Original finding: Not audited  Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>A TAE qualification or the assessor skill set is included in the audit scope?</td>
<td></td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes and RTO is applying to add training product to scope, Schedule 2 a) and c) apply</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes and training product is already on scope, Schedule 2 b) and c) apply</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Schedule 2 a) (addition to scope only)

| Validation of the RTO’s assessment tools, processes and outcomes for five (5) other AQF qualifications and/or units of competency on scope has occurred (or all, if RTO has less than five (5) qualifications and/or units on scope) | ✓ |   |     |
| Validation of the assessment system to be adopted in the delivery of the training and assessment qualification or assessor skill set has occurred. |   |   |     |

Schedule 2 b) (RTOs that already have TAE training products on scope)

| Validation of the assessment system used for delivery of the training and assessment qualification or assessor skill set has occurred. |   |   |     |
| Validation of the RTO’s assessment tools, processes and outcomes in relation to the training and assessment qualification or assessor skill set has occurred. |   |   |     |

Schedule 2 c)

<table>
<thead>
<tr>
<th>Validation has been carried out by a validator/s who:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• collectively have current knowledge and skills in vocational teaching and learning</td>
</tr>
<tr>
<td>• hold the training and assessment qualification or assessor skill set at least to the level being validated</td>
</tr>
<tr>
<td>• are not employed or subcontracted by the RTO to provide training and assessment</td>
</tr>
<tr>
<td>• have no other involvement or interest in the operations of the RTO</td>
</tr>
</tbody>
</table>
STANDARD 2  The operations of the RTO are quality assured.
To be compliant with Standard 2 the RTO must meet the following:

Clause 2.4
The RTO has sufficient strategies and resources to systematically monitor any services delivered on its behalf, and uses these to ensure that the services delivered comply with these Standards at all times.

Original finding: Not audited  Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategies have been developed to systematically monitor third party arrangements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>to ensure services comply with these Standards</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The above strategies have been implemented</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

STANDARD 4  Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.
To be compliant with Standard 4 the RTO must meet the following:

Clause 4.1
Information, whether disseminated directly by the RTO or on its behalf, is both accurate and factual, and:

a) accurately represents the services it provides and the training products on its scope of registration;
b) includes its RTO Code;
c) refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained;
d) uses the NRT Logo only in accordance with the conditions of use specified in Schedule 4;
e) makes clear where a third party is recruiting prospective learners for the RTO on its behalf;
f) distinguishes where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party;
g) distinguishes between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the RTO;
h) includes the code and title of any training product, as published on the National Register, referred to in that information;
i) only advertises or markets a non-current training product while it remains on the RTO’s scope of registration;
j) only advertises or markets that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been confirmed by the industry regulator in the jurisdiction in which it is being advertised;
k) includes details about any VET FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO’s provision of training and assessment; and
l) does not guarantee that:
   i) a learner will successfully complete a training product on its scope of registration; or

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ii) a training product can be completed in a manner which does not meet the requirements of Clause 1.1 and 1.2; or
iii) a learner will obtain a particular employment outcome where this is outside the control of the RTO.

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evidence guidance</strong></td>
<td>Y</td>
</tr>
<tr>
<td>Advertising and marketing:</td>
<td></td>
</tr>
<tr>
<td>• is accurate and factual</td>
<td>☑</td>
</tr>
<tr>
<td>• accurately represents the services provided</td>
<td>☑</td>
</tr>
<tr>
<td>• accurately represents the RTO scope of registration</td>
<td>☑</td>
</tr>
<tr>
<td>• includes the RTO code</td>
<td>☑</td>
</tr>
<tr>
<td>• only refers to a person or organisation with their consent</td>
<td>☑</td>
</tr>
<tr>
<td>• uses the NRT logo in accordance with the conditions of use specified in Schedule 4 of these Standards</td>
<td>☑</td>
</tr>
<tr>
<td>• identifies where a third party is recruiting prospective learners on behalf of the RTO</td>
<td>☑</td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided on behalf of another RTO</td>
<td>☑</td>
</tr>
<tr>
<td>• identifies where training and assessment is being provided by a third party</td>
<td>☑</td>
</tr>
<tr>
<td>• distinguishes between national recognised training and other training</td>
<td>☑</td>
</tr>
<tr>
<td>• includes the code and title of each training product as per <a href="http://www.training.gov.au">www.training.gov.au</a></td>
<td>☑</td>
</tr>
<tr>
<td>• includes accurate information about licensed or regulated outcomes</td>
<td>☑</td>
</tr>
<tr>
<td>• includes details about financial support provided, including VET FEE-HELP</td>
<td>☑</td>
</tr>
<tr>
<td>• includes details about relevant government funding subsidies</td>
<td>☑</td>
</tr>
<tr>
<td>Does not guarantee that a learner:</td>
<td></td>
</tr>
<tr>
<td>• will successfully complete a training product</td>
<td>☑</td>
</tr>
<tr>
<td>• can complete a training product in a manner not compliant with Clauses 1.1 or 1.2</td>
<td>☑</td>
</tr>
<tr>
<td>• will obtain a particular employment outcome unless this is in the control of the RTO</td>
<td>☑</td>
</tr>
</tbody>
</table>

**STANDARD 5**
Each learner is properly informed and protected.
To be compliant with Standard 5 the RTO must meet the following:

**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.

<table>
<thead>
<tr>
<th>Original finding: Compliant</th>
<th>Following rectification: n/a</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Skills Quality Authority</td>
<td>Audit report RTO Delegation - Innovative Business Training Pty Ltd</td>
</tr>
</tbody>
</table>
Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Information is provided to prospective learners, prior to enrolment or commencement of training or assessment whichever comes first, about the training product appropriate to meeting the learner’s needs, taking into account the individual’s existing skills and competencies.

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:

a) the code, title and currency of the training product to which the learner is to be enrolled, as published on the National Register;
b) the training and assessment, and related educational and support services the RTO will provide to the learner including the:
   i) estimated duration;
   ii) expected locations at which it will be provided;
   iii) expected modes of delivery;
   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
   v) any work placement arrangements.
c) 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.
d) the learner’s rights, including:
   i) details of the RTO’s complaints and appeals process required by Standard 8; and
   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;
e) the learner’s obligations:
   i) in relation to the repayment of any debt to be incurred under the VET FEE-HELP scheme arising from the provision of services;
   ii) any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product; and
   iii) any materials and equipment that the learner must provide; and
f) information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services.

Original finding: Compliant
Following rectification: n/a

Evidence guidance

<table>
<thead>
<tr>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

Prior to enrolment or commencement, written information is provided on the following:

- code and title of the training product as per [www.training.gov.au](http://www.training.gov.au)
- currency of the training product
- estimated duration of training and/or assessment
- location/s where training and/or assessment will be provided
- mode/s of delivery
- name and contact details of any third party providing services
- work placement arrangements
- confirmation that the RTO is responsible for compliance of training and/or assessment
- confirmation that the RTO is responsible for issuance of AQF certification documentation
- details of the RTO complaints and appeals processes (also refer Clauses 6.1 – 6.4)
- the learner’s rights if the RTO or a third party closes or ceases to deliver the agreed training and/or assessment
- the learner’s obligation to repay any VET FEE-HELP debt
- any entry requirements
- any materials and equipment the learner must provide
- any implications on the learner’s entitlement to access government funding by undertaking the training and/or assessment

Clause 5.3
Where the RTO collects fees from the individual learner, either directly or through a third party, the RTO provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

a) all relevant fee information including:
   i) fees that must be paid to the RTO; and
   ii) payment terms and conditions including deposits and refunds;

b) the learner’s rights as a consumer, including but not limited to any statutory cooling-off period, if one applies;

c) the learner’s right to obtain a refund for services not provided by the RTO in the event the:
   i) arrangement is terminated early; or
   ii) the RTO fails to provide the agreed services.

Original finding: Not Compliant  Following rectification: Compliant

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fees are collected from individual learners</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If no, clause is not audited. If yes:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written information is provided on the following, prior to enrolment or commencement:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• all fees that must be paid</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• payment terms and conditions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• refund terms and conditions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the learner’s statutory right to a cooling-off period</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Reasons for finding of non-compliance:

**CPC50210 Diploma of Building and Construction (Building)**

An enrolment pack was provided for this qualification.

The evidence provided does not demonstrate compliance with clause 5.3 for the following reasons:

• Payment terms and conditions are not included.
• Refund terms and conditions are not included.
In order to become compliant, the organisation is required to:

- Provide evidence the Building Enrolment Pack includes information on payment and refund terms and conditions that are consistent with the organisation’s policies and procedures.

Analysis of rectification evidence:

Evidence provided:

- Enrolment Pack CPC50210 Pages 33,34
- IBT Student Handbook page 11
- IBT website (www.innovativebusinesstraining.edu.au/fees-funding/)

The Building Enrolment Pack now includes information on payment and refund terms and conditions that are consistent with the organisation’s policies and procedures.

The evidence provided supports compliance with the requirements of clause 5.3.

<table>
<thead>
<tr>
<th>Clause 5.4</th>
<th>Where there are any changes to agreed services, the RTO advises the learner as soon as practicable, including in relation to any new third party arrangements or a change in ownership or changes to existing third party arrangements.</th>
</tr>
</thead>
</table>

Original finding: Compliant

Following rectification: n/a

<table>
<thead>
<tr>
<th>Evidence guidance</th>
<th>Y</th>
<th>N</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learners are advised of any changes to agreed services</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>