

AUDIT REPORT - Renewal of Registration**Organisation Details**

Legal Name	Dillon Whitelaw and Associates Pty Ltd	RTO Number	0842
Trading Name	Dillon Whitelaw and Associates Pty Ltd		
Size of RTO	small	No of Students	42
Website	www.dillon.com.au		
Main Address	1/795 Beaufort Street, Mount Lawley, WA, 6050		
Legally Responsible	Mrs Maree Cleaver	Position	CEO
Email	maree@dillon.com.au	Phone Number	6161 6915
Registration Contact	Mrs Maree Cleaver	Position	CEO
Email	maree@dillon.com.au	Phone Number	08 6161 6915

Audit Team

Lead Auditor	Sharon Stewart	Contact Details	Telephone No: 0421 047 722 Email: sharon@lcctrainingsolutions.com.au
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Registering Body Details

Case Manager	Karen Scale	Contact Details	Telephone No: 9441 1927 Email: Karen.Scale@des.wa.gov.au
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SUMMARY OF AUDIT OUTCOMES

Audit Method	Site Visit	Audit Type	Renewal of Registration
Date of Audit	30/10/2014 to 31/10/2014	Date Report Submitted	17/11/2014

- Compliant with the AQTF Essential Conditions and Standards for Continuing Registration.
 Not Compliant with the AQTF Essential Conditions and Standards for Continuing Registration.

Organisation Overview

The RTO provides training in both business and pharmacy industry areas with Traineeships. Maree Cleaver has taken over as CEO in May and the new shareholders of Dillon Whitelaw settled in July 2014.

All training is conducted on site and currently there are 2 trainers (one of which is Maree Cleaver).

The Legal Entity remains Dillon Whitelaw & Associates Pty Ltd the directors have changed within the organisation and there was a sale of shares in the legal entity.

SUMMARY of findings

The current RTO is compliant across all Conditions and Standards due to the work of the CEO who has engaged employers and trainees to establish previous training and assessment practices and to identify what the needs of the clients really are. The work in developing interim learning and assessment strategies and materials has demonstrated a strong continuous improvement focus and commitment to provide quality training and assessment. The auditor suggests a follow up in 12months to audit the deployed strategies to confirm the commitment to quality training and assessment.

Staff Interviews

Staff Name	Position/Title	Entry	Exit
Maree Cleaver	CEO and Trainer	Yes	Yes

AUDIT REPORT

Conditions of Registration

Conditions Audited	1, 2, 3, 4, 5, 6, 7, 8, 9
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CONDITION 1 - GOVERNANCE

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Quality Management System: Containing policies and procedures around the management of the RTO Fit and Proper Person declaration statements completed with Stat Decs for for Scott Barkla (Director) and Maree Cleaver (CEO) Transitional Minutes of Meeting 13th October 2014 Minute of Meeting Agenda template Internal audit schedule with a risk assessment undertaken by Maree Cleaver
Findings	The Transitional Strategic Minutes identified that when the new shareholders took over the business the policy and procedures were outdated and not inline with current VET requirements. Discussions with the CEO provides evidence that the new shareholders are in the process of rebuilding the framework of the business to operate within the new environment.

CONDITION 2 - INTERACTIONS WITH REGISTERING BODY

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Self Assessment Audit; RTONet up to date; Server is replicated on Heroware (30minutes) in the office and also replicated on ScopeLogic remove host. VETTRACK is hosted by OZSOFT; P3 Risk Management Process; P1 Governance and compliance management
Findings	The RTO has evidence which demonstrates compliance with this Condition.

CONDITION 3 - COMPLIANCE WITH LEGISLATION

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Register of all related Legislation for the RTO; Induction of Staff Procedure: Completed Staff Induction of Rick Barkla using the new procedures; P9 Occupational Health and Safety
Findings	The RTO is compliant and no further evidence is required.

CONDITION 4 - INSURANCE

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Copy of Public & Products Liability and Professional Indemnity - to 30th September 2015
Findings	The RTO is compliant and no further evidence is required.

CONDITION 5 - FINANCIAL MANAGEMENT

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	P7 Financial Management; Employer Authority to invoice fees and changes; P8 Fees and Refunds; Legal request for copies of invoices from the previous Directors of fees paid by current trainees (the RTO is waiting on this information); MYOB Register of fees paid by students; Flyers from the Business Industry Area "Thinking about a Traineeship in Business"; Financial Accounts sent to TAC prior to auditor undertaking the site audit and Chemist Warehouse Traineeships Program-WA
Findings	The RTO is compliant and no further evidence is required.

CONDITION 6 - CERTIFICATION AND ISSUING OF QUALIFICATIONS AND STATEMENTS OF ATTAINMENT

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	New copy Certificate; Statement of Attainment and Record of Results P16 Issuing qualifications & Statement of Attainment procedures includes the introduction of the USI VETTRACK is the student management system
Findings	The new copies credentials developed by the RTO meet the AQF requirements

CONDITION 7 - RECOGNITION OF QUALIFICATIONS ISSUED BY OTHER RTOS

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Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Flyers from the Business Industry Area "Thinking about a Traineeship in Business"; Financial Accounts sent to TAC prior to auditor undertaking the site audit and Chemist Warehouse Traineeships Program-WA; Trainee role and responsibility and RTO Code of Practice: Student Induction process.		
Findings	The RTO is compliant and no further evidence is required.		
CONDITION 8 - ACCURACY AND INTEGRITY OF MARKETING			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Website for Dillon Whitelaw P2 Advertising and Marketing Procedure		
Findings	The current website has been updated to reflect new contacts and current qualifications being offered. The website is the main marketing for the RTO.		
CONDITION 9 - TRANSITION TO TRAINING PACKAGES/EXPIRY OF ACCREDITED COURSES			
Compliant <input checked="" type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	P22 Transition Procedure Current training and assessment strategies are consistent with the Training Package Notification from TGA and Industry Skills Council Management Agenda contains agenda item to review		
Findings	The RTO is compliant and no further evidence is required.		

OVERALL REPORT

Standard 1 - The RTO provides quality training and assessment across all of its operations			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard			
Element 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.4a - Training and assessment is delivered by trainers and assessors who: have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.4b - Training and assessment is delivered by trainers and assessors who: have the relevant vocational competencies at least to the level being delivered or assessed, and			
Compliant <input type="checkbox"/>		Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>

Element 1.4c - Training and assessment is delivered by trainers and assessors who: can demonstrate current industry skills directly relevant to the training/assessment being undertaken and		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.4d - Training and assessment is delivered by trainers and assessors who: continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.5a - Assessment including Recognition of Prior Learning (RPL): meets the requirements of the relevant Training Package or accredited course		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.5b - Assessment including Recognition of Prior Learning (RPL): is conducted in accordance with the principles of assessment and the rules of evidence		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.5c - Assessment including Recognition of Prior Learning (RPL): meets workplace and, where relevant, regulatory requirements		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 1.5d - Assessment including Recognition of Prior Learning (RPL): is systematically validated.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Standard 2 - The RTO adheres to principles of access and equity and maximises outcomes for its clients.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Overall Comment Against Standard		
Element 2.1 - The RTO establishes the needs of clients, delivers services to meet these needs.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.2 - The RTO continuously improves client services by collecting, analysing and acting on relevant data.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.5 - Learners receive training, assessment and support services that meet their individual needs.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.6 - Learners have timely access to current and accurate records of their participation and progress.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Standard 3 - Management systems are responsive to the needs of clients, staff and stakeholders, and the		

environment in which the RTO operates.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
Element 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF 2010 Conditions and Essential Standards for Continuing Registration.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>
Element 3.4 - The RTO manages records to ensure their accuracy and integrity.		
Compliant <input type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input checked="" type="checkbox"/>

Business Services

Standard 1 - The RTO provides quality training and assessment across all of its operations		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
The RTO is compliant and no further evidence is required as each of the element requirements for this standard have been addressed.		
Element 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Minutes of Meetings from September 2014 - October 2014 The RTO provided the following updated document: Trainee commencement Checklist; Workplace Training Program; New Training and Assessment Strategies; Industry feedback on the newly developed trainee documents; Capacity to Train documents; Survey with current employers (Supervisors) and trainees (Trainee evaluations asking questions across all aspects of the previous training and assessment and client services previously offered); 2015 Proposed Traineeship Process Woodside Trainees	
Findings	These minutes clearly show how the incoming shareholders have reviewed all aspects of the Training and Assessment. The summary reports were then analysed and a strategy was put in place to meet all the issued raised by the Employers and Trainees. These improvements included accessing soft copy of the assessments rather than hand writing. Providing Learning Materials, Supervisors now are engaged by the RTO, Assessments can be word processed; Monthly trainee face-to-face, Monthly Supervisor email contact and then Quarterly Face to Face Supervisor meeting and go through feedback and assist them in completing the required documents.	
Element 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	BSB20112 Certificate II in Business Learning and Assessment Strategy V2 Dated 30.9.2014; Industry Consultation in the form of Employer and Student Interviews, Analysis of interviews and Emails from clients confirming the strategy.	

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	<p>Training Plan and Workplace Program Plan BSB20112 Certificate II in Business - Student Records: Lelia W; Keziah B; Sheldon</p> <p>BSB40112 Certificate IV in Business - 2 students enrolled Strategy for Learning and Assessment Version 2 Sept 2014: Traineeship Online Learning Pathway; Consultation with Industry - Emails confirming strategy</p>
Findings	<p>The current RTO has developed new Training and Assessment Strategies for each of the qualifications after a review was undertaken and visits to the employers and students to identify what strategies had previously been applied. It was noted that no learning had been taking place the current RTO has now developed strategies and a plan to ensure all trainees receive regular training.</p> <p>The Training and Assessment Strategies viewed for each Qualification and is consisted with the Training Package requirements.</p>
<p>Element 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.</p>	
<p>Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/></p>	
Evidence	<p>BSB20112 Certificate II in Business - Student Records: Lelia W; Keziah B; Sheldon E ASSESSMENT Student records: The current RTO has identified that there has been no evidence collected although each of the 3 students has resulted 'Competent' in one or more units of competency. The current RTO has scheduled appointments with the school based trainees and presented a strategy to rectify the lack of reporting. This will include a new Training Plan and a full review of the learning and assessment materials.</p> <p>Minutes of Meetings Sept & October: highlighting issues with the Assessment and Assessment Practice that was being offered and the strategies developed and implemented by the new RTO owners.</p> <p>New Assessment Instruments to be used include the following: BSBWHS201A: Theory Assessment; Mentor evidence of performance of the trainee; Skills Assessment-PO1; Marking guide for the theory assessment BSBCMM201A: Theory Assessment; Mentor evidence of performance of the trainee; Skills Assessment-PO1; Marking guide for the theory assessment</p> <p>LEARNING MATERIALS - NEW not previously offered by the previous RTO owners Online access to Learner Guides from CATAPALT Scheduled Monthly meetings with Trainee to undertake learning Optional off the job training sessions Workplace Mentor - now has a guide on what is being covered during the learning (Workplace Learning Program).</p> <p>FACILITIES & EQUIPMENT Employer capacity to train and resource checklist (newly implemented as part of the Trainee induction)</p> <p>STAFF Maree Cleaver: Copy of TAE40110 issued by TrainWest 5/7/2012; BSB51607 Diploma of Quality Auditing; Matrix to demonstrate Vocational Competency; Currency of Industry established through current job description and roles and responsibilities being undertaken</p> <p>Minutes of Meetings Sept & October: highlighting issues with the Assessment and Assessment Practice that was being offered and the strategies developed and implemented by the new RTO owners</p> <p>BSB40112 Certificate IV in Business - 2 students enrolled LEARNING & ASSESSMENT MATERIALS for Kristie Briggs BSBITU402A-CATAPULT online learning & Assessment materials BSBCUS401A-CATAPULT online learning & Assessment materials</p>

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	<p>LEARNING & ASSESSMENT MATERIALS for Emily Richards BSBRKG413A-CATAPULT online learning & Assessment materials BSBINN301A-CATAPULT online learning & Assessment materials</p> <p>Practical Assessment Schedule for Continuing Students</p> <p>FACILITIES & EQUIPMENT Employer capacity to train and resource checklist (newly implemented as part of the Trainee induction)</p> <p>STAFF Maree Cleaver: Copy of TAE40110 issued by TrainWest 5/7/2012; BSB51607 Diploma of Quality Auditing; Matrix to demonstrate Vocational Competency; Currency of Industry established through current job description and roles and responsibilities being undertaken</p> <p>Minutes of Meetings Sept & October: highlighting issues with the Assessment and Assessment Practice that was being offered and the strategies developed and implemented by the new RTO owners</p> <p>BSB30112 Certificate III in Business ASSESSMENT EVIDENCE The current RTO provided Schedule showing up and coming meetings with current trainees to work through the new induction and issuance of Assessment and Learning materials.</p> <p>Student files: Maisie Barrett; Rebecca Miller-Howell Practical Assessment Schedule for Continuing Students.</p> <p>BSBITU307A previous assessments the accuracy speed was not given to the required AS 2708:2001 of 98% - a newly developed assessment was presented to address the issue of not meeting the TP requirements.</p> <p>BSBWHS302A previous assessments have not captured required skills so the current RTO has developed a new instrument to capture this and provided a timeline of visiting the trainees to gather this evidence.</p> <p>LEARNING MATERIALS - Previously none now the following: CATAPULT online learning materials Training Plan and Workplace Learning Program Monthly workplace visits by the RTO</p> <p>FACILITIES & EQUIPMENT Employer capacity to train and resource checklist (newly implemented as part of the Trainee induction)</p> <p>STAFF Maree Cleaver: Copy of TAE40110 issued by TrainWest 5/7/2012; BSB51607 Diploma of Quality Auditing; Matrix to demonstrate Vocational Competency; Currency of Industry established through current job description and roles and responsibilities being undertaken</p> <p>Minutes of Meetings Sept & October: highlighting issues with the Assessment and Assessment Practice that was being offered and the strategies developed and implemented by the new RTO owners</p>
Findings	<p>BSB20112 Certificate II in Business The evidence reviewed (the newly developed documents) have met the Training Package requirements and are consistent with the new Training and assessment Strategies.</p> <p>BSB40112 Certificate IV in Business - 2 students enrolled The current RTO has identified that the current assessment activities did not meet the Training Package requirements and has developed an additional instrument to allow the trainee to demonstrate their skills and knowledge at the workplace. The current RTO has provided a schedule for the deployment of this additional tool.</p>

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	<p>BSB30112 Certificate III in Business FACILITIES & EQUIPMENT Employer capacity to train and resource checklist (newly implemented as part of the Trainee induction) STAFF Maree Cleaver: Copy of TAE40110 issued by TrainWest 5/7/2012; BSB51607 Diploma of Quality Auditing; Matrix to demonstrate Vocational Competency; Currency of Industry established through current job description and roles and responsibilities being undertaken Minutes of Meetings Sept & October: highlighting issues with the Assessment and Assessment Practice that was being offered and the strategies developed and implemented by the new RTO owners</p>
Element 1.4a - Training and assessment is delivered by trainers and assessors who: have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Maree Cleaver: Copy of TAE40110 issued by TrainWest 5/7/2012; BSB51607 Diploma of Quality Auditing; Matrix to demonstrate Vocational Competency; Currency of Industry established through current job description and roles and responsibilities being undertaken
Findings	The RTO's nominated trainer holds the current Training and Assessment qualification and no further evidence is required.
Element 1.4b - Training and assessment is delivered by trainers and assessors who: have the relevant vocational competencies at least to the level being delivered or assessed, and	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	See Element 1.4a
Findings	The RTO's current trainer and assessor holds vocational competence and no further evidence is required.
Element 1.4c - Training and assessment is delivered by trainers and assessors who: can demonstrate current industry skills directly relevant to the training/assessment being undertaken and	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Element 1.4a
Findings	The RTO's current trainer and assessor has currency of industry and no further evidence is required.
Element 1.4d - Training and assessment is delivered by trainers and assessors who: continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Element 1.4a
Findings	The RTO's current trainer and assessor has undertaken by VET and Industry PD and no further evidence is required.
Element 1.5a - Assessment including Recognition of Prior Learning (RPL): meets the requirements of the relevant Training Package or accredited course	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	<p>BSB30112 Certificate III in Business ASSESSMENT EVIDENCE The current RTO provided Schedule showing up and coming meetings with current trainees to work through the new induction and issuance of Assessment and Learning materials.</p> <p>Student files: Maisie Barrett; Rebecca Miller-Howell Practical Assessment Schedule for Continuing Students.</p> <p>BSBITU307A previous assessments the accuracy speed was not given to the required AS</p>

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	<p>2708:2001 of 98% - a newly developed assessment was presented to address the issue of not meeting the TP requirements.</p> <p>BSBWHS302A previous assessments have not captured required skills so the current RTO has developed a new instrument to capture this and provided a timeline of visiting the trainees to gather this evidence.</p> <p>BSB40112 Certificate IV in Business ASSESSMENT MATERIALS for Kristie Briggs BSBITU402A-CATAPULT online learning & Assessment materials BSBCUS401A-CATAPULT online learning & Assessment materials</p> <p>LEARNING & ASSESSMENT MATERIALS for Emily Richards BSBRKG413A-CATAPULT online learning & Assessment materials BSBINN301A-CATAPULT online learning & Assessment materials</p> <p>Practical Assessment Schedule for Continuing Students</p> <p>BSB20112 Certificate II in Business - Student Records: Lelia W; Keziah B; Sheldon E New Assessment Instruments to be used include the following: BSBWHS201A: Theory Assessment; Mentor evidence of performance of the trainee; Skills Assessment-PO1; Marking guide for the theory assessment BSBCMM201A: Theory Assessment; Mentor evidence of performance of the trainee; Skills Assessment-PO1; Marking guide for the theory assessment</p>
Findings	The assessment materials reviewed for all 3 qualifications meet the Training Package requirements and no further evidence is required.

Element 1.5b - Assessment including Recognition of Prior Learning (RPL): is conducted in accordance with the principles of assessment and the rules of evidence

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	See Element 1.5a
Findings	The assessment materials reviewed for all 3 qualifications meet the Principles of Assessment and Rules of Evidence requirements and no further evidence is required.

Element 1.5c - Assessment including Recognition of Prior Learning (RPL): meets workplace and, where relevant, regulatory requirements

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Element 1.5a
Findings	The assessment materials reviewed for all 3 qualifications meet the workplace requirements and no further evidence is required.

Element 1.5d - Assessment including Recognition of Prior Learning (RPL): is systematically validated.

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	<p>BSB30112 Certificate III in Business Previous Validation - identified issues with the assessment instruments however no changes were made. Newly developed Validation Procedure P18 - a Quarterly approach taken based on a Review Checklist. Validation schedule Completed validation documents</p>
Findings	During a review of validation documents completed by the prior management it was noted that they had identified gaps in the assessment but not undertaken any course of action to rectify the gaps. The incoming management has addressed these gaps and is working through each student based on the validation report of the gaps.

Standard 2 - The RTO adheres to principles of access and equity and maximises outcomes for its clients.

Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not-Audited <input type="checkbox"/>	
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Overall Comment Against Standard	
The RTO is compliant against this standard as the evidence reviewed has met the requirements of each element.	
Element 2.1 - The RTO establishes the needs of clients, delivers services to meet these needs.	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Minutes of Meetings from September 2014 - October 2014 The RTO provided the following updated document: Trainee commencement Checklist; Workplace Training Program; New Training and Assessment Strategies; Industry feedback on the newly developed trainee documents; Capacity to Train documents; Survey with current employers (Supervisors) and trainees (Trainee evaluations asking questions across all aspects of the previous training and assessment and client services previously offered); 2015 Proposed Traineeship Process Woodside Trainees
Findings	The RTO is compliant and no further evidence is required.
Element 2.2 - The RTO continuously improves client services by collecting, analysing and acting on relevant data.	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Minutes of Meetings from September 2014 - October 2014 The RTO provided the following updated document: Trainee commencement Checklist; Workplace Training Program; New Training and Assessment Strategies; Industry feedback on the newly developed trainee documents; Capacity to Train documents; Survey with current employers (Supervisors) and trainees (Trainee evaluations asking questions across all aspects of the previous training and assessment and client services previously offered); 2015 Proposed Traineeship Process Woodside Trainees
Findings	The RTO has identified that there was a lack of feedback being collected to assist in improving client services and has undertaken a rigorous approach of interview with both clients and trainees to collect feedback. This feedback has been analysed and a 2015 strategy has been developed.
Retail	

Standard 1 - The RTO provides quality training and assessment across all of its operations	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not-Audited <input type="checkbox"/>	
Overall Comment Against Standard	
SIR30112 Certificate III in Community Pharmacy No students currently enrolled this is a new program - the HR Manager of Chemist Warehouse will advise then Inductions can be commenced. This program is being run in other states by Healthcare Training Australia another RTO owned by Dillon Whitelaw. The RTO has provided evidence which demonstrates compliance against this Standard and no further evidence is required.	
Element 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	Minutes of Meetings from September 2014 - October 2014
Findings	These minutes clearly show how the incoming shareholders have reviewed all aspects of the Training and Assessment. The summary reports were then analysed and a strategy was put in place to meet all the issued raised by the Employers and Trainees.
Element 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.	
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>	
Evidence	SIR30112 Certificate III in Community Pharmacy Version 2 September 2014; Industry Consultation have been undertaken by the current RTO with local Chemist Warehouse

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Findings	The RTO is compliant and no further evidence is required.	
Element 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.		
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>		
Evidence	<p>LEARNING and ASSESSMENT Materials Cluster schedule 2 & 3 Medications: SIRCDIS301; SIRCHC201; HLTIN301C; SIRCHCS302 PowerPoint used during classroom learning session Workbook - Formative Assessment Practical observation with oral questioning and Supervisor input from 3 occasions Mapping</p> <p>FACILITIES & EQUIPMENT Capacity to Train & Resource List</p> <p>STAFF Rick Barkla: TAE40110 Certificate IV in Training and Assessment issued MRWED July 2013; SIR30107 Certificate III in Community Pharmacy issued in June 2011; SIR40112 Community IV in Community Pharmacy; Job description; Trainer Matrix of current and past roles to demonstrate currency of Industry; P12 Human Resources: Developed procedure to ensure an annual review has been done to assist in PD both in VET and Industry for the trainer; Current PD Matrix for Rick showing both Industry and VET</p>	
Findings	The RTO has provided evidence of compliance and no further evidence is required.	
Element 1.4a - Training and assessment is delivered by trainers and assessors who: have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and		
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>		
Evidence	Rick Barkla: TAE40110 Certificate IV in Training and Assessment issued MRWED July 2013; SIR30107 Certificate III in Community Pharmacy issued in June 2011; SIR40112 Community IV in Community Pharmacy; Job description; Trainer Matrix of current and past roles to demonstrate currency of Industry; P12 Human Resources: Developed procedure to ensure an annual review has been done to assist in PD both in VET and Industry for the trainer; Current PD Matrix for Rick showing both Industry and VET	
Findings	The RTO's nominated trainer holds the current requirements as a trainer and no further evidence is required.	
Element 1.4b - Training and assessment is delivered by trainers and assessors who: have the relevant vocational competencies at least to the level being delivered or assessed, and		
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>		
Evidence	See Element 1.4a	
Findings	The RTO's nominated trainer holds the current vocational requirements as a trainer and no further evidence is required.	
Element 1.4c - Training and assessment is delivered by trainers and assessors who: can demonstrate current industry skills directly relevant to the training/assessment being undertaken and		
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>		
Evidence	See Element .14a	
Findings	The RTO's nominated trainer has currency of Industry and no further evidence is required.	
Element 1.4d - Training and assessment is delivered by trainers and assessors who: continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.		
Compliant <input checked="" type="checkbox"/> Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>		

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Evidence	See Element 1.4d
Findings	The RTO has provided evidence which demonstrates their nominated trainer has undertake Professional Development in both VET and Industry
Element 1.5a - Assessment including Recognition of Prior Learning (RPL): meets the requirements of the relevant Training Package or accredited course	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	Cluster schedule 2 & 3 Medications: SIRCDIS301; SIRCHC201; HLTIN301C; SIRCHCS302 Workbook - Learning & Formative Assessment Practical observation with oral questioning and Supervisor input from 3 occasions Mapping Validation schedule
Findings	The assessment is compliant and no further evidence is required.
Element 1.5b - Assessment including Recognition of Prior Learning (RPL): is conducted in accordance with the principles of assessment and the rules of evidence	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	See Element 1.5a
Findings	The assessment is compliant and no further evidence is required.
Element 1.5c - Assessment including Recognition of Prior Learning (RPL): meets workplace and, where relevant, regulatory requirements	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	See Element 1.5a
Findings	The assessment is compliant and no further evidence is required.
Element 1.5d - Assessment including Recognition of Prior Learning (RPL): is systematically validated.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	See Element 1.5a
Findings	The assessment is compliant and no further evidence is required.
Standard 2 - The RTO adheres to principles of access and equity and maximises outcomes for its clients.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not-Audited <input type="checkbox"/>
Overall Comment Against Standard	
The RTO is compliant as the evidence required has demonstrated compliance across all Elements within this Standard.	
Element 2.1 - The RTO establishes the needs of clients, delivers services to meet these needs.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	Chemist Warehouse Traineeship Program-WA; Induction process for the Trainee;
Findings	The RTO has provided clear evidence that they establish the needs of both the client and student to ensure training meets their needs. No further evidence is required.
Element 2.2 - The RTO continuously improves client services by collecting, analysing and acting on relevant data.	
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/> Not Audited <input type="checkbox"/>
Evidence	Minutes of Meetings from September 2014 - October 2014 The RTO provided the following updated document: Trainee commencement Checklist; Workplace Training Program; New Training and Assessment Strategies; Industry feedback on the newly developed trainee documents; Capacity to Train documents; Survey with current employers (Supervisors) and trainees (Trainee evaluations asking questions across all aspects of the previous training and assessment and client services previously offered);

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Findings	The RTO is compliant and no further evidence is required.	
Element 2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Chemist Warehouse Traineeship Program-WA; Induction process for the Trainee;	
Findings	The RTO provides students with clear information prior to enrolment, no further evidence is required.	
Element 2.4 - Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Workplace based Training Plan, Assessment Record; Program; Induction of Trainee and employer	
Findings	The RTO has provided evidence showing how they engage and record the workplace training. No further evidence is required.	
Element 2.5 - Learners receive training, assessment and support services that meet their individual needs.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Chemist Warehouse Traineeship Program-WA; Induction process for the Trainee; Developed policy and procedures around the training and assessment processes, regular workplace visits which are recorded and monitored; workplace engagement with employer	
Findings	The Evidence provided demonstrates compliance and further evidence is required.	
Element 2.6 - Learners have timely access to current and accurate records of their participation and progress.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Chemist Warehouse Traineeship Program-WA; Induction process for the Trainee; VETTRACK; Administration procedures to ensure the accuracy of the records and timely recording of information into the VETTRACK system.	
Findings	The Evidence provided demonstrates compliance and further evidence is required.	
Element 2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Chemist Warehouse Traineeship Program-WA; Induction process for the Trainee;	
Findings	The induction process clearly provides the student with information regarding the mechanisms for complaints and appeals - no further evidence is required.	
Standard 3 - Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not-Audited <input type="checkbox"/>
Overall Comment Against Standard		
The RTO has provided evidence which demonstrates the that the new management staff are responsive to the needs of their client, staff and stakeholders. No further evidence is required.		
Element 3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		
Compliant <input checked="" type="checkbox"/>	Non-Compliant <input type="checkbox"/>	Not Audited <input type="checkbox"/>
Evidence	Development of a new System; Current Trialling of the System by the CEO	
Findings	The newly developed policy and procedures (coupled with the current trialling by the CEO) demonstrates compliance with the RTO managing its operations to ensure clients receive the services detailed in the agreements.	

OVERALL LEVEL OF COMPLIANCE - INITIAL AUDIT

In line with the *National Guideline for Managing Non-Compliance*, the outcome of this audit has indicated that the RTO's overall level compliance is: **Compliance**

The requirements of the AQTF Essential Conditions and Standards for Registration have been met based on the evidence reviewed.

AUDITOR COMMENTS

The auditor would strongly suggest a monitoring audit in 6-12months to review how the incoming management has deployed their new systems.

CHANGE OF SCOPE

Has the RTO's Scope changed as a result of this audit

Yes

No