



Australian Government

Australian Skills Quality Authority

REPORT

Audit report: MTO Group Pty Ltd

Date of audit: 3/07/2018

Date report created 3/07/2018

Date report updated: 14/08/2018

Organisation details

Organisation's legal name:	MTO Group Pty Ltd
Trading name/s:	HS Business School Red Oak Projects
RTO number:	32493
CRICOS number:	N/A

Audit team

Lead auditor:	Karen Kerr
Assistant/s:	N/A

Audit details

Application number/s:	ADDVET0028619		
Audit number:	AUDREC0008236		
Audit reason	Application - change TAE		
Address of site/s visited:	Brisbane Training Centre 32 Diamantina Cres Fitzgibbon QLD 4018		
Date/s of audit:	3/07/2018		
Organisation's contact for audit:	Warren Dennis	Chief Executive Officer	
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Original finding at time of audit

Audit finding: Concerning non-compliance

Report completed by: Karen Kerr

Practice	Standards for RTOs 2015	Finding
Training and Assessment	1.1, 1.2, 1.8	Not compliant
	1.3, 1.13 - 1.15, 1.22 and 1.23	Compliant

Audit finding following analysis of additional evidence

Audit finding following analysis of additional evidence provided on 27/07/2018 : Compliant

Report completed by: Karen Kerr

Practice	Standards for RTOs 2015	Finding
Training and Assessment	1.1, 1.2, 1.8	Compliant

Background

- On 24 January 2018 MTO Group Pty Ltd applied to add to its scope of registration the following training products from the Training and Education (TAE) Training Package:
 - TAE40116 Certificate IV in Training and Assessment
 - TAE50116 Diploma of Vocational Education and Training

- The RTO delivers training products from the ACH, BSB, CPC, FWP, HLT, MSM, RII, TLI and TAE Training Packages.
- Third party usage:
 - The RTO has 12 third party arrangements for recruitment, enrolment, training and assessment services.
- Training Revenue (Funded or fee for service):
 - The RTO's training revenue is from fee for service.
- The RTO was required to provide completed student assessment records for the following training products as part of the audit process:
 - *TAE50216 Diploma of Training Design and Development*

In preparing the audit report, consideration has been given and reference made, where relevant, to:

- Information provided directly by MTO Group Pty Ltd to ASQA
- Existing information and records held by ASQA concerning MTO Group Pty Ltd
- Information provided to ASQA's auditors and documentation reviewed during the audit of MTO Group Pty Ltd conducted on 3 July 2018.
- Other publically available information - including but not limited to, information published on the RTO's and third party websites.

Audit Sample

Code	Training products	Mode/s of delivery / assessment*	Current enrolments
TAE40116	Certificate IV in Training and Assessment	Face to Face	n/a
TAE50116	Diploma of Vocational Education and Training	Face to Face	n/a

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

Interviewees

Name	Position	Training products
NA	NA	NA

About this Report

This report details findings against the *Standards for Registered Training Organisations (RTOs) 2015* (Standards for RTOs 2015). If non-compliance has been identified, this report describes evidence of the non-compliance.

Where non-compliance has been identified, the Registered Training Organisation is accountable for identifying and correcting non-compliant practices and behaviours, particularly those that have had a negative impact on learners.

Correcting non-compliance may require:

- correcting a process or system that has led to the non-compliance, and implementing a revised process or system
- identifying the impact on learners and carrying out remedial action for current and past learners

Original Action required by RTO

MTO Group Pty Ltd did not meet all requirements for clauses 1.1, 1.2 and 1.8.

The RTO is required to:

Clause 1.1

TAE40116 Certificate IV in Training and Assessment

TAE50116 Diploma of Vocational Education and Training

- Provide the training and assessment strategies it intends to implement that include:
 - the framework to guide the learning requirements and training and assessment arrangements consistent with the requirements of the TAE Training Package and enables each learner to meet the requirements of each unit of competency; and
 - includes an appropriate amount of training for each learner cohort.

Clause 1.2

TAE50116 Diploma of Vocational Education and Training

- Provide, for each training product listed, the training and assessment strategies it intends to implement that demonstrate how the proposed amount of training is sufficient and has been determined based on the prospective learner cohort's existing skills, knowledge and experience and the proposed mode of delivery.

Clause 1.8

TAE40116 Certificate IV in Training and Assessment

TAEASS402 Assess competence

TAE50116 Diploma of Vocational Education and Training

TAEASS501 Provide advanced assessment practice

- Provide the assessment tools for the units of competency listed above that demonstrate it will implement an assessment system that ensures assessment:
 - complies with the assessment requirements of the TAE Training Package; and
 - will be conducted in accordance with the Principles of Assessment and the Rules of Evidence.

Audit finding following analysis of additional evidence

Following analysis of additional evidence provided by MTO Group Pty Ltd on 27 July 2018 the RTO:

- provided sufficient evidence to demonstrate compliance with clauses 1.1, 1.2 and 1.8.

Refer to analysis of additional evidence detailed under each clause in this report for further information.

Areas of non-compliance

Training and Assessment

Standards for RTOs Clause 1.1

Original Finding: *Not compliant*

Finding following additional evidence: *Compliant*

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.

TAE40116 Certificate IV in Training and Assessment

TAE50116 Diploma of Vocational Education and Training

The following was reviewed in relation to Training and Assessment:

TAE40116 Certificate IV in Training and Assessment:

- Training and Assessment Strategy
- Identified learner cohort
 - *'The TAE40116 Certificate IV in Training and Assessment reflects the roles of individuals who currently work or will work as trainers and/or assessors in a variety of VET context on behalf of a client organisation. This qualification reflects the roles of individuals delivering training and assessment services in the vocational education and training (VET) sector.'*

TAE50116 Diploma of Vocational Education and Training

- No evidence provided

Findings:

The RTO has not demonstrated that it has training and assessment strategies and practices, including an amount of training that are consistent with the requirements of the training package and enable the learner to meet the requirements for each unit of competency in which they are enrolled for the following reasons:

- *TAE40116 Certificate IV in Training and Assessment:*
 - The evidence provided does not clearly describe the strategies to be implemented by the organisation to deliver and assess this training product. For example, but not limited to the following:
 - The structure of delivery is unclear as the strategy lists inconsistencies in clustered units of competency. On page, 13 and 14 of the strategy lists four clusters with associated units of competencies. However, in the next table that shows the eight tutorials with the identified clusters the units of competencies do not match the previous cluster table.
 - Further to the above listed inconsistencies, the number of tutorials is unclear. On page 5 of the strategy it states *'four (4) four (4) day class tutorials'* and then follows up with *'that, is the total number of scheduled tutorial days is twelve (16)'*. Then on page 14, there are only eight tutorials listed as part of the delivery.
 - The assessment methods are not clear as the strategy includes Workplace Observations and Third Party Reports as evidence gathering methods for TAEASS402 and TAEASS502 however, these methods are not identified in the assessment materials provided. The Assessor Guides for TAEASS402 and TAEASS502 state *'The assessments for this qualification will take place in a simulated work environment'* and there was no evidence of a Third Party Report as identified in the strategy.

- *TAE50116 Diploma of Vocational Education and Training:*
 - No evidence was provided of the RTO's intended training and assessment strategies, therefore compliance cannot be determined.

Analysis of additional evidence:

TAE40116 Certificate IV in Training and Assessment
TAE50116 Diploma of Vocational Education and Training

The following additional evidence was provided:

- TAE40116 Training and Assessment Strategy V 1.6
- TAE50116 Training and Assessment Strategy V 1.4

The evidence provided has addressed the non-compliances.

Standards for RTOs Clause 1.2

Original Finding: *Not compliant*

Finding following additional evidence: *Compliant*

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.**

TAE40116 Certificate IV in Training and Assessment
TAE50116 Diploma of Vocational Education and Training

The following was reviewed in relation to Training and Assessment:

TAE40116 Certificate IV in Training and Assessment:

- Training and assessment strategy
- Identified learner cohort
 - *'The TAE40116 Certificate IV in Training and Assessment reflects the roles of individuals who currently work or will work as trainers and/or assessors in a variety of VET context on behalf of a client organisation. This qualification reflects the roles of individuals delivering training and assessment services in the vocational education and training (VET) sector.'*
- The RTO has stated *TAE40116 Certificate IV in Training and Assessment* will be delivered as follows:
 - 82 hours classroom
 - 40 hours webinars
 - 269 hours practical assessment
 - 744 hours self-study
 - Total amount of training – 934 hours
 - Total hours (VOL) - 1135 hours
 - Duration – 12 Months (Time allowed to complete all activities).

TAE50116 Diploma of Vocational Education and Training

- No evidence was provided

Findings:

- **TAE50116 Diploma of Vocational Education and Training:**
 - The RTO did not provide evidence of a training and assessment strategy or associated documents that has determined an amount of training for its intended delivery of this qualification, therefore compliance cannot be determined.

Analysis of additional evidence:

TAE40116 Certificate IV in Training and Assessment
TAE50116 Diploma of Vocational Education and Training

The following additional evidence was provided:

- TAE40116 Training and Assessment V 1.6
- TAE50116 Training and Assessment V 1.4

The evidence provided has addressed the non-compliances.

Standards for RTOs Clause 1.8

Original Finding: *Not compliant*

Finding following additional evidence: *Compliant*

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.**

Table 1.8.1 Principles of Assessment

Fairness	The individual learner's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by the RTO to take into account the individual learner's needs. The RTO informs the learner about the assessment process, and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.
Flexibility	Assessment is flexible to the individual learner by: reflecting the learner's needs; assessing competencies held by the learner no matter how or where they have been acquired; and drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
Validity	Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner. Validity requires: assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance; assessment of knowledge and skills is integrated with their practical application; assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations; and

	judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.
Reliability	Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.
Table 1.8.2 Rules of Evidence	
Validity	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
Sufficiency	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency.
Authenticity	The assessor is assured that the evidence presented for assessment is the learner's own work.
Currency	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

Reasons for finding of non-compliance:

TAE40116 Certificate IV in Training and Assessment

TAEASS502 Design and develop assessment tools

TAEASS402 Assess competence

TAE50116 Diploma of Vocational Education and Training

TAEASS502 Design and develop assessment tools

TAEASS501 Provide advanced assessment practice

The following was reviewed in relation to Training and Assessment:
Assessment tools for TAE training products:

TAE40116 Certificate IV in Training and Assessment

- TAE40116 RPL AG V1.0
- TAE40116 RPL CG V1.0

TAEASS402 Assess competence

- TAEASS402 Assess competence AG V1.0
- TAEASS402 Assess competence ATW V1.0
- TAEASS402 Assess competence LG V1.0
- TAEASS402 Assess competence PPT V1.0
- TAEASS402 RPL U AG V1.0
- TAEASS402 RPL U CG V1.0

TAE40116 Certificate IV in Training and Assessment

TAE50116 Diploma of Vocational Education and Training

TAEASS502 Design and develop assessment tools

- TAEASS502 AMG
- TAEASS502 Index of Instruments in the Tool V1.0
- TAEASS502 Develop Assessment Tools AG V1.0
- TAEASS502 Develop Assessment Tools ATW V1.0

- TAEASS502 Assessment 1B Template V0.1
- TAEASS502 Assessment 3B AG Solutions V0.1
- TAEASS502 Assessment 3B AG Template
- TAEASS502 Assessment 3B ATW Solutions V0.1
- TAEASS502 Assessment 3B ATW Template
- TAEASS502 Assessment 5 AG RPL Solutions V0.1
- TAEASS502 Assessment 5 AG RPL Template V0.1
- TAEASS502 Assessment 5 CG RPL Solutions V0.1
- TAEASS502 Assessment 5 CG RPL Template V 1.0
- TAEASS502 RPL U AG V1.0
- TAEASS502 RPL U CG V .0

TAE50116 Diploma of Vocational Education and Training

TAEASS501 Provide advanced assessment practice

- TAEASS501 AMG
- TAEASS501 AED
- TAEASS501 RPL Template V1.0

Completed student assessment items and assessment tools for TAE training products:

TAE50216 Diploma of Training Design and Development

TAEASS502 Design and develop assessment tools

TAEDES501 Design and develop learning strategies

- TAE50216 Training and Development Strategy
- TAEASS502 Index of Instruments in the Tool V1.0
- TAEASS502 Develop Assessment Tools AG V1.0
- TAEASS502 Develop Assessment Tools ATW V1.0
- TAEASS502 Assessment 1B Template V0.1
- TAEASS502 Assessment 3B AG Solutions V0.1
- TAEASS502 Assessment 3B AG Template
- TAEASS502 Assessment 3B ATW Solutions V0.1
- TAEASS502 Assessment 3B ATW Template
- TAEASS502 Assessment 5 AG RPL Solutions V0.1
- TAEASS502 Assessment 5 AG RPL Template V0.1
- TAEASS502 Assessment 5 CG RPL Solutions V0.1
- TAEASS502 Assessment 5 CG RPL Template V 1.0
- TAEASS502 RPL U AG V1.0
- TAEASS502 RPL U CG V 1.0
- TAEDES501 AED
- TAEDES501 AMG
- TAEDES501 RPL Template V1.0
- Hasan Alam
 - Marked – TAEASS502B AED HS Alam
 - Developed Assessment Tools for BSBR501 including
 - Assessor marking Guide
 - Student Assessment Tasks

- Risk Management Plan Assessor
 - Risk Management Plan Template
 - Risk Management Policy and Procedure
 - Risk Management Report Assessor
 - Sample Email Assessor
 - Training Survey Results
 - Mapping Guide
 - Strategic and Operational Plan
 - Developed Assessment Tools for BSBMKG608 including
 - Assessment Mapping
 - Assessor marking Guide
 - Student Assessment Tasks
 - Marketing Objectives Briefing – Assessor
 - Marketing Objective Template
 - Risk Management Legend
 - Risk Management Plan Assessor
 - Risk Management Plan Template
 - Strategic and Operational Plan
 - Briefing Report Assessor
 - Briefing Report Template
 - Marked – TAEDES501A AED
 - TAS Full Qualification
 - TAS Unit of Competency
 - NSW Business College Generic TAS
 - Feedback on TAS
 - Letter to Stakeholder
- Sukesh Thapliyal
 - TAEASS502 AED Marked
 - Developed Assessment Tools including:
 - Evidence Assessment Tool 1
 - Evidence Assessment Tool 2
 - Evidence Assessment Tool 3
 - Evidence Meeting Minutes
 - TAEDES501 AED Marked
 - TAS Full Qualification
 - TAS Unit of Competency
 - Meeting Minutes

Findings:

TAE40116 Certificate IV in Training and Assessment

TAEASS402 Assess competence

- Validity and Sufficiency – the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - *Assessment of at least five candidates within the vocational education and training (VET) context against at least one endorsed or accredited unit of*

competency according to the organisation's assessment processes and practices.

- *Using recognition of prior learning (RPL) processes in the assessment of at least one candidate (which maybe one of the five candidates above)*
- *Making reasonable adjustments in the assessment of at least one candidate*

In the Assessor Guide for Summative Assessments 4-8, as detailed below in Fairness, the learner is not required to demonstrate all assessment criteria requirements and therefore not ensuring these unit requirements are being met.

- Fairness – the assessment tools do not provide clear information to the learner and assessor to fully inform them of the assessment process and conditions. For example, but not limited to:
 - The Assessor Guide for Summative Assessment 4-8 informs the assessor that *'for the first assessment conducted, satisfactory performance is indicated if 8 boxes out of 10 were ticked (or 9 boxes out of 12 if the assessment applying reasonable was conducted first)'* and continues that *'satisfactory performance requires that 4 out of the 5 observations should have all checkboxes ticked'*. This does not ensure the learner demonstrates competency with all unit requirements.

TAE50116 Diploma of Vocational Education and Training

TAEASS501 Provide advanced assessment practice

- Validity and Sufficiency – the assessment tools do not address all unit of competency requirements. For example, but not limited to:
 - Performance Evidence:
 - *Undertaking the assessment of at least 20 individual candidates, at least one unit of competency*
 - *Assessing against a total of at least 50 units of competency from training packages or accredited courses. This total may be made up of combinations of candidates and units that add up to 50.*
 - *Accurately documenting the outcomes of all assessments undertaken*
 - *Leading the assessment of a group or team of assessors, consisting of at least three individuals, and demonstrating how that leadership has led to improved processes and outcomes*

While the Workplace Project asks the learner to address these performance evidence requirements, as stated below in Reliability, there is no guidance to assessors regarding the collection, recording and assessment of the assessment evidence required to be submitted. Nor do the assessment materials ensure that the learner actually assesses at least 20 individual candidates. Therefore it cannot be determined these unit requirements are being met.
 - Knowledge Evidence:
 - As the assessor guide does not include the benchmark answers for the Written Questions or any evaluation criteria to assess evidence submitted for the Workplace Project it cannot be determined the knowledge evidence requirements of the this unit are being met.
 - Assessment conditions:
 - *Evidence must be gathered through the assessment of at least 20 individual candidates who are enrolled vocational learners.*

The assessment materials provided did not ensure that evidence would be gathered from at least 20 individual candidates who are enrolled vocational learners.
- Reliability – The assessment tools do not contain sufficient performance benchmarks for each skill/behaviour to be demonstrated, therefore it cannot be confirmed that all training package requirements will be met and that consistent judgements will be made across a range of learners and assessors. For example, but not limited to:
 - Assessor Marking Guide

- In the Written Questions, the only guidance that is provided is '*Answers will vary. Assessor must use their judgement on content and adequacy of answers*'. This statement is not an appropriate benchmark answer for each question to ensure that all training package requirements are being met and that consistent judgements will be made across a range of learners and assessors.
- In the Workplace Project, no guidance is provided to the assessor on the performance benchmarks for the learner to be assessed. While the assessment instructions state: '*Evidence from this project will be assessed in accordance with the portfolio checklist decision- making rules provided by your assessor*' no evidence of this portfolio checklist was provided. Therefore, it is also unclear how the evidence required to be provided is collected, recorded and assessed without the portfolio checklist being provided.
- Fairness – the assessment tools do not provide clear information to the learner and assessor to fully inform them of the assessment process and conditions. For example, but not limited to:
 - The Workplace Project Assessment Instructions list three superseded units of competency as what to consider when assessing. This is not providing clear information to assessors and learners regarding the assessment process.

The example(s) listed above provide guidance on the area of non-compliance identified and are not a full list of each unit of competency requirement that has not been met. The organisation is responsible for providing evidence that demonstrates all unit of competency requirements are met.

Analysis of additional evidence:

TAE40116 Certificate IV in Training and Assessment

TAEASS402 Assess competence

TAE50116 Diploma of Vocational Education and Training

TAEASS501 Provide advanced assessment practice

The following additional evidence was provided:

TAEASS402 Assess competence

- TAEASS402 Assess competence AG V1.2
- TAEASS402 Assess competence ATW V1.1
- TAEASS402 Assess competence LG V1.0
- TAEASS402 Assess competence PPT V1.0
- TAEASS402 Assessment Validation report Form V1.1
- TAEASS402 RPL U AG V1.0
- TAEASS402 RPL U CG V1.0

TAEASS501 Provide advanced assessment practice

- TAEASS501 Advanced assessment practice AG V1.0
- TAEASS501 Advanced assessment practice ATW V1.0
- TAEASS501 Advanced assessment practice LG V1.0
- TAEASS501 Advanced assessment practice PPT V1.0
- TAEASS501 Assessment Validation Report Form V1.0
- TAEASS501 RPL U AG V1.0
- TAEASS501 RPL U CG V1.0

The evidence provided has addressed the identified non-compliances.