

accurate records, efficient systems

Administration Process Audit

An independent review of the records, systems and workflows behind your RTO's day-to-day administration, from enquiry to certification.

ABOUT THIS GUIDE

Administration that holds up to scrutiny

Most compliance evidence lives in your administration: enrolment records, student files, assessment outcomes, certificates and data submissions. An Administration Process Audit reviews those records and the systems behind them, so you can see where accuracy, consistency and efficiency can improve.

This guide explains what the audit covers, how it runs, what you receive, the packages available and what we need from your team.

At a glance

Reviewed against	Standards for RTOs 2025, data provision requirements and your own policies and procedures
Focus	Records, student management system set-up, workflows and reporting
Conducted by	A designated CWTS administration consultant and support team
Timeframe	Approximately 1 to 8 weeks, depending on RTO size and complexity
You receive	Findings report with recommendations by focus area, plus a debrief meeting

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WHY AN ADMINISTRATION AUDIT

Your records are your evidence

When your regulator, a funding body or your own governing persons ask how your RTO knows its practices are working, the answer is usually found in your records and your student management system.

Small inconsistencies add up: a course set up differently in the system from the training and assessment strategy, an assessor recorded who did not mark the work, a certificate issued late, or data errors corrected manually each reporting period. An administration audit finds these patterns and the process causes behind them.

The audit also looks at efficiency. Where your team is working around the system, we recommend practical changes to configuration, workflows and automation so accurate records become the default.

> **Administration can be supported by CWTS on an ongoing basis. The audit gives you a clear starting point, whether you strengthen processes in house or with our team.**

When an audit is worth considering

- ✓ New administration staff, or knowledge held by one or two people
- ✓ A new or recently changed student management system
- ✓ Repeated data validation errors or late submissions
- ✓ Preparing to move from AVETMISS to the VET Information Standard
- ✓ Growth in enrolments, sites or delivery modes
- ✓ A registration renewal, funding contract review or change of ownership ahead



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WHAT WE REVIEW

From enquiry to certification

The audit follows the student journey through your systems. For each focus area we check that your student management system set-up, your records and your practice align with your training and assessment strategy, your policies and the Standards for RTOs 2025.

Pre-enrolment

- Courses set up correctly in the student management system (SMS): entry requirements, structure, duration, delivery modes, fees and transition status, aligned to the training and assessment strategy and training.gov.au
- Enquiries logged and tracked, with consistent information provided
- Pre-enrolment information, including how student information and AI are handled, is accessible and current

Enrolment

- Enrolment records capture the information provided and the student's acknowledgements, including fees, refunds and data collection
- Fee schedules, payment records and prepaid fee protection applied as described
- Verified Unique Student Identifier (USI) recorded for every student
- Recognition of prior learning and credit applications recorded and processed correctly

Support provisions

- Language, literacy, numeracy and digital (LLND) evaluations recorded and benchmarked
- Support plans and reasonable adjustments documented and communicated
- Progress reviews, disengagement contact and escalation recorded
- Complaints and appeals registers maintained and followed up

Training delivery and records

- Trainers allocated in the SMS match the trainer register and credentials
- Training plans, commencement dates and attendance records align with evidence and communications
- Learning resources available to staff and students before commencement
- Student feedback collected and recorded in continuous improvement

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WHAT WE REVIEW, CONTINUED

Assessment data and records

- Assessors allocated in the SMS are the assessors who marked the work, and are credentialled for the unit
- Assessment dates, outcomes and evidence align across the SMS, the student file and the training plan
- Required evidence is complete, marked, securely stored and easy to retrieve

Certification and post-completion

- Certificate and statement of attainment templates meet AQF and NRT logo requirements
- Issuance within 30 calendar days of completion, once fees are paid
- Certification register maintained and records retained for 30 years
- Completion surveys, transition registers and post-completion contact recorded

Data integrity and reporting

- AVETMISS (Australian Vocational Education and Training Management Information Statistical Standard) submissions, validation errors and how they are rectified
- Readiness for the VET Information Standard, including your transition plan, enrolment form and SMS configuration timing
- Annual quality indicator data and any state funding reporting

Leadership, governance and systems

- Document control, version management and internal review of administrative procedures
- Roles, access permissions, data protection and system security
- Management reporting that gives leadership oversight of administrative risk
- System capability review, with recommendations to streamline and automate workflows



We work with all major student management systems. Our team holds deep experience in aXcelerate and can provide specific configuration recommendations where your RTO uses it.

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HOW THE AUDIT WORKS

Five clear stages, one designated consultant

Your audit is led by a designated CWTS administration consultant, supported by our team. You will know who is reviewing your records, what they need and when to expect each stage.

1

Scoping and agreement

We confirm the purpose, the courses and cohorts in scope, your systems and the timeframe. You receive a written quote, our engagement agreement and a confidentiality agreement.

2

System and procedure review

With read access to your SMS, we review course set-up, workflows, templates and your administrative policies and procedures.

3

Student file sampling

We trace a sample of students from enquiry to certification, checking that records, dates and outcomes align across systems and files.

4

Findings report

Findings are grouped by focus area, each with the issue identified, the evidence observed and a practical recommendation.

5

Debrief and action planning

We walk your team through the findings and agree priorities, including quick fixes your administration team can make straight away.



Working with your team

CWTS works remotely across Australia. Audits run through secure, read-only access to your systems and short online conversations with your administration staff, scheduled around your busiest periods.

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WHAT YOU RECEIVE

Clear findings, practical fixes

The report shows where your records and systems are working well, where they are not, and what to change first.

- **Summary for leadership** with overall results and priority actions
- **Results by focus area**, from pre-enrolment to leadership and accountability
- **Evidence observed**, including the student files and records sampled
- **Recommendations** for process, record keeping and SMS configuration, with suggested owners and timeframes
- **Efficiency opportunities** where workflows can be streamlined or automated
- **Debrief meeting** with your designated consultant

Using your report

Record the actions in your continuous improvement register and track them through your management meetings. The report and your follow-up records form part of your self-assurance evidence.

SAMPLE RESULTS LAYOUT

Focus area	Result	Recommendation
Pre-enrolment	Improvement	Align SMS course durations with the training and assessment strategy for two qualifications
Assessment data	Not Compliant	Reconcile assessor allocation with marking assessor for sampled units
Certification	Compliant	No action required
Data reporting	Improvement	Build a pre-submission validation check into the monthly workflow

Illustrative example only. Your report reflects your RTO's records.



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AUDIT PACKAGES

Packages by RTO size and complexity

Choose the package that best matches your RTO. We confirm the fit at scoping, and your quote is confirmed in writing before work begins.

SMALL RTO

Up to 100 students

$2,200 + GST

Approximately 1 to 2 weeks

A single or online campus, limited staff and straightforward administrative structures, a small scope or single industry area and minimal reporting complexity.

MEDIUM RTO

101 to 500 students

$4,400 + GST

Approximately 2 to 4 weeks

One or more delivery locations, a broader scope across several industry areas, moderate staff numbers, mixed delivery modes and more complex record keeping and reporting.

LARGE RTO

501+ students

$8,800 + GST

Approximately 4 to 8 weeks or more

Large or multi-campus RTOs across multiple industry areas, with extensive administrative teams, complex reporting and records systems or state funding contracts. Includes online RTOs with 501 or more active students.

Every package includes

- Scoping meeting and written audit plan
- SMS configuration and workflow review
- Student file sampling from enquiry to certification
- Review of data reporting and error history
- Findings report with recommendations
- Debrief meeting with your designated consultant

Combine with a Compliance and Quality Assurance Audit

Running both audits together gives a complete view of compliance and administration, with one scoping meeting and coordinated requests to your team. Ask us about combining them when you request a quote.

Prices exclude GST, which is added to your invoice. Timeframes run from receipt of documents and system access, and may vary with your RTO's size, scope, systems and the availability of your staff and records.

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PREPARING FOR YOUR AUDIT

What we will need from you

- A key contact and an agreed audit window
- Read-only access to your student management system and learning management system
- Administrative policies, procedures, forms and templates
- Training and assessment strategies or course guides for the courses in scope
- Trainer and assessor registers
- Certification, complaints and appeals, and continuous improvement registers
- Recent VET data submissions (AVETMISS or VET Information Standard), funding data and validation reports
- Availability of administration staff for short online conversations

We send a tailored request at scoping, so your team only gathers what is relevant.

AFTER THE AUDIT

Support that matches what you find

Your team can action the findings in house, or draw on CWTS for ongoing administration support.

RTO Administration Support Package

Ongoing administration support from our team, from data entry and reporting to process improvement.

aXcelerate User Guide

Our practical guide to RTO administration in aXcelerate, from foundations to advanced, available in the CWTS shop.

RTO Administration Coaching

Online coaching for administration staff covering compliance, student management, quality systems and the student journey.



FREQUENTLY ASKED QUESTIONS

Common questions

How is this different from a Compliance and Quality Assurance Audit?

The compliance audit tests your RTO's practices against the Standards for RTOs 2025 across training, assessment, support and governance. The administration audit focuses on the records, systems and workflows that support those practices. Many RTOs run both together.

Which student management systems do you review?

We review any SMS your RTO uses. Our team has extensive aXcelerate experience and can make detailed configuration recommendations for it.

Do you change anything in our system?

No changes are made during the audit. We work with read-only access and record recommendations in the report. Configuration changes can be made by your team, or by CWTS under a separate engagement.

How many student files do you sample?

Sample sizes are agreed at scoping and reflect your enrolment numbers, courses and delivery modes.

How long does it take?

Approximately one to two weeks for a small RTO, two to four weeks for a medium RTO and four to eight weeks or more for a large or complex RTO, from receipt of documents and system access.

Can you help us prepare for the VET Information Standard?

Yes. The audit reviews your current reporting and your readiness to transition, and our recommendations cover timing for your privacy notice, enrolment form and SMS configuration.

Who sees the report?

Only your RTO. We sign a confidentiality agreement before the audit begins, and your records and findings are handled in confidence.

What happens after the audit?

You receive a findings report and a debrief. CWTS can provide ongoing Administration Support or coaching for your team to help address any gaps identified.



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let's talk

Request a quote for your RTO

Tell us about your RTO's size, scope and what prompted the review. We will confirm the right package, the timeframe and what we need from you before any work begins.

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Related services and guides: Compliance and Quality Assurance Audit Guide, RTO Administration Support Package, aXcelerate User Guide, RTO Administration Coaching.

Disclaimer. This guide is correct at the time of publication. Changes to legislation, the Standards for RTOs and CWTS products and services may affect the currency of this information, and Coast Wide Training Solutions may update it without notice. Prices exclude GST, which is added to your invoice, and are confirmed in writing at quotation. Clients are asked to sign a confidentiality agreement before an audit begins, so your internal documentation stays protected.

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