

vision for the future



DEEP DIVE

Compliance: The annual approach

Angela McGregor



NATIONAL VET CONFERENCE
GOLD COAST 2021

#2021NVC



OCT

M	T	W	T	F	S	S
	01	02	03	04	05	06
07	08	09	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

Compliance: The annual approach

Suitable for those who have been in the VET industry for 5 or more years who do not require fundamentals

Focusing on

- A culture of compliance
- Establishing areas of focus
- Sharing the compliance obligation
- Planning process
- Creating and implementing the plan



**What is your organisation's current
approach to internal audits?**

**What are some of the issues and limitations
of the current approach?**

Availability of key personnel

Not a priority

TIME

Expertise

Time to rectify
issues
identified

Too much to do and no
idea where to start



An annual approach

- Encourages involvement from all staff within the organisation
- Reduces the fear and panic associated with regulator audits
- Provides all staff with greater confidence in the organisation
- Ensures energy and time is spent in the areas it is required



A culture of compliance



Self-assurance model



Planning process



Identifying areas of focus and frequency



Creating and implementing the plan



When implementing the plan consider

- What you are saying you will do
- What you have done in the past
- What you are currently doing
- Consistency
- Currency of the information



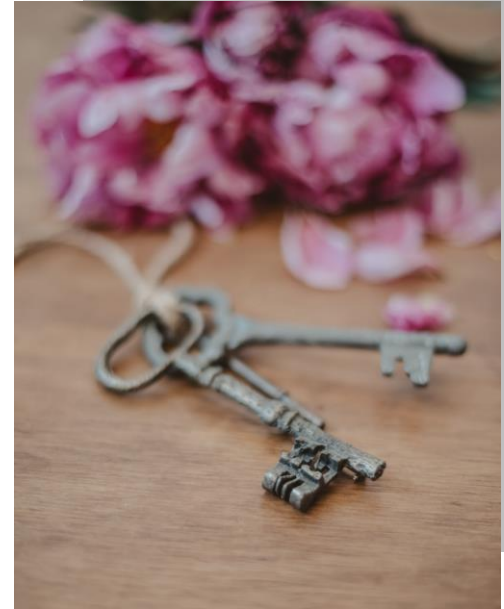
Current audit practices **tend**
to focus on the paperwork
not on processes



To get the most out of your annual audit



The keys to maintaining compliance



If we take an annual approach to auditing will our RTO will we be guaranteed of passing an audit?



Case Study 1

RTO 1 had 34 qualifications on scope at the time of audit. The audit found the following non-compliances:

- The Training and Assessment Strategies were not up to date and did not reflect current practices
- The assessments being used did not meet the requirements for assessment and in some case the assessments were for superseded versions of units
- The RTO did not have the required human and physical resources in place to deliver some of the training products on scope



Case Study 2

RTO 2 was deemed non-compliant in the following areas:

- Student information on the website was inconsistent – with a mix of superseded and current units/qualifications
- Advertising a qualification that was not currently on scope
- Errors in the wording on the Statement of Attainment and the NRT logo included on the Record of Results
- No evidence of VET PD or currency in Trainer files
- 3 Trainers did not demonstrate that they met the current Trainer qualification requirements

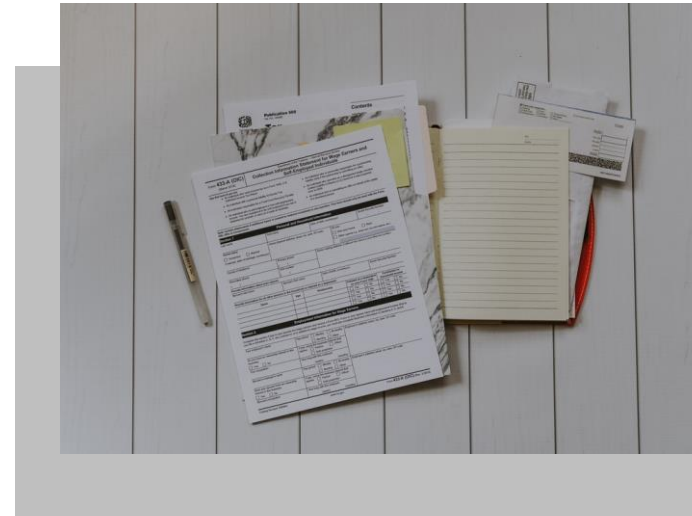


Case Study 3

One week prior to an ASQA audit the RTO Manager resigned from their position due to family issues.

The RTO Manager had undertaken an annual approach to compliance and ensured that all records were logically stored and accessible by relevant staff.

The staff had all been trained in their areas of responsibility and approval process were in place to ensure that no documents were released prior to a compliance check and approval.





WHAT
NOW



About the Presenter

Angela McGregor has first hand experience in the vocational education and training (VET) sector, having worked as a registered training organisation (RTO) consultant since 1999, as well as owning her own RTO from 2003 to 2012. She has provided consulting services to new and existing RTOs with extensive experience in RTO set up, coaching, auditing, professional development, accredited course development and assessment design.



T 0412142755

E angela@rtoconsultant.com.au

W www.rtoconsultant.com.au

F <https://www.facebook.com/RTOConsulting.Australia>



Thank you for being a part of our

vision for the future
NATIONAL VET CONFERENCE
GOLD COAST / 9-10 SEPTEMBER 2021

We hope you found it to be a valuable experience and that attending has helped shape your "Vision for the Future".

We look forward to seeing you next year!

