vision for the future

velg TRAINING

COMPLIANCE

How to Prepare for an ASQA Audit

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NATIONAL VET CONFERENCE
GOLD COAST 2021

#2021NVC

RTO Logic

ASQA Audits

01 ASQA's Regulatory Approach

02 The Student Lifecycle

03 Preparing for Audit

04 Resources

Overview

ASQA's Regulatory Approach

How does ASQA regulate?

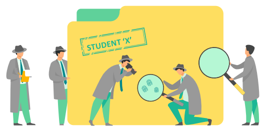
- Risk-based Regulation
  - Provider Risk
  - Systemic Risk
    - Focus Areas
    - Strategic Initiatives
- Engagement and Support

How does ASQA regulate?

- In response to the Rapid Review
- Changes effective 6th April
- New regulatory approach includes changes to:
  - Assessing performance
  - Achieving compliance
  - Reviewing decisions
  - Regulatory risk framework

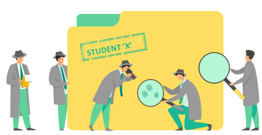
Assessing Performance

- 4 key changes to the way ASQA audits (assesses) performance
  1. Clarifying the audit process is a part of the performance assessment process
  2. A focus on self-assurance
  3. An increased focus on the interaction between practice, systems and continuous improvement
  4. Better engagement with providers during the assessment process

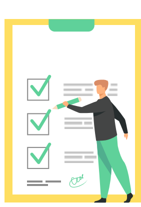


Assessing Performance

- Assessment teams monitor performance and sit separately to teams who work with providers
- Early engagement with providers
- Clearer assessment reports



Achieving Compliance



- More opportunities to work towards compliance during regulatory activity
- Agreement to rectify
- Assessing performance

The Student-Centred Assessment Approach

- The assessment focusses on 5 key phases of a student life cycle
  - Marketing and Recruitment
  - Enrolment
  - Support and Progression
  - Training and Assessment
  - Completion

The Student-Centred Assessment Approach

- Considerations also made to:
  - Historical complaints made against the RTO
  - Your RTO's compliance history
  - Media reports
  - Enrolment data
  - Funding sources and Government funding
  - Intelligence from other regulators and agencies (like your State Training Authority)

Policies & Procedures

- Fit for purpose
- Reflect your practices
- Reviewed and updated
- Available to necessary staff, students, employers

The 6 Chapters

The Chapters

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
Chapter 4 Training and Assessment	**Chapter 5** Completion	**Chapter 6** Regulatory compliance and governance practice

Chapter 1 – Marketing and Recruitment

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
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Marketing Compliance

- Provide accurate and accessible information to prospective and current students (Clause 4.1)
  - Accredited vs non-accredited training
  - Branding
  - Third parties
  - No guarantees (completion and/or employment)
- Marketing policies and procedures
  - How you approve marketing materials to ensure compliance with the Standards prior to public release
  - Release clauses for marketing materials that include students
- Student surveys
  - Student experience with marketing and pre-enrolment acquisition process
  - Transparency of information

Clause 4.1

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

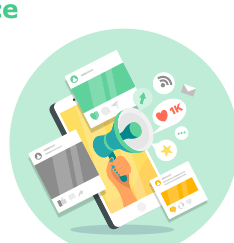
a. accurately represents the services it provides and the training products on its scope of registration
b. includes its RTO code
c. refers to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained
d. uses the NRT (Nationally Recognised Training) 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 (Australian Qualifications Framework) certification documentation from any other training or assessment delivered by the RTO
h. includes the title and code 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 (Vocational Education and Training) FEE-HELP, government funded subsidy or other financial support arrangements associated with the RTO's provision of training and assessment
l. does not guarantee that:
   i. a learner will successfully complete a training product on its scope of registration, or
   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.

Social Media Marketing Compliance

- Social media accounts should include your RTO Code
- Posts/tweets should include your RTO Code
- Replies to comments do not require your RTO code
- If you are referencing a training product, you must include the code and full title

Marketing Compliance

- **Common non-compliances**
  - RTO code missing
  - Training product code and title not displayed in full
  - Third parties not declared or evident
- **Evidence for audit**
  - Marketing register demonstrating the approval of materials
  - Copies of all marketing materials approved and circulated
  - Marketing approval forms, release forms



Chapter 2 - Enrolment

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
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Chapter 2 - Enrolment

- Transparency of information (Clauses 5.1-5.3)
  - Pathways that the intended course provides
  - Course delivery and assessment structure (study locations, face to face, online, workplace based, etc.)
  - Fees involved, payment terms, additional costs such as textbooks, equipment

Fees and Prior Learning

- Protection against fees above $1500 (Clause 7.3)
  - Membership with a tuition assurance scheme
  - Bank guarantee
- Acceptance of Credit Transfer (Clause 3.5)
  - How this is communicated to the student
  - The process itself
  - Evidence of where this has occurred
  - USI transcripts

Enrolment and Fees

- **Common non-compliances**
  - Course information does not align with TAS
  - Fee information is inaccurate
- **Evidence for audit**
  - Evidence of information provided to students (notes of conversations, documents sent)
  - Copies of historical versions of course brochures and student handbooks
  - Fee protection policy OR marketing material that demonstrates less than $1500 required in prepaid fees

Chapter 3 – Support and Progression

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
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Supporting Students

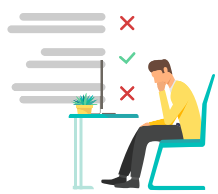
- Supporting students (Clause 1.7)
  - Determining the support needs of learners
  - How this is communicated to the trainer/assessor
  - How this translates into additional support if required
  - **Evidence**:
    - A training plan or written communication record to the trainer, identifying individual learner needs
    - Process where learners undertake an LLN test (or similar) and this result is documented and communicated to the trainer/assessor
    - Information on other local support services that students may be referred to

Supporting Students

- Keeping students informed (Clause 5.4)
  - How you notify students of significant changes to the agreed services such as third-party arrangements or change in ownership
  - **Evidence**:
    - Formal written communication to students about a significant change, using company letterhead

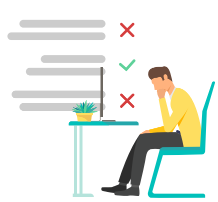
Complaints and Appeals

- Complaints and Appeals (Clauses 6.1-6.6)
  - The policy addresses the process for dealing with complaints against staff, students, third parties
  - The policy is publicly available and clearly articulates the process involved
  - The policy addresses the principles of natural justice and procedural fairness
  - Complaints and appeals are acknowledged in writing
  - Timeframes are set for each stage of the process
  - There is an option for mediation should the complaint/appeal progress as such



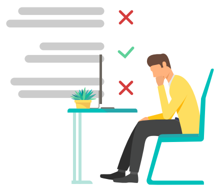
Complaints and Appeals

- Complaints and Appeals (Clauses 6.1-6.6) *continued*
  - Address complaints/appeals that take longer than 60 days to resolve
  - Recording keeping processes are in line with Clause 6.5
  - The RTO addresses/reviews the complaints/appeals and takes necessary action to reduce the chances of the event reoccurring
  - **Evidence**:
    - Complaints and appeals policy/procedure available on website
    - Evidence of complaints/appeals being addressed during staff meetings and documented under a continuous improvement register or equivalent



Complaints and Appeals

- **Common non-compliances**
  - No contact information or instructions on how/where to submit a complaint
  - No response times or timeframes documented in policies
- **Evidence for audit**
  - Complaints and appeals register or continuous improvement register
  - Complaints policy available on website
  - Meeting minutes actioning responses to complaints and appeals



Chapter 4 – Training and Assessment

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
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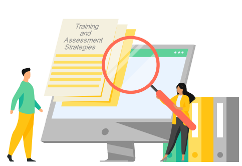
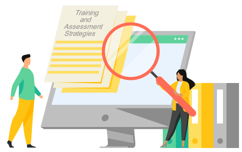
Training and Assessment Strategies

- Implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 to 1.4, 2.2)
  - Does your TAS meet the training package requirements?
  - Amount of training
  - Trainers, resources, facilities, support services
  - Student feedback loop (complaints and appeals, student surveys, etc.)
  - **Evidence**
    - TAS docs for every program
    - Facilities checklist
    - Resource lists and equipment
    - Trainer/assessor register



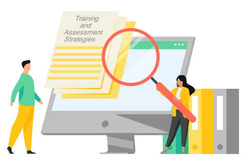
Training and Assessment Strategies

- Engaging with industry (Clauses 1.5, 1.6)
  - Industry engagement evidence – how it shapes your TAS
  - Specifically, how it influences the skills/knowledge of trainers, the resources you use to deliver the program



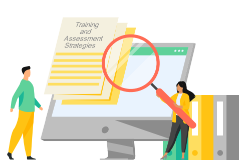
Training and Assessment Strategies

- Ensuring the TAS addresses
  - Learner cohort
  - Training package requirements
  - Delivery methods
  - Assessment methods
  - Amount of training
  - Volume of learning
  - Industry engagement



Training and Assessment Strategies

- **Common non-compliances**
  - Volume of learning not met or no rationale provided for delivery shorter than AQF recommendations
  - Target cohort is not defined and their needs not addressed in the TAS
  - No separate TAS for different cohorts or delivery models
  - The TAS is not aligned to actual training and assessment practices
- **Evidence for audit**
  - Evidence that a review process has occurred where stakeholder feedback is gathered (industry, student, trainers/assessors)
  - Availability of resources
  - Detailed trainer files with competencies mapped



Assessment

- Conducting effective assessment (Clauses 1.8 to 1.12)
  - Do your assessments meet the training package requirements?
  - Have some mapping documentation
  - Principles of assessment (fairness, flexibility, validity, reliability)
  - Rules of evidence (validity, sufficiency, authenticity, currency)
  - Assessment validation (5 year plan, 50% within first 3 years)

Assessment

- Conducting effective assessment (Clauses 1.8 to 1.12) *continued*
  - People who conduct validation
  - RPL is offered
  - **Evidence**
    - Validation schedule
    - Evidence of validation sessions (supporting evidence of credentials of validators)
    - Assessment mapping documents

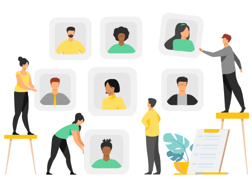
Assessment

- Managing transitions from superseded training products (Clauses 1.26 and 1.27)
  - Policy and process

Assessment

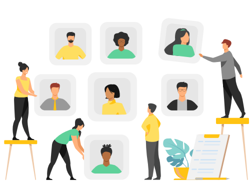
- **Common non-compliances**
  - Assessment tools do not meet the training package requirements (knowledge evidence, assessment conditions, etc.)
  - Validation is not conducted by appropriate individuals or does not meet minimum timing according to the schedule
- **Evidence for audit**
  - Validation evidence (reports, meeting minutes)
  - Continuous improvement logs to demonstrate tracking and implementation of improvements/iterations

Trainer Compliance



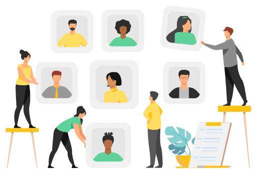
- Employing skilled trainers and assessors (Clauses 1.13 to 1.16)
  - Trainer competencies
  - Regular PD
  - **Evidence**
    - Trainer files with competency matrix, vocational competencies, etc.
    - Evidence of relevant professional development

Trainer Compliance



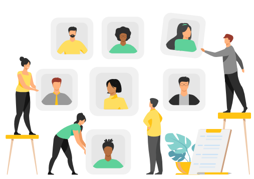
- Providing supervision of trainers where needed (Clauses 1.17 to 1.20)
  - Policy and process for when this occurs
  - **Evidence**
    - Pro forma that documents the supervision and feedback process

Trainer Compliance



- Employing experts to teach trainers and assessors (Clauses 1.22 to 1.24) - TAE
- Engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25) - TAE

Trainer Compliance



- **Common non-compliances**
  - Trainers cannot demonstrate current industry skills or vocational competency
  - Trainers do not participate in regular PD
- **Evidence for audit**
  - Mapping document (matrix) that details vocational competencies and industry experience against units of competency
  - Copies of certificates/transcripts for trainer/assessor credentials and other vocational competencies – including how you verified these competencies
  - Professional Development log with recent and relevant VET and industry PD

Chapter 5 - Completion

Chapter 1
Marketing and Recruitment

Chapter 2
Enrolment

Chapter 3
Support and Progression

Chapter 4
Training and Assessment

Chapter 5
Completion

Chapter 6
Regulatory compliance and governance practice

Certificates and SOAs

- **Common non-compliances**
  - Certificates not issued within 30 days of completion
  - Certificates issued with incorrect units of competency or prior to successful completion of the whole qualification
  - Certificate templates missing key information about your organisation (RTO code, name)
  - USI listed on AQF certification documentation

Certificates and SOAs

- Providing secure certification (Clauses 3.1 to 3.4)
  - Compliant certificates (compare yours against the ASQA testamur fact sheet)
  - Issued within 30 days of completion
  - **Evidence**
    - Process for ensuring files are checked and certificates issued within 30 days
    - Compliant certificate templates
    - Fraud protection measures
    - Policy for re-issuance of certificates (keep records for 30 years, cost for certificate reprints, etc.)

Unique Student Identifier (USI) Scheme

- Participating in the Student Identifier scheme (Clause 3.6)
  - Making sure that you are generating or verifying USIs for students
  - Ensure certificates are not issued without the USI
  - **Evidence**
    - All students need a USI
    - Demonstrate how files/data are stored securely
    - Retention of records for 30 years

Chapter 6 – Regulatory Compliance

Chapter 1 Marketing and Recruitment	**Chapter 2** Enrolment	**Chapter 3** Support and Progression
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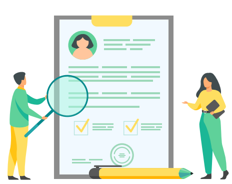
Fit & Proper Persons, FVRA and Reporting

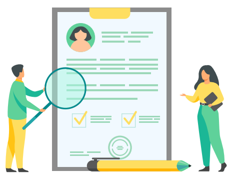


- Ensuring authorised executive officers are in place and meet Fit and Proper Person Requirements (Clause 7.1)
  - Owners and managerial agents meet fit and proper persons requirements
  - **Evidence**
    - Fit and proper person forms signed by all relevant persons

Fit & Proper Persons, FVRA and Reporting

- Satisfying Financial Viability Risk Assessment Requirements (Clause 7.2)
  - Must satisfy FV at all times
  - Can be requested at any time
  - **Evidence**
    - FVRA spreadsheet

Fit & Proper Persons, FVRA and Reporting



- Compliance and reporting (Clauses 2.1, 8.4 to 8.6)
  - Inform staff of regulatory and legislative changes
  - **Evidence**
    - Email chain showing communication with staff regarding changes to regulatory and/or legislative environment
    - Evidence of CEO/GM subscription to ASQA email updates

Third Parties

- Recording, monitoring and reporting third party arrangements (Clauses 2.3, 2.4, 8.3)
  - Strategies for monitoring third parties to ensure quality control
  - Notify ASQA

Evidence

- Signed third party agreements
- Copies of asqanet submissions
- Documented changes signed by all parties

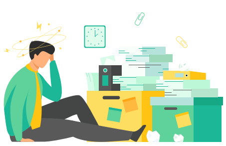
Other Obligations

- Holding public liability insurance (Clause 7.4)
- Meeting Data Provision Requirements (Clause 7.5)
  - AVETMISS reporting requirements
  - Quality Indicator data
- Providing requested information to ASQA (Clauses 8.1 to 8.2)
  - Notify ASQA within 90 days of change to executive officers/managerial agents, ownership, legal name, etc.

Other Obligations

Evidence

- Learner engagement surveys sent out and collated
- AVETMISS reporting requirements satisfied
- Insurance certificates
- CI register to log actions taken as a result of feedback from the QI data
- Compliant student management system

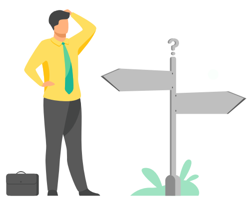


Preparing for Assessment

You shouldn't have to prepare!

- Preparing immediately before your performance assessment is too late!
- You can ensure your compliance with the Standards by:
  - Undertaking regular self-assessment
  - Ensuring practices and behaviours align with your documented systems and processes
  - Ensuring you are familiar with ASQA's published performance assessment resources
- Resources include:
  - Student surveys fact sheet
  - FAQs register
  - Self-assessment tool

As part of your regular self-assessment



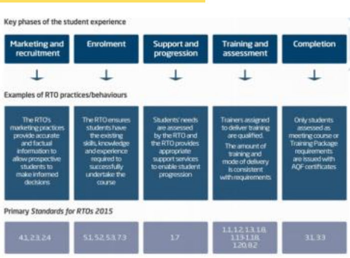
- Understand the Standards
- Understand your organisation's business processes
- Use the checklist tools available to conduct an internal self-assessment
- Document and action rectifications

Mapping your evidence to the Standards

- You can map your evidence against the Chapters

Chapter #	Clause(s)
1 - Marketing and Recruitment	4.1, 2.3, 2.4
2 - Enrolment	5.1, 5.2, 5.3, 7.3
3 - Support and Progression	1.7, 5.4, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6
4 - Training and Assessment	1.1-1.6, 1.8-1.20, 1.22, 1.25, 1.26, 1.27, 2.2
5 - Completion	3.1-3.6
6 - Regulatory Compliance	2.1, 2.3, 2.4, 7.1, 7.2, 7.4, 7.5, 8.1-8.6

Mapping your evidence to the Standards



Registration Renewal

- You must complete your application more than 90 days prior to the expiry of your registration
- Find this date on training.gov.au
- You must have conducted training/assessment within the registration period
- Applications occur via asqanet

Resources to help you

Relevant Resources

- Self assessment tool - https://www.asqa.gov.au/standards/self-assessment-tool
- Regulatory Risk Framework - https://www.asqa.gov.au/sites/default/files/2021-04/regulatory-risk-framework.pdf
- Approach to assessing performance - https://www.asqa.gov.au/sites/default/files/2021-04/Approach-to-assessing-performance.pdf
- Approach to compliance - https://www.asqa.gov.au/sites/default/files/2021-04/approach-to-compliance.pdf

RTO Logic

Thank You