

Form

Self-assessment tool

Introduction

ASQA’s self-assessment tool is designed to support training providers to manage self-assurance and ongoing compliance.

Our regulatory approach promotes a culture of self-assurance and continuous quality improvement as a core component of provider operations

This approach to regulation emphasises RTOs’ responsibility for assessing their own performance and practices against the *Standards for RTOs 2015*.

We have provided this self-assessment tool to assist the sector to understand the legislative requirements. This supports self-assurance by providers to identify, and address early, any deficiencies in their compliance to limit or prevent harm to students or the sector.

Why should you complete a self-assessment?

The *National Vocational Education and Training Regulator Act 2011* (NVR Act) requires providers to comply with the Standards at all times as a condition of registration. This self-assessment tool provides support to providers in how to undertake a performance assessment of their own compliance with the Standards.

Self assessment is the act or process of analyzing and evaluating the RTO’s performance agaist the RTO Standards. It involves gathering evidence of the training and assessment outputs and outcomes of their activities, systems and processes and critically evaluating how well you are performing against the Standards.

Self assessment forms one part of a system of self-assurance to manage risk in your organisation so that you can identify and fix issues as they arise, manage these to quality outcomes while ensuring quality student outcomes and having confidence that your RTO meets your regulatory obligation on a sustained basis.

Using this tool will help you to identify and assess evidence of practice and outcomes for each phase of the student experience. You can use this tool to identify areas for improvement in your RTOs’ practices, systems and processes and to determine the actions that need to be taken to ensure quality outcomes for students, employers and the wider community.

The student experience

This self-assessment tool is a companion to ASQA’s [Users' guide to the Standards for RTOs 2015](file:///\\Agencies\asqa_home$\KP2726\Desktop\DRAFT%20Self-assessment%20tool.docx) and aligns with the five phases of the student experience.

The new self-assurance regulatory model is underpinned by the Standards and will continue to reflect the student experience, with mapping to the relevant standards and clauses:

Marketing and recruitment

Enrolment

Fee protection arrangements

Support and progression

Training and assessment

Completion

To be fully compliant, RTOs also need to ensure their governance arrangements meet the requirements in the Standards.

Does my RTO need to complete a self-assessment?

It is not a requirement of registration to use this tool to assess your RTO’s compliance against the Standards. ASQA provides this tool to support RTOs in understanding their own performance (state of ongoing compliance) and the extent to which they are providing quality outcomes for students and employers to help them move toward self-assurance.

The tool does not form part of the Standards and has no legal authority. The tool does not prescribe what evidence you should collect to demonstrate your compliance with the Standards however it may provide evidence of your capability and commitment to delivering quality VET through ongoing review and continuous improvement.

Using this self-assessment tool

The tool follows the five phases of the student’s experience with an additional stage relating to your RTO’s governance arrangements, grouping the relevant Standards (and clauses) against each stage.

For each Standard, clause or group of related clauses the tool includes:

* Links to the relevant standards/clauses in the users’ guide
* A set of questions
  + These questions are designed to help review and consider your RTO’s performance in relation to the three core questions when assessing performance against the standards:
    - Does your practice align with the requirements of the Clause?
    - Do you have a system appropriate for ensuring ongoing compliance with the Clauses?
    - Do you monitor, review and continuously improve (self-assure) to ensure compliance with the requirements of the Clauses?
* A table template that can assist with recording of self-assessment activities.

Some RTOs may already have a continuous improvement plan in place to drive improvements in their operations. Others may find that as you move to self-assurance, a plan helps you to monitor and evaluate the changes you make to your RTO. For other RTOs, particularly those which are smaller in size, this tool may meet all of your self-assurance monitoring and planning needs. ^P^P

# Section 1: RTO details

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| RTO |  |
| RTO Code (i.e. National Identification Number): |  |
| Australian Business Number |  |
| Australian Company Number |  |
| Full name of legal entity |  |
| Registered business (trading) name/s (if relevant) |  |
| Person responsible for completing self-assessment | |
| Title | Mr / Mrs / Ms / Other (please specify): |
| Last name: |  |
| Given name(s): |  |
| Position Title: |  |
| Email: |  |
| Date of assessment: |  |
| Chief Executive Officer – legally responsible person for registration | |
| Title | Mr / Mrs / Ms / Other (please specify): |
| Last name: |  |
| Given name(s): |  |
| Position Title: |  |
| Date of review: |  |

# Section 2: Marketing and recruitment

### Clause 4.1: RTOs are responsible for providing accurate and accessible information to prospective and current students about RTO services and performance.

* [Review information on understanding clause 4.1 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-1/clause-4.1)

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| What practices, systems and processes are in place to meet the requirements of the Clause? |
| *For example, list all relevant policies and procedures or checklists.* |
| What systems and processes are in place to monitor and review marketing and recruitment materials and practices (yours and any **third parties**) to ensure it is up to date and accurate? |
| Consider further:  How are the materials and practices reviewed?  What approval processes are in place for updating marketing material?  Who is responsible for marketing and recruitment materials and processes? Is it clear to all personnel and in procedures/polices that is who is responsible? |
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| How do you ensure your marketing and recruitment practices align with your systems? |
| Consider further:  Marketing review reports  How has staff and student feedback been considered? |
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| How do you keep your staff informed of requirements and changes to the marketing and recruitment materials and processes? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your marketing and recruitment materials? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your marketing and recruitment systems and processes currently, do they ensure ongoing compliance with the Clause? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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# Section 3: Enrolment

RTOs are responsible for:

* informing and protecting students (clauses 5.1 - 5.3)
* protecting pre-paid fees by students (clause 7.3)
* providing credit for prior studies (clause 3.5)

### Clauses 5.1–5.2: Informing and protecting students.

* [Review information on understanding clauses 5.1 - 5.3 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-2/clauses-5.1-5.3)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| *For example, list policies and procedures, checklists and templates.* |
| What systems and processes are in place to monitor and review enrolment materials and practices (yours and any **third parties**) to ensure accuracy? |
| Consider further:  How are the materials and practices reviewed (including pre-enrolment assessment, information to students)?  Is there an approval process prior to sending enrolment information to potential students?  Who is responsible for recruitment and enrolment materials and practices? Is it clear to all personnel and in procedures/polices that is who is responsible? |
| *For example schedule reviews or spot checks.* |
| How do you ensure your enrolment practices align to your systems? |
| Consider further:  How has staff and student/employer feedback been considered?  Has any data been reviewed and considered (i.e. student survey, QI data)? |
|  |
| How do you keep your staff informed of enrolment requirements and changes? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your enrolment materials? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your enrolment systems and processes currently, do they ensure ongoing compliance with the Clause? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clause 7.3: Protecting pre-paid fees by students

* [Review information on understanding clause 7.3 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-2/clause-7.3)

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| What practices, systems and processes are in place to meet the requirements of the Clause? |
| Consider:  If you **do not** collect more than $1500 from students prior to commencement (pre-pay fees), how does your processes and practice ensure this is the case?  If you **do** collect more than $1500 from students prior to commencement (pre-pay fees), how does your processes and practices the requirements of Schedule 6 are met? |
| *For example, list policies and procedures, checklists and templates.* |
| What systems and processes are in place to monitor and review the collection of pre-pay fees processes and practices (yours and any **third parties**)? |
| Consider further:  How are the processes and practices reviewed?  Is there an approval process prior to collecting pre-pay fees?  Who is responsible for the pre-pay fee collection processes and practices? Is it clear to all personnel and in procedures/polices that is who is responsible? |
| For example, schedule reviews or spot checks. |
| How do you ensure your collection of pre-pay fees practices align to your systems? |
| Consider further:  Accounting information.  How has staff and student feedback been considered?  Has any data been reviewed and considered (i.e. student survey, QI data)? |
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| When was the last review of your pre-pay fee collection processes? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your collection of pre-pay fees systems and processes currently, do they ensure ongoing compliance with the Clause? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clause 3.5: Providing credit for prior studies.

* [Review information on understanding clause 3.5 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-2/clause-3.5)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| *For example, list policies and procedures, checklists and templates.* |
| What systems and processes are in place to monitor and review credit transfer materials and practices (yours and any **third parties**) to ensure accuracy? |
| Consider further:  How are the materials and practices reviewed?  Is there an approval process prior to granting credit transfer?  What information and evidence is required prior to granting a credit transfer and how is that recorded?  Who is responsible for credit transfer materials and practices? Is it clear to all personnel and in procedures/polices that is who is responsible? |
| *For example schedule reviews or spot checks.* |
| How do you ensure your credit transfer practices align to your systems? |
| Consider further:  Student records and associated evidence of credit transfer.  How has staff and student feedback been considered?  Has any data been reviewed and considered (i.e. student survey, QI data)? |
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| How do you keep your staff informed of credit transfer requirements and changes? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your credit transfer materials and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clause? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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# Section 4: Support and progression

RTOs are responsible for:

* Supporting learners (Clause 1.7)
* Keeping learners informed (Clause 5.4)
* Managing complaints and appeals (Clauses 6.1-6.6)

### Clauses 1.7 and 5.4: Supporting learners and keeping learners informed.

* [Review information on understanding clause 1.7 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-3/clauses-1.7-5.4-and-6.1-6.6)
* [Review information on understanding clause 5.4 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-3/clauses-1.7-5.4-and-6.1-6.6)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  How do you identify students who need support and how is that support provided to them?  How are students informed of any changes in agreed services? |
| *For example, list policies and procedures, checklists, templates and records reviewed.* |
| What systems and processes are in place to monitor and review student support materials and practices (yours and any **third parties**)? |
| Consider:  How are the materials and practices reviewed?  What information and evidence is required prior to granting student support and how is that recorded?  Who is responsible for student support materials and practices? Is it clear to all personnel and in procedures/polices that is who is responsible?  How satisfied are students with the support provided to them? |
| *For example, schedule reviews spot checks or surveys.* |
| What systems and processes are in place to monitor and review how you inform students of any agreed service changes? |
| Consider:  How are the materials and practices reviewed?  Who is responsible for informing students of all agreed service changes? Is it clear to all personnel and in procedures/polices that is who is responsible? |
| *For example schedule reviews or spot checks.* |
| How do you ensure your student support practices align to your systems? |
| Consider:  Student records and associated student support evidence.  How has staff and student feedback been considered?  Has any data been reviewed and considered (i.e. student survey, QI data)? |
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| How do you keep your staff informed of requirements and changes made to student support practices and material? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your student support and agreed services materials and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your student support systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### ****Clauses 6.1 – 6.6: Managing complaints and appeals.****

* [Review information on understanding clauses 6.1 - 6.6 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-3/clauses-1.7-5.4-and-6.1-6.6)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  How are students informed of the complaints and appeals policies and procedures?  How staff are trained to implementation the policy?  What materials and tools are used to support the complaints and appeals process? |
| *For example, list policies and procedures, checklists, templates or training sessions.* |
| What systems and processes are in place to monitor and review compliant and appeals practices (yours and any **third parties**)? |
| Consider:  How are the materials and practices reviewed?  Has a complaint/appeal ever been lodged?  Are the complaints/appeals processes falling within appropriate timeframes?  Who is responsible for the complaints and appeals process? Is it clear to all personnel and in procedures/polices that is who is responsible?  How satisfied are students with their experience going through a complaints/appeals process? |
| *For example schedule reviews, spot checks or surveys.* |
| How do you ensure your compliant and appeals practices align to your systems? |
| Consider:  Reviewing all or a selection of complaints and appeals lodged.  How has staff performed through the complaints and appeals process?  Has any data been reviewed and considered (i.e. student survey, QI data)?  Feedback from students. |
|  |
| How do you keep your staff and third parties informed of requirements and changes made to compliant and appeals? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your complaints and appeals processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your complaints and appeals systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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# Section 5: Training and assessment

RTOs are responsible for:

* implementing, monitoring and evaluating training and assessment strategies and practices (Clauses 1.1 – 1.4)
* engaging with industry (Clauses 1.5 – 1.6)
* conducting effective assessment (Clauses 1.8 – 1.12)
* employing skilled trainers and assessors (Clauses 1.13 – 1.16)
* providing supervision of trainers where needed (Clauses 1.17 – 1.20)
* employing experts to teach trainers and assessors (Clauses 1.22 – 1.24)
* engaging independent validators to conduct the quality reviews of training and assessment qualifications (Clause 1.25)
* managing transitions from superseded training products (Clauses 1.26 – 1.27)

### Clauses 1.1-1.4: Implementing, monitoring and evaluating training and assessment strategies and practices.

* [Review information on understanding clauses 1.1 - 1.4 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.1-1.4-and-2.2)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  How training and assessment strategies are developed.  Are their different processes for different training products and why?  How do you ensure that the training and assessment strategies meet the training package requirements?  How do you ensure that the training and assessment strategies meet industry/employer needs?  How do student cohorts inform your training and assessment strategies?  Information around appropriate resources and facilities.  If the training and assessment strategy is a collection of documents how is that clearly navigated for a trainer and assessor? |
| *For example, list policies and procedures, training and assessment strategies and associated documents.* |
| What systems and processes are in place to monitor and review training and assessment strategies and practices (yours and any **third parties**)? |
| Consider:  How are the materials and practices reviewed?  What happens when there is a change in the training package?  How are resources reviewed (i.e. learning resources, trainer and assessor numbers and facilities and equipment)?  Workplace components to qualifications and their requirements.  Consistency of delivery.  Who is responsible/accountable for the development of training and assessment strategies?  Is it clear to all personnel and in procedures/polices that is who is responsible? |
| *For example schedule reviews, spot checks or surveys.* |
| How do you ensure your training and assessment strategies and practices align to your systems? |
| Consider:  All training products on scope  Employer/workplace feedback  Industry engagement  Outcome data  Feedback from students and trainers. |
|  |
| How do you keep your staff informed of requirements and changes made to training and assessment strategies and practices? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your training and assessment strategies processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your training and assessment strategies, practices and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.5 – 1.6: Engaging with industry.

* [Review information on understanding clauses 1.5 - 1.6 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.5-and-1.6)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  How and when you engage with industry for each industry area on scope.  How has industry engagement informed training and assessment, resourcing, facilities and equipment for training products on scope?  How has your engagement informed the currency of industry skills of your trainers and assessors? |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review industry engagement materials and practices (yours and any **third parties**)? |
| Consider:  How are the materials and practices reviewed?  How are industry members identified as appropriate for engagement?  Schedule of engagement  Who is responsible for the industry engagement process?  Is it clear to all personnel and in procedures/polices that is who is responsible? |
| *For example schedule reviews, spot checks or surveys.* |
| How do you ensure your industry engagement practices align to your systems? |
| Consider:  Outcome data  Feedback from students and staff.  How is this recorded. |
|  |
| How do you keep your staff informed of requirements and changes made to industry engagement? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your industry engagement processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How is the review recorded?  How are the actions and changes allocated and recorded? |
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| After reviewing your industry engagement systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.8 – 1.12: Conducting effective assessment.

* [Review information on understanding clauses 1.8 - 1.12 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.8-1.12)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Assessment systems and tools  Validation systems  RPL process |
| *For example, list policies and procedures, forms and templates.* |
| What validation systems and processes are in place to monitor and review your assessment process and materials and practices (yours and any **third parties**) (including RPL)? |
| Consider:  Validation schedules  Who is responsible for the assessment validation process and development of assessment?  Is it clear to all personnel and in procedures/polices that is who is responsible?  Who is involved in the validation process?  How do you ensure consistency of assessment across all training products and assessors?  Does your assessment system and practice address assessment requirements of relevant training package?  Have your assessment practices enabled assessment to be conducted in accordance with the Principles of Assessment and the Rules of Evidence? |
|  |
| How do you ensure your assessment practices align to your systems? |
| Consider:  Validation outcome data  Feedback from students and trainers  Feedback from workplace supervisors (where available)  Feedback from industry engagement  How is this recorded? |
|  |
| How do you keep your staff informed of requirements and changes made to your assessment system and practice? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your validation and assessment processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  What training products did you validate?  How is the validation recorded and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your assessment and validation system, practices and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.13 – 1.16: Employing skilled trainers and assessors.

* [Review information on understanding clauses 1.13 - 1.16 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.13-1.16)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Verification process of trainer/assessors qualifications, industry currency and vocational competency.  How is currency of trainer/assessors maintained?  Professional development plans for trainer/assessors |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review trainer/assessor performance, processes and practices (yours and any **third parties**)? |
| Consider:  Trainer file/matrix reviews  Interviews with trainer/assessors  How do you ensure that all trainer/assessors are qualified and skilled?  Who is responsible for reviewing and verifying trainer/assessor processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded? |
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| How do you ensure your engagement of trainers/assessors align to your systems? |
| Consider:  Who is responsible for maintaining trainer files/matrix/profiles?  Performance management practices  Feedback from students and trainers.  Industry/employer feedback  How is this recorded? |
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| How do you keep your staff informed of requirements and changes made to engaging trainers/assessors? |
| Consider:  Professional development  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your trainer and assessor engagement, performance monitoring arrangements, processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How many if not all trainer/assessors were reviewed?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your trainer and assessor engagement systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.17 – 1.20: Providing supervision of trainers where needed.

* [Review information on understanding clauses 1.17 - 1.20 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.17-1.20)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Are any trainers under supervision arrangements?  How do you ensure all trainers and assessors providing supervision hold all the relevant credentials/qualifications?  Policy and procedures |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review trainer/assessor supervision processes and practices (yours and any **third parties**)? |
| Consider:  Trainer file/matrix reviews/arrangements  Interviews with trainer/assessors  Who is responsible for reviewing trainer/assessor supervision processes and practices? Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded? |
|  |
| How do you ensure your monitoring and review of trainer/assessor supervision practices align to your systems? |
| Consider:  Who maintains trainer files/matrix/arrangements?  Performance monitoring processes  Feedback from students and trainers.  Industry/employer feedback  How is this recorded? |
|  |
| How do you keep your staff informed of requirements and changes made to your monitoring and review of trainer/assessor supervision practices? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your trainer and assessor supervision processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How many if not all trainer/assessors were reviewed?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your trainer and assessor supervision systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.22 – 1.24: Employing experts to teach trainers and assessors.

* [Review information on understanding clauses 1.22 - 1.24 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.22-1.24)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Are you delivering qualifications from the Training and Education Training Package?  Policy and procedures  Verification process of trainer/assessors qualifications, industry currency and vocational competency.  How is currency of trainer/assessors maintained?  Professional development plans for trainer/assessors |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review trainer/assessor processes and practices (yours and any **third parties**)? |
| Consider:  How you ensure trainer/assessors delivering training and assessment training products meet the requirements of Item 7 of Schedule 1.  Trainer file/matrix reviews  Interviews with trainer/assessors  How do you ensure that all trainer/assessors are qualified and skilled?  Who is responsible for reviewing and verifying trainer/assessor processes and practices? Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded? |
|  |
| How do you ensure your practices align to your systems? |
| Consider:  Who maintains trainer files/matrix/  Feedback from students and trainers.  Industry/employer feedback  How is this recorded? |
|  |
| How do you keep your staff informed of requirements and changes made to employing experts to teach trainers and assessors? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your trainer and assessor processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How many if not all trainer/assessors were reviewed?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clause 1.25: Engaging independent validators to conduct the quality reviews of training and assessment qualifications.

This section is only relevant to RTOs with products from the Training and Education Training Package on scope.

* [Review information on understanding clause 1.25 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clause-1.25)

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| What practices, systems and processes are in place to meet the requirements of the Clause? |
| Consider:  How do you select your independent validator and ensure they meet the requirements listed in Schedule 2?  How have you ensured an independent validation process?  Policy and procedures |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review independent validation processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring independent validation processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded? |
|  |
| How do you ensure your engagement of independent validators practices align to your systems? |
| Consider:  Who maintains validation records  What feedback did you gather from the most recent validation process and what action did you take as a result?  Evidence of actions taken  How is this recorded? |
|  |
| How do you keep your staff informed of requirements and changes made to engaging independent validators? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your independent validation processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded?  Has the independent validation process changed and why? |
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| After reviewing your engaging independent validators systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clauses 1.26 – 1.27: Managing transitions from superseded training products.

* [Review information on understanding clauses 1.26 - 1.27 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.26-1.27)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Communication with students and staff on transition requirements  Enrolment processes with superseded qualifications  Staff training  How does your student management system works when transitions occur?  How are timeframes are managed? |
| *For example, list policies and procedures, forms and templates.* |
| What systems and processes are in place to monitor and review transition of superseded training products processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring transition processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded? |
|  |
| How do you ensure your management of transitions from superseded training products practices align to your systems? |
| Consider:  Were any of the training products on your scope of registration superseded, removed or deleted in the last 12 months?  Who is responsible for coordinating the transition?  How are timeframes met?  Was communication with students in line with policies and procedures? |
|  |
| How do you keep your staff informed of requirements and changes to managing transitions from superseded training products? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your transition processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded?  Has the independent validation process changed and why? |
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| After reviewing your management of transitions from superseded training products systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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# Section 6: Completion

RTOs are responsible for:

* Providing secure certification (Clauses 3.1 – 3.4)
* Participating in the Student Identifier Scheme (Clause 3.6)

### Clauses 3.1 – 3.4 Providing secure certification.

* [Review information on understanding clauses 3.1 - 3.4 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-5/clauses-3.1-3.4)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Staff training  How does your student management system ensure only student who have been assessed as competent are issued AQF certification documentation?  How do you ensure all AQF certificates issued meet the requirements of Schedule 5?  How are timeframes are managed?  How are records kept? |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review the completion and certification processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring the completion and certification processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How is it recorded?  Student feedback |
|  |
| How do you ensure your completion and certification practices align to your systems? |
| Consider:  Student and client feedback  How are timeframes met?  Was communication with students inline with policies and procedures? |
|  |
| How do you keep your staff informed of requirements and changes to completion and certification practices? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your completion and certification processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your completion and certification systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### Clause 3.6: Participating in the Student Identifier Scheme.

* [Review information on understanding clause 3.6 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-5/clause-3.6)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Staff training  Student management system  What information is provided to students? |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review the Student Identifier Scheme processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring the Student Identifier Scheme processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How is this recorded?  Student feedback |
|  |
| How do you ensure your Student Identifier Scheme practices align to your systems? |
| Consider:  Student and client feedback  How are timeframes met?  Was communication with students inline with policies and procedures? |
|  |
| How do you keep your staff informed of requirements and changes to the Student Identifier Scheme? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your Student Identifier Scheme processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your Student Identifier Scheme systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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Section 7: Standards relevant to regulatory compliance and governance practice

RTOs are responsible for:

* ensuring authorised executive officers are in place and assessing financial viability risk (Clauses 7.1 and 7.2)
* compliance and reporting (Clauses 2.1-2.2, 8.4-8.6)
* recording, monitoring and reporting third party arrangements (Clauses 2.3-2.4, 8.3)
* holding public liability insurance (Clause 7.4)
* meeting data provision requirements (Clause 7.5)
* providing requested information to ASQA (Clauses 8.1 and 8.2)

### Clauses 7.1 and 7.2: Ensuring authorised executive officers are in place and assessing financial viability risk.

* [Review information on understanding clauses 7.1 - 7.2 in the Users’ guide to the Standards *for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clause-7.1)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Organisation structure  Staff feedback  What delegations are in place?  How is financial viability reviewed and demonstrated? |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review who within the RTO is vested with sufficient authority and is accountable for compliance with the Standards? |
| Consider:  How is this reviewed  How is this reflected in position descriptions  How is this recorded? |
|  |
| What systems and processes are in place to monitor and review financial viability risk processes and practices? |
| Consider:  Who is responsible for reviewing and monitoring the financial viability risks?  Is it clear to all personnel and in procedures/polices that is who is responsible?  How are the financial records reviewed and stored? |
|  |
| How do you ensure your financial viability risk management practices align to your systems? |
| Consider:  Staff feedback  Accountant reports |
|  |
| How do you keep your staff informed of requirements and changes made to financial viability risk management? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your processes and practices in regards to organisational authority and financial viability? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your financial viability risk management systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### ****Clauses 2.1 – 2.2, 8.4 - 8.6: Compliance and reporting.****

* [Review information on understanding clause 2.1 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clauses-2.1-and-8.4-8.6)
* [Review information on understanding clause 2.2 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-4/clauses-1.1-1.4-and-2.2)
* [Review information on understanding clauses 8.4 - 8.6 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clauses-2.1-and-8.4-8.6)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Self-assurance/assessment plans, schedules, reports  Staff training  Student management system  Third Party arrangements |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review the compliance and reporting processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring the compliance and reporting processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible? |
|  |
| How do you ensure your compliance and reporting practices align to your systems? |
| Consider:  Student and client feedback  Third parties monitoring  Students and staff communications about legislative changes |
|  |
| How do you keep your staff informed of requirements and changes to compliance and reporting practices and processes? |
| Consider:  How this is recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your compliance and reporting processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
|  |
| After reviewing your compliance and reporting systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### ****Clauses 2.3-2.4, 8.3) Recording, monitoring and reporting third party arrangements.****

* [Review information on understanding clauses 2.3 - 2.4 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clauses-2.3-2.4-and-8.3)
* [Review information on understanding clause 8.3 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clauses-2.3-2.4-and-8.3)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:   * Policy and procedures * Third Party Arrangements and written agreements   Compliance monitoring schedules/reporting requirements |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to record, monitor and review third party processes and practices (yours and any **third parties**)? |
| Consider:   * Who is responsible for reviewing and monitoring the third party processes and practices? * Is it clear to all personnel and in procedures/polices that is who is responsible?   Timeframes |
|  |
| How do you ensure your recording, monitoring and reporting of third party practices align to your systems? |
| Consider:   * Student and client feedback   Third parties monitoring reports |
|  |
| How do you keep your staff informed of requirements and changes made to reporting, monitoring and reviewing third parties? |
| Consider:   * How is this recorded?   Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your third party processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
|  |
| After reviewing your recording, monitoring and reporting third party systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### ****Clauses 7.4 and 7.5: Holding public liability insurance and meeting data provision requirements.****

* [Review information on understanding clause 7.4 and 7.5 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clause-7.4)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Your current public liability insurance and evidence  Quality indicator data collection and reporting  AVETMISS compliant data |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review insurance and data provision processes and practices (yours and any **third parties**)? |
| Consider:  Who is responsible for reviewing and monitoring these processes and practices?  Is it clear to all personnel and in procedures/polices who is responsible/accountable? |
|  |
| How do you ensure your public liability insurance and meeting data provision requirements practices align to your systems? |
| Consider:  Do you hold public liability insurance?  How has student data been collected and stored? |
|  |
| How do you keep your staff informed of requirements and changes made to public liability insurance and meeting data provision requirements? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of your data provision processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your data provision systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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### ****Clauses 8.1 and 8.2: Providing requested information to ASQA.****

* [Review information on understanding clauses 8.1 - 8.2 in the *Users’ guide to the Standards for RTOs 2015*](https://www.asqa.gov.au/standards/chapter-6/clauses-8.1-and-8.2)

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| What practices, systems and processes are in place to meet the requirements of the Clauses? |
| Consider:  Policy and procedures  Staff training  Third party written agreements  Communications with ASQA |
| *For example, list policies and procedures, checklist and templates.* |
| What systems and processes are in place to monitor and review how the RTO provides requested information to ASQA (yours and any **third parties**)? |
| Consider:  Is there an approval or review process before information is sent to ASQA?  How are third party agreements monitored?  Who is responsible for reviewing and monitoring these processes and practices?  Is it clear to all personnel and in procedures/polices that is who is responsible? |
|  |
| How do you ensure your provision of requested information to ASQA practices align to your systems? |
| Consider:  Recent communications with ASQA  Third Party Agreements and communications with ASQA |
|  |
| How do you keep your staff informed of requirements and changes made to providing requested information to ASQA? |
| Consider:  How is this recorded?  Who is responsible for informing staff? |
| *For example team meetings or ongoing staff training.* |
| When was the last review of these processes and practices? What changes have been made as an outcome of that review? |
| Consider:  Who is responsible for the review?  How was this record and what were the outcomes?  How are the actions and changes allocated and recorded? |
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| After reviewing your systems and processes currently, do they ensure ongoing compliance with the Clauses? |
| Consider:  What improvements need to occur to assure sustained compliance? |
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