

VET Quality Framework Self-Assessment Internal Audit Report

Report Template

For continuing registration as a National Vocational Education and Training Regulator (NVR) registered training organisation (RTO)

Organisation details

Legal name of organisation			
Trading name of organisation		ABN	
National Provider Number			
Address			
Telephone		Fax	
Email		Web	
Date/s of self-assessment/internal audit			

Summary of self-assessment/internal audit outcome

Compliance status as at date of first self-assessment/ internal audit

The NVR RTO has demonstrated compliance with all requirements of the VET Quality Framework reviewed. Yes No

Compliance status as at date of second self-assessment/ internal audit (if required)

The NVR RTO has demonstrated compliance with all requirements of the VET Quality Framework reviewed. Yes No

Auditor's name			
Signature		Date	

Comments from CEO/or equivalent

CEO's name		Signature		Date	

Audit team

Role	Name	Position	Contact Details
Lead auditor			
Audit team members			
Technical advisor/s			

Auditees

Name	Position	Contact Details

About this VET Quality Framework Self Assessment/ Internal Audit Report

National Vocational Education and Training Regulator (NVR) registered training organisations (RTOs) [hereafter referred to as RTO] may use this template when preparing for an audit or as a way of conducting a self-assessment/internal audit of their operations against the VET Quality Framework.

The template does not mandate or suggest the type of evidence that must be provided in order to demonstrate compliance. The scale of this self-assessment/internal audit activity and the type of evidence provided to demonstrate compliance will vary depending on the RTO's size and scope of operations.

The aim of this template is to provide RTOs with a systematic framework to guide them through a self-assessment/internal audit process, and provide an opportunity for the RTO to build a concise and thorough record of the self-assessment/audit outcomes.

The template is designed for the person undertaking the assessment on the RTO, 'the auditor', to systematically record the evidence presented and the outcome of the assessment for immediate and future reference in relation to the RTO's ongoing compliance of the VET Quality Framework. The template may be used electronically or it may be printed and findings recorded in writing.

The chief executive officer [or equivalent] should review the findings of this self-assessment/internal audit tool and formally note the outcome by signing the section provided. A comments section is also provided.

Endeavor to keep the self-assessment report simple by:

- avoiding jargon
- being accurate, clear and honest
- being concise
- referring to other reliable evidence only when it is relevant
- using evidence selectively to support a judgement
- indicating clearly where more detailed evidence can be found.

Section 1: Summary of VET Quality Framework requirements

The [VET Quality Framework](#) is aimed at achieving greater national consistency in the way providers are registered and monitored and in how standards in the VET sector are enforced.

The VET Quality Framework is comprised of:

- the [Standards for NVR Registered Training Organisations](#) 2011 (SNR)
- the [Fit and Proper Person Requirements](#) 2011 (FPPR)
- the [Financial Viability Risk Assessment Requirements](#) 2011 (FVRAR)
- the [Data Provision Requirements](#) 2011 (DPR)
- the [Australian Qualifications Framework](#) (AQF 2nd edition January 2013)

According to the conditions of registration in the overarching National Vocational Education and Training Regulator Act 2011 (the Act) all nationally VET Regulated RTOs are also required to comply with any general directions from the national VET regulator. These directions currently include:

- [General direction: Retention requirements for completed student assessment items](#) (*refer to SNR 15.5*)
- [General direction: Quality indicators](#) (*refer to Data Provision Requirements*)
- [General direction: Transition and teach out](#) (*refer to SNR 25*)

The table below is a summary of the findings at the time the self assessment/internal audit was conducted. The full details of each of the requirements are outlined within the document.

VET QUALITY FRAMEWORK COMPONENT		STATUS*		
*STATUS: Status of findings when self assessment/internal audit was conducted				
C = Compliant NC = Not Compliant NA = Not Audited				
Standards for NVR Registered Training Organisations 2011				
15	The NVR registered training organisation provides quality training and assessment across all of its operations	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
17	Management systems are responsive to the needs of clients, staff and stakeholders, and in the environment in which the NVR registered training organisation operates	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
18	The NVR registered training organisation has governance arrangements in place	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
19	Interactions with the National VET Regulator	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
20	Compliance with legislation	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
21	Insurance	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
22	Financial management	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
23	Certification, issuing and recognition of qualifications and statements of attainment	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
24	Accuracy and integrity of marketing	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
25	Transition to Training Packages/expiry of VET accredited course	<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
Fit and Proper Person Requirements 2011		<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
Financial Viability Risk Assessment Requirements 2011		<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
Data Provision Requirements 2011		<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
Australian Qualifications Framework Requirements 2011		<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA
<ul style="list-style-type: none"> <i>Certification Documentation</i> 		<input type="checkbox"/> C	<input type="checkbox"/> NC	<input type="checkbox"/> NA

Rectification requirements

Detail an action plan below of how any non-compliances will be addressed and by whom, and a timeframe for when this will be completed. After action has been taken (ie meeting, follow-up review, etc) the person responsible for overseeing the self assessment/internal audit process should record when the rectifications have been made.

SNR	Description of action required	Timeframe	Person responsible	Date rectified

**Section 2: Standards for NVR Registered Training Organisations 2011:
Part 3 Essential Standards for Continuing Registration**

SNR 15: The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Intent

The NVR registered training organisation improves training and assessment arrangements in accordance with data collected.

Description of evidence sighted

Provide a brief statement about the organisation's compliance with SNR 15.1, including a brief summary of evidence that relates to this Standard.

Summary of non-compliance identified after initial assessment

Detail gaps in evidence of compliance.

Summary of non-compliance identified after initial assessment cont**Rectification required to demonstrate compliance**

Detail information about evidence required to address each compliance gap.

Further evidence received

Detail information about further evidence gathered/received after initial assessment.

At time of initial assessment: C NC NA**Following analysis of additional evidence:** C NC

Section 3: Fit and Proper Person Requirements

A component of the VET Quality Framework is the [Fit and Proper Person Requirements](#). The [Fit and Proper Person Requirements](#) are designed to ensure that key registered training organisation (RTO) personnel have the characteristics and principles necessary to ensure the delivery of high-quality services and outcomes for VET graduates.

The **Fit and Proper Person Requirements** are now a legislative instrument made by the Federal Minister for Tertiary Education, Skills, Jobs and Workplace Relations under subsection 186(1) of the [National Vocational Education and Training Regulator Act 2011](#).

Compliance with the Requirements is a condition of registration under the Act. The requirements of this legislative instrument may be referred to by the abbreviation 'FPPR'. This legislative instrument is called the Fit and Proper Person Requirements 2011.

Each executive officer, high managerial agent and/or any person or entity which exercises a degree of control or influence over the management or direction of the organisation applying for initial or renewal of registration as a registered training organisation (RTO) is subject to the **Fit and Proper Person Requirements**.

The definitions given to of each of these position's titles are provided below.

Executive officer

- a) a person, by whatever name called and whether or not a director of the organisation, who is concerned in, or takes part in, the management of the organisation, or
- b) if the organisation is body corporate:
 - I. a person who, at any time during a period for which the organisation is registered, owns 15% or more of dividends paid by the organisation,
 - II. a person who, at any time during a period for which the organisation is registered, is entitled to receive 15% or more of dividends paid by the organisation,
- c) an administrator, receiver or manager, or liquidator of the organisation (other than a receiver and manager, or liquidator, appointed by the court), or
- d) if the organisation is a body corporate – the administrator of a deed of company arrangement executed by an organisation, or
- e) if the organisation is a body corporate – a trustee or other person administering a compromise or arrangement made between the organisation and another person or other person.

High managerial agent – an employee or agent of the organisation with duties of such responsibility that his or her conduct may fairly be assumed to represent the organisation in relation to the business of providing courses (where 'courses' mean courses of vocational education and training).

For relevant applicants and RTOs, the **Fit and Proper Person Requirements** replace the fit and proper person requirement in Conditions of Registration (COR) 1 in the Australian Quality Training Framework (AQTF).

Summary of the Fit and Proper Person Requirements:

FPPR 4: Fit and Proper Person Requirements

FPPR 4 sets out the considerations that the National VET Regulator must have regard to when making a decision about whether a person meets the fit and proper person requirements for registration.

FPPR 5: Persons subject to a Fit and Proper Person Requirement

FPPR 5 identifies the people that the National VET Regulator must consider when making a decision about whether an applicant under the NVETR Act 2011 meets the fit and proper person requirements.

The Fit and Proper Person Requirements Declaration form

The following form should be downloaded for each executive officer, high managerial agent, or other officer as define previously.

http://www.asqa.gov.au/verve/_resources/Fit_and_Proper_Person_Requirements_declaration.doc

This form can be used to either update existing person's details or is required to be completed for new officers. However, when a significant change in the managerial composition of the organisation occurs, a notification to ASQA must also be made as soon as practicable.

Condition 25 -notifying National VET Regulator of material changes requires notification be given if the name or contact details of an executive officer or high managerial agent of the organisation changes; or if there are other substantial changes to the operations of the organisation.

Self-Assessment/ Internal Audit Recommendation

It is recommended that this section (FPPR) is reviewed each year, however, the executive officers, high managerial agents or any other persons who are required to demonstrate the FPPR only need to complete the documentation once and then update if any changes are required. The self-assessment/internal audit process may require them to review their declarations and advise if any changes are needed.

Section 5: Data Provision Requirements

A component of the VET Quality Framework is the [Data Provision Requirements](#). The [Data Provision Requirements](#) outline the requirements for applicants and registered training organisations (RTOs) to capture and provide data to ASQA. There has also been a [General direction: Quality indicators](#) issued by ASQA – it is a condition of registration than an NVR RTO must comply with any such general directions.

The data required relates to registration and performance information, including [quality indicator data](#) and information derived from the [Australian Vocational Education and Training Management of Information Statistical Standard](#) (AVETMISS).

The AVETMISS national data standard is the standard for VET providers operating in Australia that ensures consistent and accurate capture of VET information about students, their courses, units of activity and the qualifications reported. AVETMISS is the mechanism for national reporting in the VET system.

The Data Provision Requirements require relevant applicants and RTOs to show that they have adequate systems to capture and report on this data against the agreed quality indicators.

The relevant section of the new [Data Provision Requirements](#) will replace the COR 6 of the Conditions of Registration in the Australian Quality Training Framework (AQTF) and impose the same requirement in stipulating that an RTO must have a student records management system capable of providing the regulating body with AVETMISS compliant data.

The **Data Provision Requirements** are now a separate legislative instrument made by the Federal Minister for Tertiary Education, Skills, Jobs and Workplace Relations under subsection 187(1) of the [National Vocational Education and Training Regulator Act 2011](#).

DPR 4 Student records management system

Both applicants seeking initial registration under the Act, and NVR registered training organisations, must have a student records management system that has the capacity to provide the National VET Regulator with AVETMISS compliant data.

Description of evidence sighted:

Provide a brief statement about the organisation's compliance with DPR 4, including a brief summary of evidence that relates to this requirement.

Summary of non-compliance identified after initial assessment

Detail gaps in evidence of compliance.

Section 6: Australian Qualifications Framework

RTOs must comply with the [Australian Qualifications Framework](#) (AQF 2nd edition January 2013). The AQF is the quality assured national framework of qualifications in the school, vocational education and training, and higher education sectors of Australia.

The AQF is the national policy for regulated qualifications in Australia education and training. It incorporates the qualifications from each education and training sector into a single comprehensive national qualifications framework.

The [AQF Second Edition January 2013](#) provides the complete set of AQF policies and objectives and information about the governing and monitoring arrangements for the AQF.

The AQF provides the standards for Australian qualifications. It is an integrated policy that comprises:

- The learning outcomes for each AQF level and qualification type
- The specifications for the application of the AQF in the accreditation and development of qualifications
- The policy requirements for issuing AQF qualifications
- The policy requirements for qualification linkages and student pathways
- The policy requirements for the registers of:
 - organisations authorised to accredit AQF qualifications
 - organisations authorized to issue AQF qualifications
 - AQF qualifications and qualification pathways
- The policy requirements for the addition or removal of qualification types in the AQF, and
- The definitions of the terminology used in the policy.

The Council has provided further explanations to accompany the AQF to assist with clarification. These can be accessed in separate documents on the main homepage of the [AQF Council](#), or as a [combined document](#).