

VET Quality Framework Self-Assessment / Internal Audit Report

Including guidance

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. If using the suggested questions for consideration, indicate which questions were used in the review process by checking/ticking the relevant box. These questions are not mandated and are only presented as guidance towards interpreting the standards and legislative instruments.

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.

Using the features of this document

This report is in a “Portable Document Format” (PDF) and should be opened using **Adobe Reader** (which is free to download). Please ensure you are using Adobe Reader rather than other ‘Preview’ applications as they will not allow you to use features such as saving, filling in text fields, check boxes and commenting.

Text boxes

Most of the shaded boxes within the templates are **text boxes** and can be filled out simply by clicking on the box and typing. Some textboxes are within tables, others may have a grey border around them.

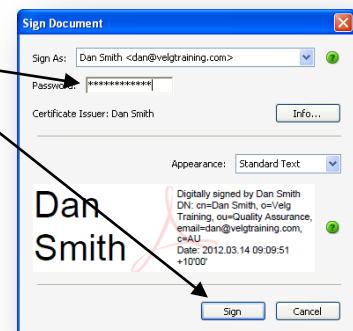
Check boxes

Templates may also contain a range of **check boxes**. On occasions, these may be grouped so that only one option can be selected (i.e. in an audit report either C or NC can be selected, not both). Check boxes are selected by clicking on the box. To deselect the check box, click on the box again.

Digital signatures

Digital signatures are required on a range of Velg Training templates. These can be created by clicking on the box with the **red tag** and following the instructions presented:

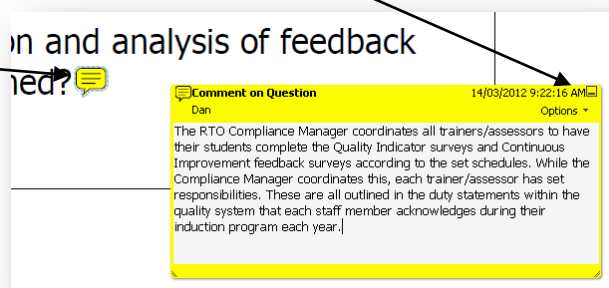
1. Click on the signature field
2. You will be presented with this screen
3. Choose the type of signature you want to create. A PKCS# 12 file will be the easiest to implement as it can be read by both Mac and Windows (a Windows Certificate can only be read by Windows computers).
4. You will be prompted for personal information to create the certificate. Complete this accurately and click next.
5. You will be prompted for a storage location and password. Complete this and click ok (ensuring you take note of your password as you will need to use this each time you digitally sign a document).
6. You will be prompted to digitally sign the document by entering your password. Enter it and click on ‘Sign’.
7. You will be prompted to save the document with the new digital signature.
8. In future when you click on a signature field it will prompt you with existing signatures to choose from. Choose the correct signature, enter the password and choose ‘Sign’.



Sticky notes

There are other extra features within Adobe Reader that can be used to add clarification to a document. It is suggested that when working through a document that may require further information **sticky notes** may be used.

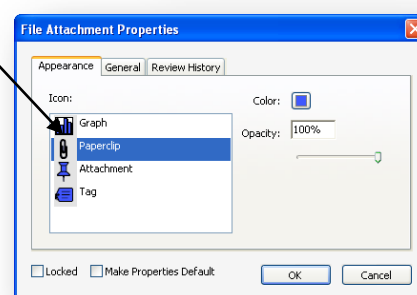
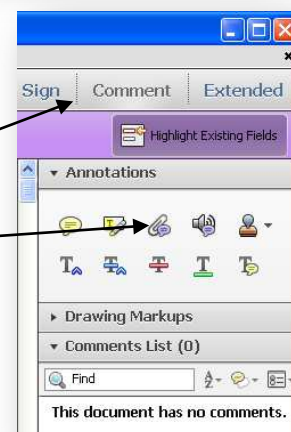
1. Click on **Tools...Comment & Markup...Sticky Note**
2. The cursor will change to a comment bubble – on the document, click where you want the Sticky Note to appear.
3. You will be presented with a comment box to use to type in the required information.
4. The comment box/Sticky Note can be minimised using the small dash in the top right hand corner.
5. The note can now be viewed by hovering the mouse over the yellow comment bubble or clicking on the bubble will maximise the Sticky Note.
6. The note can be deleted by clicking on the comment bubble and pressing Delete on the keyboard (or right clicking on it and selecting Delete).



Attaching files

Links to other files can be inserted into PDF documents.

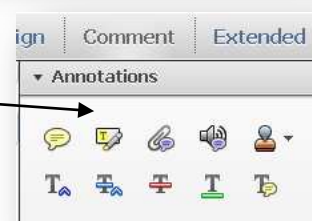
1. Click on “**Comment**” on the toolbar (if this is not on your toolbar click on **View...Comment...Annotations**)
2. Click on the paperclip icon (**Attach File**)
3. Click on the location within the pdf document where you want the link to the file to appear
4. The “Add Attachment” dialog box will appear – find the location where the file is stored and select the file, click on **Open**.
5. A “File Attachment Properties” dialog box will appear – select the type of icon to appear in the PDF and the colour of that icon.
6. Click on **OK**.
7. The file will now appear in the Comments list on the right hand side of your window.



Highlight Text

Points of interest or areas that need revisiting can be highlighted by selecting the Highlight tool from the **Annotations** menu (access this by clicking on **View...Comment...Annotations**).

1. Select the Highlight button and click and drag over text to highlight
2. To deactivate the tool, press **Escape** on your keyboard.
3. To remove highlighting, right click on the highlighted area and select **Delete**.



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*)

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

General note regarding Section 2:

The questions in the tables below for each standard and/or legislative instrument are guidelines as to possible evidence that *could* be provided. This is not an exhaustive list and the RTO may have evidence that meets the requirements of the standard but does not 'fit' with the questions below. The evidence provided by the RTO will also be dependent on the size and scope of the organization.

Generally, documented procedures and other documents such as duty statements are the main means of control but if the RTO can demonstrate 'control' in other ways, such as a consistently practised process, this may be acceptable as long as evidence exists that this process is understood throughout the RTO and the outcome of the process meets the requirements of the standard.

By way of checking/ticking the boxes next to individual questions, please indicate which questions were considered in the review process.

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.

Possible questions to consider

- How do you ensure **systematic** continuous improvement of training and assessment?
- What data is collected (and from where) and how is this used in the systematic continuous improvement of training and assessment? Other data – competency completions, enrolment trends, student destinations, staff retention.
- What methods are used for analysing data and feedback?
- In the past 12 months, how have any aspect of the training and/or assessment been changed? (ie TAS, industry engagement, resources, trainer/assessor competencies, assessment tools, validation, etc). How have these changes been the response/reflection of analysis of data?
- Who is the designated person responsible for the collection and analysis of feedback from stakeholders? Where/how is their responsibility defined?
- How is the collection of feedback organised?

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.

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.

Criteria for suitability for registration

In assessing whether a person, who is an applicant for registration as an NVR registered training organisation, an applicant for renewal of registration as an NVR registered training organisation or who is an NVR registered training organisation, meets the Fit and Proper Person Requirements, the National VET Regulator must have regard to the following considerations:

- (a) whether the person has been convicted of an offence against a law of the Commonwealth or of a State or Territory and if so, the seriousness of the offence;
- (b) whether the person has ever had his, her or its registration on the National Register cancelled or suspended;
- (c) whether the person has ever had a condition imposed on his, her or its registration on the National Register;
- (d) whether the person has ever breached a condition of registration in Subdivision B of Division 1 of Part 2 of the Act;
- (e) whether the person has ever become bankrupt, applied to the benefit of a law for the benefit of bankrupt or insolvent debtors, compounded with his or her creditors or assigned his or her remuneration for the benefit of creditors;
- (f) whether the person has ever been disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2011*;
- (g) whether the person was involved in the business of the provision of courses by another provider who is covered by any of the above paragraphs at the time of any of the events that gave rise to the relevant prosecution or other actions;
- (h) whether the person has ever provided a State or Territory registering body and/or the National VET Regulator with false or misleading information or made a false or misleading statement to a State or Territory registering body or the National VET Regulator, and whether the person knew that the statement made or information provided to the State or Territory registering body or VET Regulator was false or misleading;
- (i) whether the person has ever been found not to be a fit and proper person for the purpose of the *Education Services for Overseas Students Act 2000*;
- (j) whether the public is likely to have confidence in the person's suitability to be involved in an organisation that provides or assesses national qualifications; and
- (k) any other relevant matter.

Possible questions to consider

- Have you conducted a review of the Fit and Proper Person Declarations held for the organisation?
- Do all persons (including associates) who currently are in positions to exercise a degree of control or influence over the management or direction of the organisation, have completed declarations?
- Is there a process for the declarations to be regularly reviewed and confirmed as current and accurate? Who manages this and is the role defined?
- What documentation can be provided to confirm the currency of the declarations?
- What documentation can be provided to confirm any notifications of changes?

Description of evidence sighted

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

Summary of non-compliance identified after initial assessment

Detail gaps in evidence of compliance.

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 that 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](#).