

Updates: The Essential Guide to RTO Compliance

The following pages contain updates that incorporate the new Standards for Registered Training Organisations (RTOs) 2015

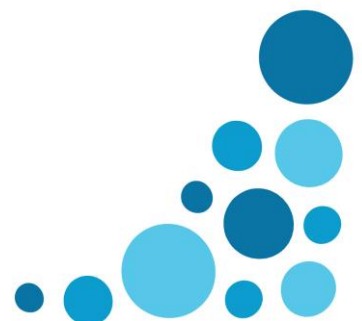
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Continuous Improvement in an RTO

The cycle of improvement is also an essential part of the compliance management system in an RTO.

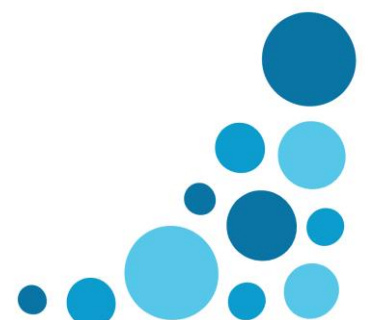
The table below lists the standards that focus on improvement. *Systematic* and *continuous* are the two words to reflect on as you prepare to either develop a new quality management system or review an existing system in the RTO context. We will explore the type of system that you will need to ensure a good-for-business approach to RTO and compliance management.

	VET Quality Framework	AQTF	Standards for RTOs (2015)
The RTO collects, analyses, and acts on relevant data for continuous improvement of training and assessment	15.1	1.1	
The RTO continuously improves client services by collecting, analysing and acting on relevant data	16.2	2.2	
The RTO uses a systematic and continuous improvement approach to the management of operations	17.2	3.2	
The operations of the RTO are quality assured			2.1 – 2.4
The RTO has effective governance and administration arrangements in place	18.1-18.2, 20.1, 20.2, 21.1	COR 1, 3, 4	2.1 – 2.4 7.1 -7.5



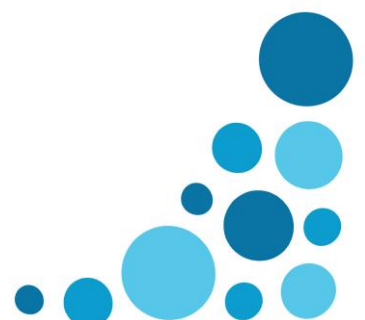
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Sample Policy Suite for an RTO		
Key Result Area	Policy	Standards for Registered Training Organisations (2015)
Strategic Management	Governance and Management	1.26, 1.27, 2.1 - 2.4, 3.4, 7.1 - 7.5, 8.1 - 8.6
Financial Management	Financial Management	4.1, 5.2, 5.3, 5.4, 7.2, 7.3
Operational Management	Continuous Improvement	1.9, 1.10, 1.26, 1.27, 2.1, 2.2, 2.4, 7.5, 8.1
	Industry Consultation and Customer Satisfaction	1.5, 1.6, 1.7
	Partnership Agreements	2.1, 2.3, 4.1, 5.3, 6.1, 7.3, 8.2, 8.3
	Risk and Compliance Management	1.10, 7.1- 7.4, 8.5, 8.6
	Marketing and Advertising	4.1, 5.1, 5.2, 5.3
	Course Administration	1.7, 3.1-3.6, 4.1, 5.1-5.4
Human Resources	Human Resources (include access and equity and WHS)	
Records	Document and Data Management	3.4, 3.6, 6.5, 7.5, 8.1, 8.2
Training and Assessment	Course delivery and assessment Plagiarism Transition	1.1-1.24, 2.1, 2.2
	Complaints and Assessment Appeals	6.1-6.5



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Sample Monthly Plan		
Key Result Area	Standards for RTOs (2015)	Key Steps
Training and Assessment (Validation)	1.6, 1.9, 1.10, 1.11	<p>Schedule validation session with trainers and assessors</p> <p>Conduct validations</p> <p>Revise assessment materials</p> <p>Review samples of RPLs granted</p> <p>Review RPL kit and policy</p> <p>Report on findings as per RTO policy</p>
Training and Assessment (Feedback)	1.7, 2.2	<p>Check that feedback is being gathered from students (both internal and QI feedback sheets are being gathered).</p> <p>Check Complaints and Appeals records for the past month.</p> <p>Review feedback from staff and students on learning and assessment (from a variety of sources).</p> <p>Prepare the feedback review in a report to be submitted to management.</p> <p>Report to monthly management meeting.</p>



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Sample Monthly Plan				
Key Result Area	NVR Standards	Key Steps	Who	How data will be gathered and reported
Training and Assessment (Validation)	1.6, 1.9, 1.10, 1.11	<ul style="list-style-type: none"> • Schedule validation session with trainers and assessors • Conduct validations • Revise assessment materials • Review samples of RPLs granted • Review RPL kit and policy • Report on findings as per RTO policy 	Training Manager Compliance Manager Subject Coordinators Trainers/Assessors	Validation checklists, Validation reports to Management , Management meeting minutes (to record outcomes)
Training and Assessment (Feedback)	1.7, 2.2	<ul style="list-style-type: none"> • Check that feedback is being gathered from students (both internal and QI feedback sheets are being gathered). • Check Complaints and Appeals records for the past month. • Review feedback from staff and students on learning and assessment (from a variety of sources). • Prepare the feedback review in a report to be submitted to management. • Report to monthly management meeting. 	Training Manager Compliance Manager Subject Coordinators Trainers/Assessors Student Service Officers Customer Service Officer	Internal and QI feedback forms, Student survey

