GET SMART & GET COMPLIANT

Part 3 (of a 3 part series)

How to use an audit to improve policy, procedure and assessment practice
TODAY’S PRESENTERS and HOST

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What we will cover today

• Recap: Good for Business Approach
• Audits: An important part of the Continuous Improvement System
• Audit findings and how to use them
‘Good for Business’

- Proactive, engaged staff & managers
- Proactive monitoring
- Effective functioning & integration across the business
- Quality data & information across whole business
What is an audit?

• Planned and documented process
• Investigate and examine compliance with established legislation, policies and procedures
• Effectiveness of implementation of these policies and processes.
Types of Audit

- Internal
- 2nd Party
- 3rd Party
How can audit outcomes be used?

• Correct compliance issues
• Deter organisations from breaching compliance and risk requirements
• Encourage the development of a preventative approach to compliance management
Key Messages About Audit

• Approach compliance and CI in a proactive way - no surprises at audit.
• 2^{nd} party & 3^{rd} party audits - a fresh perspective & opportunities for improvement
• Audit findings provide quality data
# Common Audit Findings

<table>
<thead>
<tr>
<th>Standards</th>
<th>Percentage of compliance</th>
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<tbody>
<tr>
<td>SNR 15: Quality Training and Assessment</td>
<td>61%</td>
</tr>
<tr>
<td>SNR 16: Access &amp; Equity for clients</td>
<td>52%</td>
</tr>
<tr>
<td>SNR 17: Responsive management systems</td>
<td>56%</td>
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<tr>
<td>Snr 18: Governance</td>
<td>62%</td>
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<tr>
<td>SNR 25: Transition</td>
<td>36%</td>
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SNR15: Training & Assessment

- Strategies
- Resources
- Assessment
- Trainers
SNR 16: Client Access & Equity

The RTO
- Identifies need
- Gathers data
- Informs
- Engages 3rd parties

The Learner
- Individual needs
- Access to records
- Complaints & Appeals
SNR 17: Responsive Management Systems

Plan
RTO Business & Planning systems

Act
Improvement, how can we get better

Check
Monitor & measure results: course, sales, people, risks

Do
Promote & Market services
Deliver courses
SNR 18: Governance

- Fit & Proper Person
- VET Quality Framework
- Decision making
SNR 25: Transition

Teachout

Transition plans

Resources & marketing

Strategies
GET SMART WITH GREAT STAFF

Part 1 – March 12, 12.30pm

Attract and recruit the staff you need
GET SMART WITH GREAT STAFF
WEBINAR SERIES

1. Mar 12: Attract & recruit the staff you need
2. Mar 26: Develop great staff through coaching
3. Apr 9: Retain & develop staff through planning & appraisal
4. Apr 30: Build the right team to hit your business goals
5. May 14: Turn poor performance into good & what to do if you can’t

Don’t forget to check out and grab some of our products

- Get Smart & Get Compliant section
- RTO Policy and Procedures Manual
- Individual Policy Packs
- Continuous Improvement Scheduling documents
- Staff Guides
- Plus lots more.....

We also have a range of services

• A range of Audit Services
  – Margherita ($396)
  – Ham & Pineapple ($660)
  – Supreme ($2112)
  – Super Supreme ($3168)

Contact us info@thelearningcommunity.com.au