

# 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.

## Section 2: Standards for NVR Registered Training Organisations 2011: 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 4: Financial Viability Risk Assessment Requirements

A component of the VET Quality Framework is the [Financial Viability Risk Assessment Requirements](#).

The [Financial Viability Risk Assessment Requirements](#) aim to ensure that an applicant or RTO has the necessary financial resources to operate as an ongoing concern and deliver quality training and/or assessment services throughout the registration period.

The new Financial Viability Risk Assessment Requirements provide clearer guidance to relevant applicants and RTOs on the common indicators for financial risk assessment, and on the information that may be included in assessment of financial viability.

The [Financial Viability Risk Assessment Requirements are now a legislative instrument](#) made by the Chief Commissioner, ASQA, under subsection 158(1) of the [National Vocational Education and Training Regulator Act 2011](#).

**Intent:** The National VET Regulator requires a NVR registered training organisation to demonstrate its financial viability at any point in time, upon request. The assessment of an organisation's financial viability risk is directed at evaluating the likelihood of its business continuity, and its capacity to achieve quality outcomes. In particular, the assessment informs a judgement about whether the organisation has the financial resources necessary to:

- (a) acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration
- (b) employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments
- (c) provide appropriate levels of student services to students
- (d) remain in business to ensure that each student can achieve completion
- (e) meet the above requirements, even in an unsure environment

**FVRAR 7 Obligation to submit to assessment at any time**

- 1) An NVR registered training organisation must submit to an assessment of financial viability risk by a qualified independent financial auditor nominated by the NVR at other times during the registration period as determined by the NVR in accordance with the NVR Risk Assessment Framework
- 2) The obligation to submit to the assessment referred to in (1) also applies to parent organisations, affiliated companies or organisations that have a vested interest in the organisation.

**Possible questions to consider**

- Does the organisation have a register of assets and physical resources which could be provided on request?
- Does the organisation maintain up-to-date and accurate staff records in order to demonstrate the ability to cover the scheduled courses and student enrolments while still maintaining ongoing services to clients?
- Is the organisation able to show it has sufficient funds and current, detailed financial records to demonstrate business continuity?
- Is that organisation able to provide the above information (along with other compliance information) to an independent financial auditor if required by the NVR?
- Is that organisation able to access and submit the required information for parent organisations, affiliated companies or other organisations that also have a vested interest in the organisation?

**Description of evidence sighted**

Provide a brief statement about the organisation's compliance with FVRAR 7, 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.

**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 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.

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.

**Possible questions to consider**

- Is the software that you use to manage student records able to supply AVETMISS compliant information?
- Can data be directly uploaded to the NVR as required with the AVETMISS compliant data?
- What processes are in place to ensure the data is backed up, maintained and kept secure?
- Is there a designated position required to provide AVETMISS compliant data to the NVR? Is this detailed in a duty statement?

**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.

**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