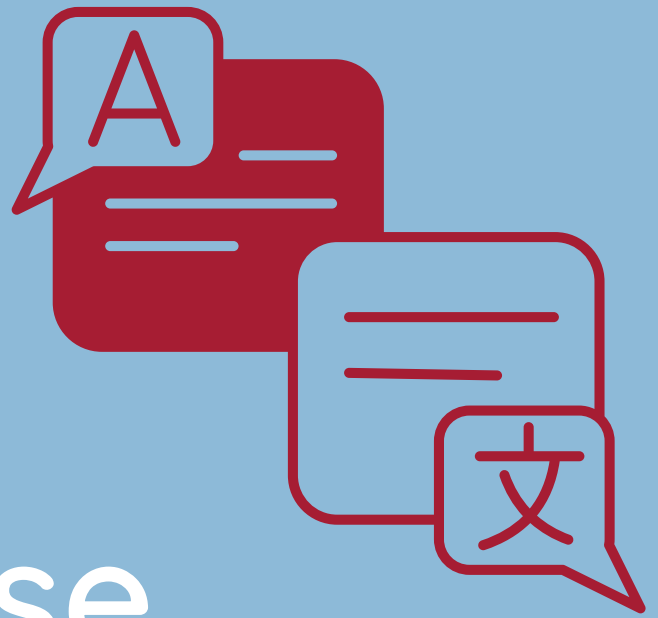


Speaking ASQAneese

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Webinar Companion

Part 2

This companion provides a summary of the key areas you need to consider against each question to help you prepare for your audit, and address the questions in the moment.

Together with the webinar, it will help you be well prepared and ready for your ASQA audit.

Question 1

Can you talk me through your arrangements to apply continuous improvement to your training and assessment?

- Continuous improvement is core to the operation of an RTO.
- It is essential to monitor the effectiveness of continuous improvement in relation to training and assessment using feedback from both students and trainers.
- Quality control and assessments should be submitted to the office for centralisation and checked before being entered into the register.
- The continuous improvement register should be reviewed by management (including CEO) to take action as appropriate.

Notes

Question 2

How do you provide evidence of self-improvement?

- A spreadsheet is a useful tool in keeping a continuous improvement register.
- Listing your different areas for improvement in a source column makes them easy to identify, eg. complaints, industry engagement, assessment validation.
- Keeping your continuous improvement register up to date is essential.
- Providing four or five good examples to your auditor is a good way to start proving your compliance. This needs to include documented before and after evidence of the outcome.

Notes

Question 3

How have you embedded self-assurance practices and continuous improvement into your operation?

- You are your own regulator. You must self-regulate so that if you are examined, no fault will be found.
- Key elements:
 1. A strong management arrangement having minuted, regular meetings with a standing agenda.
 2. Policies and procedures to define your operation.
 3. Quality reviews and controls.
- The regulator expects you to know which of your practices are working and which are not.

Notes

Question 4

Can you talk me through the systems that you have in place to ensure the provider's objectives and risk management strategies align with the standards for the RTO?

- Use risk management within your operation to make decisions about service delivery, in order to make sure your business remains profitable.
- Risk management is not just injury or hazards.
- There are always tensions between providing quality service and profitability.
- There are business and compliance risks around resourcing of materials, time, loss of reputation, and poor quality delivery.

Notes

Question 5

Can you tell me about the process that you use to internally report any identified noncompliance? And how does your executive management engage in the resolution process?

- Admin are generally the first point of contact for quality control, and should send errors back to trainers for immediate rectification.
- Admin can then log errors in the quality control register, which is then used to pull reports and statistics to identify trends in management meetings.
- It is critical that the CEO is actively involved in the meeting process as they are ultimately responsible and need to have an overarching view in order to manage and delegate well.

Notes

Question 6

How do you identify and act upon corrective actions to prevent the recurrence of the complain or appeal?

- Complaint resolution is different to continuous improvement.
- Identify corrective actions and complaints, and use them as opportunities for improvement in order to prevent them reoccurring.
- Conduct a root cause analysis of why the issue happened; use a systematic review to identify the cause to ensure it doesn't happen again, and record it in your register.

Notes

Question 7

What controls do you have in place to verify the compliance of marketing materials before these are relied on?

- There are serious offences in the Act regarding marketing products ethically and accurately.
- A checklist is a simple way to ensure marketing information is accurate and up to date.
- Your practice should follow your strategies - ensure that you have a check for the review process by management before marketing is released.
- You should conduct an annual or bi-annual review on these documents.

Notes
