

2018 RTO INTERNAL REVIEW TOOL

OVERVIEW OF TEST ACTIONS

This document provides an overview of the range of test actions that are included in the 2018 RTO Internal Review Tool (the tool). It is not a substitute for completing the tool.

The test actions will be customised based on the training initiatives chosen by the RTO at the beginning of the tool. If the RTO has delivered training initiatives in 2018, the test action activities will require you to review student files and your RTO systems and processes. If the RTO has not delivered any training initiatives, the test action activities will require you to review your RTO systems and processes.

The check box against each test action in the tool must be ticked when each activity has been completed and the requested documentation attached.

Where the test action requires the RTO to review a minimum number of student files, the sample must be at least this size. If the total number of student enrolments for the calendar year is less than the minimum number, all student files must be reviewed. The students selected in your sample must have participated in training and completed a number of units of competency during 2018. You will be required to review the same sample of student files and units of competency in a number of test actions throughout the tool.

For further information refer to the [RTO Internal Review Tool Guidelines](#).

REQUIRED ATTACHMENTS

As part of the 2018 RTO Internal Review Tool, you may be required to attach evidence of the following:

1. Copies of written agreements in place for subcontracting arrangements
2. Student file evidence of training plan provision
3. Student file evidence of participation in training
4. Student file assessment records
5. Example of summary assessment record
6. Student file contact records
7. Student record of results from the student management system

Note: The maximum combined size limit for all attachments is 15 MB. There is also a limit to the number of attachments that can be uploaded to the tool.

Where a test action requires you to upload multiple documents, particularly for a sample of student files, it is recommended that these documents are combined into one file for each student. It is also recommended that documentation is uploaded as a .pdf rather than an image file.

If the size limit is met, you will need to ensure at least one attachment is uploaded for each applicable test action and any additional documentation is submitted by email to skills@act.gov.au. The subject line of the email must identify that the evidence relates to the RTO Internal Review submission and the evidence attachments must identify the section of the tool it is for.

ACT Funding Agreement

2018 RTO Internal Review Tool

Clause 4. (1) (2) (4) (7) (8) (9) (11) Obligations

The RTO must:

- remain registered as an RTO for the term of the ACTFA
- not breach any of the conditions that attach to its registration as an RTO
- notify the Territory if a VET funding arrangement in another Australian jurisdiction has been terminated or suspended
- not engage, employ contract or otherwise deal with any person or entity that, within the last seven (7) years had:
 - its agreement with the Territory or any other State/Territory Training Authority terminated or suspended prior to the expiration date for a breach of the agreement; or
 - had conditions imposed on its registration or RTO operations in any State or Territory which affected its ability to provide the Training Services; or
 - was responsible via their acts or omissions, for such conditions being imposed on another person or entity.
- not engage in any conduct constituting fraud, dishonesty, recklessness, wanton disregard or gross negligence
- make all reasonable efforts to work and communicate effectively with and maintain the confidence of the Territory and all stakeholders affected by the ACTFA
- maintain financial viability.

1. Has your RTO met the minimum obligations above during 2018? *

Yes No

2. Has the RTO been issued with any non-compliance or equivalent notices relating to its registration since 1 January 2018? *

Yes No

3. Has the RTO had a VET funding arrangement in another jurisdiction suspended or terminated since 1 January 2018? *

Yes No

Clause 6. Subcontracting and other third party arrangements

- The Recipient may subcontract training services to another RTO that holds an ACT Funding Agreement
- Before subcontracting training to an RTO that does not hold an ACTFA and/or an entity that is not an RTO, the RTO must obtain written consent from the Directorate
- Subcontracting arrangement/s must meet the requirements of Clause 6.3

For information to assist in determining whether any arrangement requires approval from the Directorate refer to <https://www.cmtedd.act.gov.au/enterprise-canberra2/skillscanberra/act-quality-framework/act-funding-agreement>.

4. Does the RTO utilise subcontracting or other third party arrangements, including brokers or agents, for any of its activities in relation to promotion, enrolment or delivery of training services in the ACT? *

Yes No



Clause 13. Insurance

The Recipient must ensure it has all the insurance cover necessary to carry out its business and provide the training services including, insurance for workers compensation, public liability, professional liability and professional indemnity. The insurance policies must include:

- public liability insurance of not less than \$20 million per event for the term of this ACTFA; and
- professional indemnity insurance of not less than \$2 million in respect of each claim and in the annual aggregate.

5. Does the RTO have insurance cover necessary to carry out its business and provide Training Services, including: *

a) insurance for workers compensation and professional liability *

Yes No

b) public liability insurance of not less than \$20 million per event *

Yes No

c) professional indemnity insurance of not less than \$2 million in respect of each claim and in the annual aggregate *

Yes No

Student eligibility

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the 'Findings and actions required' below.

- Review the RTO's documented process for assessing student eligibility for each training initiative. *

Does the process ensure:

- a) student eligibility is assessed against the specific eligibility criteria for each training initiative? *

Yes No

- b) evidence to support the assessment of eligibility is collected prior to finalisation of enrolment? *

Yes No

- c) evidence of student eligibility is retained on the student file? *

Yes No

Training plan

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the Findings and Actions required below.

- Review the RTOs process for completing and maintaining an ACT compliant training plan. *

Does the current process ensure the training plan is:

- a) Completed within eight weeks of the Notification of Business (NOB) date or creation of the Skilled Capital student record? *

Yes No

- b) Consistent with the qualification or competencies to be attained? *

Yes No

- c) Consistent with the proposed delivery and assessment strategies? *

Yes No

- d) Customised to meet the needs of the student and where applicable, the employer? *

Yes No

OR

- Review a sample of student files (select a minimum of 3 students per training initiative delivered by the RTO). *

The students selected in your sample must have participated in training and completed a number of units of competency during 2018. You will be required to review the same sample of student files and units of competency in a number of test actions throughout the remainder of the Tool.

For each sample, attach evidence that a fully executed copy of the training plan had been provided to the student and where applicable, the employer within 14 days of its completion. *

Attach files

Training delivery and participation

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the Findings and Actions required below.

- Review the RTOs process for issuing training material to students. *

How does the RTO ensure training material is provided to students within the required timeframe and evidence of its provision is retained? *

OR

- Review the same sample of student files used in the previous test action (minimum 3 per each training initiative delivered by the RTO). *

For each sample, attach acceptable evidence of participation to verify the unit start date for two completed units of competency. *

Assessment

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the Findings and Actions required below.

Review the RTOs process for retaining evidence of completed assessment items for each student for each unit of competency or cluster of units. *

Does the current process meet the requirement of ACT Standard 1.3.3? *

Yes No

Attach an example of a summary assessment record used by the RTO to show student progress against each unit of competency selected for a qualification. *

Attach files

OR

Has the RTO undertaken any assessment of competence for ACT students in 2018? *

Yes No

Review the same sample of student files and units used in the previous test action (minimum 3 per each training initiative delivered by the RTO). *

For each sample, attach a signed and dated summary assessment record for two completed units of competency. *

Attach files

Has the RTO undertaken any assessment of competence for ACT students in 2018? *

Yes No

Review the RTOs process for retaining evidence of completed assessment items for each student for each unit of competency or cluster of units. *

Does the current process meet the requirement of ACT Standard 1.3.3? *

Yes No

Attach an example of a summary assessment record used by the RTO to show student progress against each unit of competency selected for a qualification. *

Attach files

Support and monitoring

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the Findings and Actions required below.

- Review the RTOs process for monitoring student progress. *

Describe how the RTO:

- a) monitors student progress to ensure skills and knowledge outcomes are being achieved *

- b) ensures issues likely to reduce a successful outcome are reported to the Directorate *

OR

- Review the same sample of student files used in the previous test action (minimum 3 per each training initiative delivered by the RTO). *

For each sample, attach examples of contact records that show student progress had been regularly monitored over a 3 month period. *

Data reporting

2018 RTO Internal Review Tool

Test actions

Undertake the following test action and tick when completed. Document your self-assessment result and complete the Findings and Actions required below.

- Review the RTOs process for recording data in its student management system and reporting training activity.

Describe how the RTO ensures its student management system contains full, correct and current information against mandatory AVETMISS fields. *

Describe the process used by the RTO to ensure quarterly AVETMISS reporting requirements are met within the required timeframe. *

OR

- Review the same sample of student files used in the previous test actions (minimum 3 per each training initiative delivered by the RTO). *

Has the RTO recorded data in the student management system for the completed units of competency that is accurate and consistent with the actual training delivery and assessment records, including the unit start dates, result dates and unit outcomes? *

- Yes
 No

For each sample, attach evidence from the student management system that shows the start date, result date and outcome recorded for the two completed units of competency. *

Attach files

Describe the process used by the RTO to ensure quarterly AVETMISS reporting requirements are met within the required timeframe. *