RTO INTERNAL REVIEW TOOL

SMARTFORM GUIDELINES

Skills Canberra

Chief Minister, Treasury and
Economic Development Directorate

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KEY DATES

All key dates relating to the RTO Internal Review Tool, including the submission deadline, are published on the Skills Canberra website.

INTRODUCTION TO THE RTO INTERNAL REVIEW TOOL

The RTO Internal Review Tool (the tool) is an online SmartForm provided by Skills Canberra to enable approved Training Providers to self-assess and evaluate ongoing compliance against a selection of clauses from the Training Initiative Funding Agreement (Agreement), the ACT Standards for Delivery of Subsidised Training (ACT Standards) and the requirements in each of the ACT funded training initiatives, as documented in the ACT Standards Compliance Guides.

The SmartForm establishes a consistent format to:

> present the results of the internal review

> identify the evidence a Training Provider has to demonstrate compliance

> identify possible areas of non-compliance or improvement opportunities

The online SmartForm can be accessed on the Skills Canberra website.

IMPORTANT POINTS – MUST BE READ PRIOR TO COMMENCING

> The tool only requires compliance information relevant to the Training Provider to be completed, based on the training initiatives delivered since 1 October 2019. The relevant sections of the tool and test actions will be customised based on the option/s chosen by the Training Provider at the beginning of the tool.

> If the Training Provider has not delivered any training initiatives since 1 October 2019, select the 'neither' option in the 'training initiatives delivered' section on the 'RTO Details' page of the tool. You will only be required to complete the Agreement and ACT Standards sections, including the test actions. However, you will also be asked to provide a reason why you have not delivered government subsidised training.

> Each page can be accessed by using the navigation menu along the top of the tool. You can review and progress through each section of the tool without having completed each page in full.

> The tool must be saved before exiting, otherwise your information will be lost.

> The form contains a save and return function. A form reference code is generated and will be required to return to the saved version. The reference code will be emailed to the address entered into the tool and can also be sent to any other designated email address. Note: saved forms will expire after 6 months of no activity.

> Information can be copied and pasted from your own source documents into the tool.

> Where a test action requires documentary evidence, multiple documents may be attached.

> All questions and actions (including the requirement to select evidence sources) are compulsory and must be completed. These are identified by a red asterisk*. You will be notified if there are any incomplete sections once you attempt to submit the tool.

> Where a Training Provider has not made a reasonable effort to complete all sections of the tool it will be considered that the Training Provider has not met its obligations and will result in an Event of Default notice being issued.

ADVICE FOR COMPLETING THE TOOL

> Be objective in reviewing the Training Provider's operations.

> Plan and outline realistic actions to address identified areas of non-compliance, insufficient evidence or opportunities for improvement.

> Ensure answers requiring a documented response reflect the Training Provider's current practices and/or processes.

> Ensure answers provide sufficient detail to accurately describe current practices.

> There are no word limits applied to the response fields, however as a general rule it should be as concise as possible. A recommended response length, depending on the complexity of the information, is 2-3 paragraphs.

OVERVIEW OF THE TOOL

Training Initiative Funding Agreement page

This page contains a selection of questions from specific clauses in the Agreement.

Where the question indicates that a 'no' response requires the Training Provider to record the self-assessment result as non-compliant, the result field must be non-compliant.

ACT Standards and ACT Standards Compliance Guide pages

These pages contain the ACT Standards clauses and training initiative requirements. Each page will require the Training Provider to identify the evidence it has to demonstrate compliance. In addition, some pages contain test actions that must be completed.

Evidence sources

Tick the evidence you have available from each list. This information may be requested during any further audit activity undertaken by the Directorate so it is important that you only select the evidence you have at the time you are completing the tool.

Test actions

The tool contains a range of test actions focusing on specific elements of the ACT Standards and ACT Standards Compliance Guides. The check box against each test action must be ticked when each activity has been completed and the requested documentation attached (where applicable). Note: a test action is not required for all sections of the tool.

The test action activities include a review of systems and processes and/or student files. Where the test action requires the Training Provider 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 time period is less than the minimum number, all student files must be reviewed, and an explanation included in the 'Findings and Actions Required' field.

The students selected in your sample must have enrolled in an ACT funded training initiative after 1 October 2019.

Where the Training Provider has not delivered any ACT funded training or has students that have not completed any units of competency, the test action activity will require you to review the Training Provider's systems and processes.

Attachments

A number of test actions require documentation to be uploaded as an attachment.

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. If the file limit is reached, any excess documents will fail to be uploaded and the 'Attach files' option will become unavailable.

Where a test action requires multiple documents to be uploaded 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 test action. Additional documentation is to be emailed 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.

Self-assessment result

The self-assessment result field on each of the ACT Standards sections is used to record the Training Provider's self-determination of compliance or non-compliance.

For the self-assessment result to be recorded as compliant, sufficient evidence sources to address the ACT Standard and training initiative requirements must be selected, and the test action response (where applicable) must be addressed in full. The result entered will automatically filter through to the Summary of Results section on the Submission page.

Findings and actions required

The Findings and Actions Required field is used to record the RTO's self-assessment findings and any actions identified from the evidence you have selected and the completed test actions (where applicable). This is a mandatory field and must be completed.

Record findings

Record the compliance findings by describing how you determined the self-assessment result.

Record action/s

Where the self-assessment result is non-compliant or any opportunities for improvement have been identified, record the action that will be undertaken by the Training Provider. Where the findings are identified as compliant, write "No Action Required".

SUBMITTING THE TOOL

Before submitting, please read each of the statements in the Declaration. You must indicate your agreement with each statement by ticking the box next to it. The Chief Executive Officer (CEO) name entered in the tool must match the CEO name identified on the national register, www.training.gov.au.

Please ensure that all mandatory fields have been completed prior to submitting the form.

On successful submission of the tool, you will receive confirmation that your submission has been received, including your form reference code.

A copy of your submission will also be emailed to the email address that was entered in the RTO details section of the tool. You will also be offered the option of either downloading a .pdf copy of the completed tool or sending a .pdf copy to another email address. The .pdf does not contain the attachments you have submitted with the tool.

HOW THE INFORMATION IN THE TOOL WILL BE USED

The annual RTO Internal Review assists the Directorate to monitor Training Provider performance and compliance with the Agreement. Information from each Training Provider's submission may be used by the Directorate to:

> review performance against the requirements of the Agreement
> understand continuous improvement efforts and objectives
> provide insight into the Training Provider's business operations and activities
> inform:
  - quality assurance and compliance activities
  - the Training Provider's risk profile
  - decision making where a complaint is received regarding a Training Provider
  - decisions relating to ACT funded training initiatives
  - decisions relating to the next Agreement.

MAINTAINING COMPLIANCE

If, during the course of completing the RTO Internal Review Tool, the Training Provider identifies any non-compliance/s, the actions taken to address each non-compliance and supporting evidence must also be kept on file and maintained by the Training Provider.

The Directorate may request this evidence and/or review these records at any time.

FURTHER INFORMATION

For further information or help with completing the RTO Internal Review Tool, email skills@act.gov.au or call (02) 6205 8555.

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