

RTO 1.03.840 SELF ASSESSMENT

This policy is applicable to: All IRT Academy employees and Third Parties acting on behalf of IRT Academy.

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DOCUMENT CONTROL

Policy Number: 1.03.840	Policy Owner: General Manager IRT Academy	Version: 3.0
Contact position: General Manager IRT Academy	Approved for circulation: Group Leadership Team	TRIM classification reference: EDOC2015/02267
Date approved: February 2015	Review due to: Legislative Change	Next review due: February 2018
Procedure Manual reference: Self Assessment	Compliance/Accreditation/ Standards reference: Standards for RTOs 2015 Standards 1-8	

REVISION RECORD

Date	Version	Revision description
Oct 12	1.0	IRT Academy major review of all policies and procedures against Standards for NVR Registered Training Organisations 2011 - Essential Standards for Continuing Registration.
Dec 14	2.0	Previous Policy to be superseded.
	2.1	Minor change to delegate Self Assessment finding review to IRT Academy General Manager.
Jun 13	2.2	Removed descriptive (non-value) content, updated CEO to CFO, updated CEO to GM for reporting, changed name for Self Assessment Tool to NVR Self Assessment.
Jun 14	2.3	Deleted reference to Auditor selection criteria as too prescriptive to meet business requirements. Updated list of associated documents.
Jan 15	3.0	Updated to align to Standards for RTOs 2015. Changed name to Self Assessment in line with new standards terminology.

1. TITLE

RTO 1.03.840 Self Assessment

2. POLICY STATEMENT

Self Assessment is the planned, systematic and documented process used by IRT Academy to assess our compliance with the Standards for RTOs 2015. IRT Academy will establish an internal function that complements the external audit process undertaken by the regulator to ensure compliance with laws and regulations that impact upon the organisation.

3. PURPOSE

To meet the requirements of:

- National Vocational Education and Training Regulator Act 2011; and
- Standards for Registered Training Organisations 2015.

4. SCOPE

The scope of this policy covers all IRT Academy students, employees and/or third parties acting on behalf of IRT Academy

5. OBJECTIVE

To ensure that IRT Academy maintains a high standard of compliance with its own policies, procedures, regulatory and legislative requirements.

6. POLICY DETAILS

6.1 Scope of Self Assessment

The scope of Self Assessment is the Standards for Registered Training Organisations 2015.

6.2 Self Assessment frequency

Self Assessments conducted by IRT Academy staff are to be undertaken not less than every 12 months.

Self Assessments conducted by an externally contracted auditor are to be undertaken not less than every 24 months.

Assessors appointed internally are to be selected at the discretion of the General Manager. These staff members should have appropriate skills and knowledge to adequately interpret evidence against the scope of the audit.

6.3 Planning

Self Assessment planning should be risk based and aligned to the organisations Standards for RTOs 2015. The risk based methodology will inform the focus or the scope of the assessment. In addition, Self Assessment planning will take into consideration the results of previous assessments both internal and external.

6.4 Notification

Once planning has concluded, the Assessor is to issue notification to key stakeholders no less than 14 days prior to the assessment. Stakeholders will include any member of the organisation who holds responsibility for particular business processes such as training and assessment, student services, RTO administration and RTO management. Notification is to include:

- The scope of the assessment;
- Timings and the schedule for assessment activities;
- Specific evidence to be submitted for desk-top assessment and the date and time for submission; and
- Specific evidence to be available during site assessment.

7. ROLES AND RESPONSIBILITIES

All employees are required to comply with this Policy. There are no specific roles or responsibilities other than those outlined in the table below.

Specific roles and responsibilities of employees and management are outlined in Section 6 of this policy.

Specific roles and responsibilities of areas/departments/functions are outlined in the table below.

Role	Responsibility
Policy Owner - General Manager IRT Academy	Ensuring the currency and appropriateness of the policy to meet regulatory and legislative requirements.
Policy Implementation - Operations Coordinator	Implement/coordinate self assessment schedule and procedure.
Policy Subject Matter Expert - IRT Risk Manager	Provide expert advice from a risk and governance perspective.

8. EDUCATION AND STAFF DEVELOPMENT

This is a Standard Policy.

Education and Staff development relevant to this policy will occur via:

- Via IRT Academy On-Boarding procedure
- Via IRT Academy quarterly meetings
- This is a standard policy - specific education is not required, employees are expected to be familiar with this policy.

9. MONITORING, EVALUATION AND REVIEW

Feedback regarding this policy can be referred to:

- Operations Coordinator
- General Manager
- IRT Risk Manager

The policy will be reviewed every 3 years by the General Manager IRT Academy. Triggers for review outside of the usual cycle include:

- Changes to the business activity relating to this policy
- New business activities impacting on this policy
- Changes to internal controls relating to this policy
- Changes to legislative and/or regulatory requirements

10. DEFINITIONS AND ABBREVIATIONS

Term	Meaning
RTO	Registered Training Organisation

11. ASSOCIATED PROCEDURES AND FORMS

Name and number of document
<ul style="list-style-type: none"> Continuous Improvement Register
<ul style="list-style-type: none"> Self Assessment Tool
<ul style="list-style-type: none"> IRT Academy Self Assessment Notification
<ul style="list-style-type: none"> IRT Academy Self Assessment Schedule
<ul style="list-style-type: none"> IRT Academy Procedure Manual
<ul style="list-style-type: none"> Report Self Assessment

12. REFERENCES - COMPLIANCE AND BEST PRACTICE

Legislative references
National Vocational Education and Training Regulator Act 2011
Best Practice Standards
Standards for RTOs 2015
Standards 1-8 A

Compliance Plan reference: Not applicable.

13. LINKS TO OTHER POLICIES

1.03.810 Continuous Improvement
