



YOUR WEBINAR WILL BEGIN SHORTLY

Audio test may occur during this period



RAISE YOUR VIRTUAL HAND IF YOU CAN HEAR ME

(audio test)





**YOUR WEBINAR WILL
BEGIN SHORTLY**





ACKNOWLEDGMENT OF COUNTRY

RTO Vital Signs: The 10 Compliance Indicators Every Provider Should Monitor.

Building a compliance operating system
for self-assurance

PRESENTED BY

Jen Webb
Compliance Partner
RTO Assure

John Liddicoat
Founder
Octossure



Some visuals in this presentation have been
AI-generated and are used for illustrative
purposes.



Today's session

From compliance to confidence — building a system for performance awareness, risk management and continuous improvement.

1

Understanding Self-Assurance

- What self-assurance means under the revised Standards.
- Why it requires a systematic approach, not simply an audit or compliance checklist.
- The benefits of complete performance awareness.

2

Building the Compliance System

- What an RTO needs to know, control and monitor.
- From the Standards and obligations through to responsibilities, evidence, assurance and governance.
- How the elements work together as a system.

3

Turning Compliance Information into Intelligence

- The 10 compliance indicators that reveal what's really happening.
- How to identify gaps, emerging risks and recurring issues.
- How to understand whether improvement is actually working.

4

Using Intelligence to Govern and Improve

- How to turn compliance intelligence into trends, early warnings and meaningful management and governance reporting.
- How to act before issues become findings.
- Keeping the focus on learner outcomes and industry benefit.

THE NET GAIN

Complete
performance awareness

Eliminates risk

Better decisions

Improved learner
outcomes and industry benefit



1

UNDERSTANDING SELF-ASSURANCE

The big questions

that ALL RTOs must be able to answer

1

Do you know if your RTO is meeting the Standards today?

- If yes, can you prove it?
- If no, can you point to the gaps and show how changes are addressing them?

2

Do you have a system in place to continuously monitor and improve your performance?

- Do you use lead or lag indicators?
- Are the changes you make effective and sustained?
- Do you close the loop?

3

Do you understand your compliance performance?

- What are your key compliance indicators?
- Are they frequent, sequential and measurable?
- Is performance improving over time?

Self-assurance is a management system



KEY MESSAGE

Self-assurance isn't a document. It is a management system.

A self-assurance management system

What does the system need to know?

An RTO needs to understand five things:

1	2	3	4	5
Requirements	Controls	Evidence	Performance	Improvement
What must we do?	How do we ensure it happens?	How do we demonstrate it?	How do we know it is working?	What do we do when it isn't?

KEY MESSAGE

Compliance information shouldn't be collected because "the auditor might want it".

It should be collected because the RTO needs it to manage itself.

Start with the **REQUIREMENTS**, the Standards

You can't manage what you haven't properly defined.

Create a compliance baseline. For each key requirement, we need to understand and define:



KEY MESSAGE

This is the centre of a Compliance Framework or management system.

It creates a clear, structured view of what is required, how it is controlled, how it is monitored and how gaps are addressed.

THE 2025 STANDARDS

The 2025 Standards comprise the Outcome Standards, Compliance Requirements and Credential Policy, so the RTO's compliance architecture needs to account for the applicable requirements across those instruments.

The policy problem

Having a policy isn't the same as having a control.



The gaps we're looking for

- 1 Requirement with no policy/control**
A requirement has not been addressed in a policy or control.
- 2 Policy with no operational process**
A policy exists but there is no operational procedure.
- 3 Process with no evidence**
A procedure exists but there is no evidence it is being followed.
- 4 Evidence with no monitoring**
Evidence exists but there is no monitoring activity.
- 5 Monitoring with no action**
Issues are identified but there is no action taken.
- 6 Action with no effectiveness review**
Action is taken but there is no evidence of effectiveness or sustained improvement.



2

**BUILDING THE
COMPLIANCE SYSTEM**

Organisational responsibility and accountability

HORIZONTAL RESPONSIBILITY

Every function and every role has a responsibility for compliance.

VERTICAL ACCOUNTABILITY

Clear accountability flows from operational roles through executive leadership to governance.

KEY MESSAGE

Compliance is not one person's job.

It is an organisational responsibility with clear accountability.

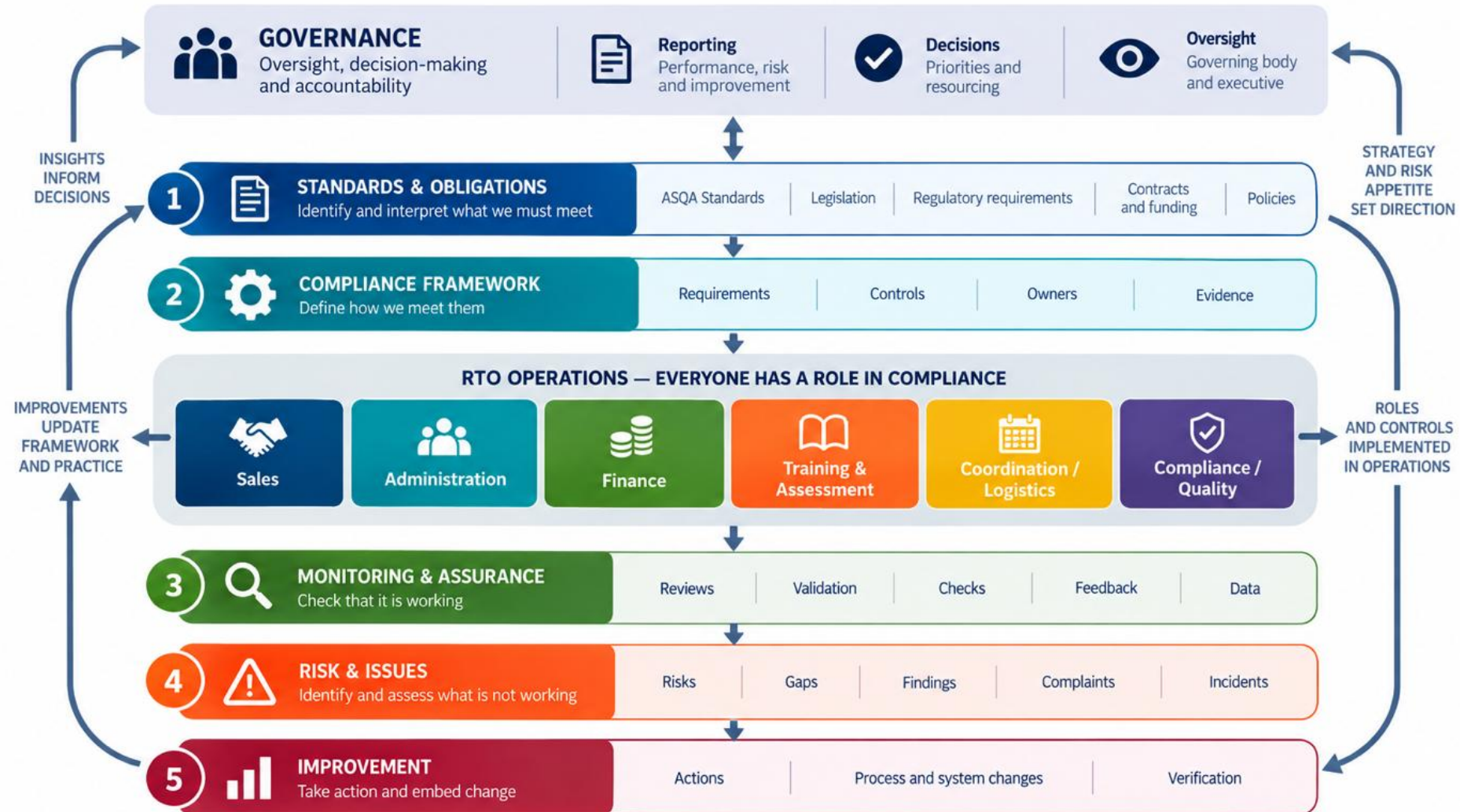
HORIZONTAL RESPONSIBILITY. VERTICAL ACCOUNTABILITY.

Compliance is everyone's business — with clear accountability at every level.



The Compliance Operating System

From requirements to better decisions — a continuous cycle for self-assurance.





3

**TURNING COMPLIANCE
INFORMATION INTO INTELLIGENCE**

The Data Trap

Capture everything you need. Monitor what matters.

An RTO can legitimately hold a very large body of compliance information. Much of it doesn't need to become a management indicator. There are really two different things happening.



COMPLIANCE INFORMATION

What must be **true, current and available**?

-  Policies and procedures
-  Trainer credentials
-  Contracts
-  Student records
-  Validation records
-  Scope information
-  Registers
-  Evidence of activities
-  Approvals and authorisations

This information may sit quietly in the system until it is needed.



COMPLIANCE MONITORING

What do we need to **know about performance**?

-  Indicators
-  Trends
-  Exceptions
-  Risk movement
-  Performance
-  Outcomes
-  Improvement effectiveness



Monitoring converts information into management intelligence.

The objective isn't more data. It's better information for better decisions.

What makes a good compliance indicator?

Not all measures are indicators.

A useful compliance indicator should tell us something **important about performance** — consistently enough to identify change, risk or improvement.

A GOOD INDICATOR IS:



1. RELEVANT

Linked to a requirement, control, risk or outcome.



2. MEASURABLE

Can be defined and measured consistently.



3. REPEATABLE

Can be captured regularly so we can see movement over time.



4. TIMELY

Provides information when management can still do something about it.



5. CREDIBLE

Based on reliable, objective and appropriately sourced information.



6. ACTIONABLE

A change in the indicator should prompt a question, decision or action.



THE TEST

If an indicator changes, would we know what it means — and would we do something about it?



FREQUENCY MATTERS

An indicator measured once a year may tell us what happened. An indicator measured **regularly and consistently** can tell us what is happening — and whether it is changing.

FROM DATA TO DECISIONS



COMPLIANCE INFORMATION

What must be true, current and available?



INDICATORS

What do we need to know about performance?



INTELLIGENCE

What is changing, why does it matter, and what should we do?

From indicators to intelligence

Indicators are the building blocks. The intelligence cycle turns them into action.



KEY MESSAGE

Monitoring is not the end point — it's the start of a smarter cycle.

The compliance intelligence cycle turns indicators into insight, decisions and better outcomes.

THE 10 COMPLIANCE INTELLIGENCE INDICATORS

A practical framework for a stronger, self-assuring RTO



01

COMPLIANCE COVERAGE

Do we know what
we need to comply with?



02

ASSURANCE ACTIVITY

Are we doing what
we said we would do?



03

COMPLIANCE DEBT

Where are we
falling behind?



04

ACTION CLOSURE

Are we fixing what
we identify?



05

RISK MOVEMENT

Which risks
are changing?



06

RECURRING ISSUES

Are our problems
coming back?



07

QUALITY & OUTCOME SIGNALS

What is happening
in the delivery
environment?



08

CAPABILITY & CAPACITY

Can we deliver what
we've promised?



09

CONTINUOUS IMPROVEMENT EFFECTIVENESS

Did our improvement
actually work?



10

COMPLIANCE ASSURANCE

How well do we know
what we think we know?

INDICATOR 1 OF 10

Compliance Coverage

Do we know what we need to comply with?

WHAT WE MEASURE

- 1 Applicable requirements identified
- 2 Requirements mapped
- 3 Policy/control mapped
- 4 Responsible owner assigned
- 5 Evidence identified
- 6 Monitoring mechanism established

THE QUESTION



**Where are our
compliance
blind spots?**

WHY IT MATTERS

This is the foundational indicator.

You cannot assure what you haven't identified.

Assurance Activity

Are we actually doing the assurance activities we planned?

EXAMPLES

 Validation	 Internal reviews
 Trainer reviews	 Student feedback
 Policy reviews	 Third-party reviews
 Spot checks	 Governance reviews

WHAT WE MEASURE

 Planned vs completed
 Completed on time vs completed late

THE QUESTION



**Are our controls
operating as
designed?**

WHY IT MATTERS

This is where the compliance calendar / assurance program comes in.

ASQA's Standard 4.4 guidance specifically gives this as an example of demonstrating systematic monitoring.

INDICATOR 3 OF 10

Compliance Debt

Where are we falling behind?

EXAMPLES



Overdue reviews



Expired evidence



Outstanding checks



Overdue validation



Overdue actions



Unresolved compliance activities

WHAT WE MEASURE



Number of overdue items



Trend over time (growing or reducing)

THE QUESTION



Where are we falling behind?

WHY IT MATTERS

Compliance debt

One overdue item isn't necessarily a crisis. A growing pattern of overdue obligations is information about the health of the compliance system.

INDICATOR 4 OF 10

Action Closure

Are we fixing what we identify?

WHAT WE TRACK

- 1 Actions opened
- 2 Actions closed
- 3 Closure rate
- 4 Overdue actions
- 5 Age of actions
- 6 Reopened actions

THE KEY QUESTION



**Are we resolving
issues or just
recording them?**

WHY IT MATTERS

Closing actions demonstrates that identified issues are being addressed and that our controls are working.

Risk Movement

Which risks are changing?

WHAT WE TRACK

-  New risks
-  Increasing risks
-  Decreasing risks
-  Distance from target risk assessment state
-  Uncontrolled risks
-  Overdue treatments
-  Ineffective controls

THE KEY QUESTION



**What is moving
in the wrong
direction?**

WHY IT MATTERS

It's not the total number of risks that matters, but which risks are increasing or decreasing, and whether our controls and treatments are effective.

Recurring Issues

Are our problems coming back?

WHAT WE TRACK



Repeat findings



Repeat validation issues



Reopened actions



Recurring complaints



Same root cause

THE KEY QUESTION



**Did we solve
the problem —
or solve the
paperwork?**

WHY IT MATTERS

Recurring issues indicate underlying problems that haven't been properly addressed and increase compliance and delivery risk.

Quality & Outcome Signals

What is happening in the actual delivery environment?

KEY INPUTS



Students

- Feedback
- Complaints
- Appeals
- Progression
- Completion



Staff

- Feedback
- Issues raised
- Capability concerns



Industry

- Employer feedback
- Industry engagement



Training & Assessment

- Validation
- Assessment issues

ASQA specifically identifies student, staff, industry, employer and other feedback/data as inputs into monitoring and continuous improvement under Standard 4.4.

THE KEY QUESTION



What are our stakeholders telling us about performance?

WHY IT MATTERS

Real feedback and outcome data shows whether training and assessment is effective and meeting student, industry and community needs.

Capability & Capacity

Can we actually deliver what we have promised?

WHAT WE MONITOR

- 1 Trainer capability
- 2 Credentials
- 3 Currency
- 4 Industry experience
- 5 Staffing
- 6 Resources
- 7 Facilities
- 8 Assessment capability
- 9 Operational capacity

THE KEY QUESTION



Do we have the capability and capacity to deliver our current scope effectively?

WHY IT MATTERS

This is broader — and more useful — than simply asking whether trainer files are compliant.

Continuous Improvement Effectiveness

An action isn't an improvement.



WHAT WE MEASURE

- Improvements implemented
- Improvements verified
- Repeat issues
- Outcomes achieved
- Actions reopened

THE KEY QUESTION



Did the intervention produce the intended result?

WHY IT MATTERS

ASQA specifically says RTOs should undertake post-implementation monitoring of practice changes as part of an ongoing cycle of monitoring and continuous improvement.

Compliance Assurance

Can we trust the assurance we are receiving?

WHAT WE MONITOR

1

Evidence integrity

Is evidence current, complete and traceable?

2

Monitoring integrity

Are indicators consistently defined and based on reliable data?

3

Assurance coverage

Are planned assurance activities actually being completed?

4

Verification

Are findings and actions checked and supported by more than one source where appropriate?

5

Consistency

Do different sources of information tell a consistent story?

ASSURANCE RELIABILITY LEVELS



Strong assurance

Information is reliable, complete and verified to support decision making.



Moderate assurance

Information is useful, but there are known gaps or limitations.



Weak assurance

Significant gaps, unreliable information or limited verification make the compliance position difficult to determine.

THE KEY QUESTION



“Can we trust the picture our assurance system is giving us?”



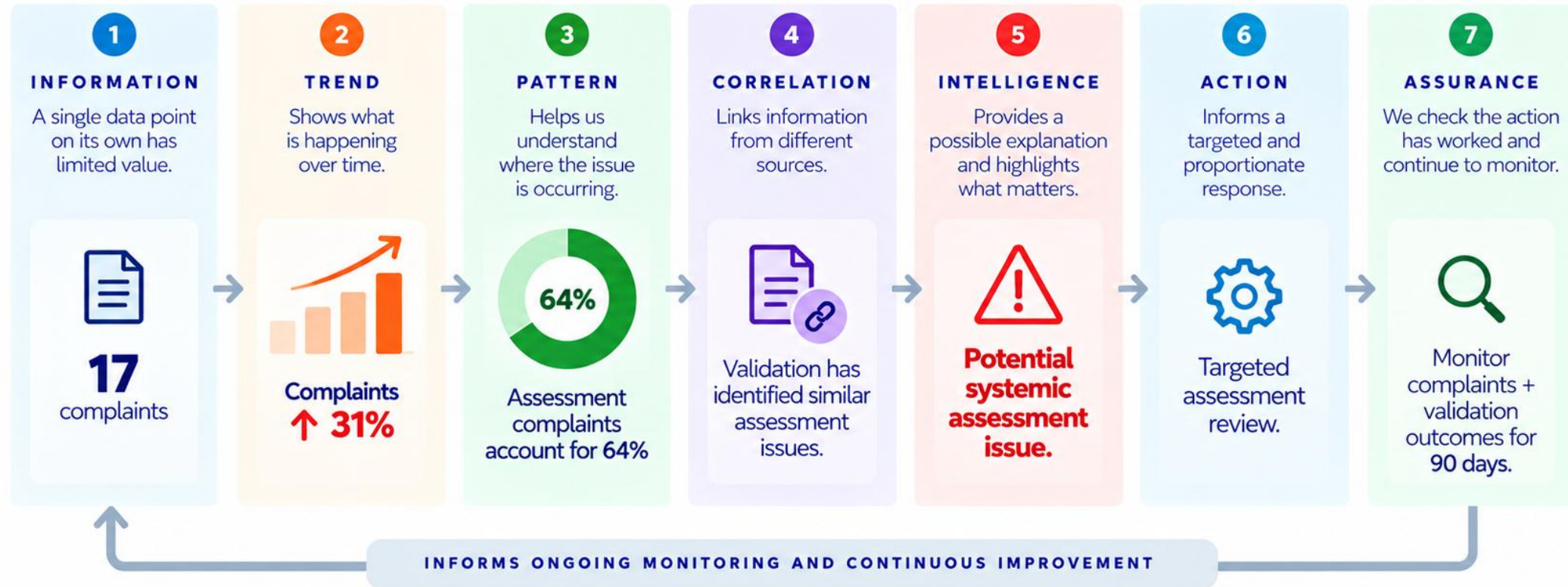
4

**USING INTELLIGENCE
TO GOVERN AND IMPROVE**

FROM DATA TO ACTION

A number isn't intelligence.

It's the story behind the number that drives better decisions.



THE BIG PICTURE

The Compliance Scorecard

10 indicators. A clear view of where to look.

#	INDICATOR	CURRENT	TREND	ATTENTION
1	Compliance coverage	94%	→	●
2	Assurance activity	87%	↓	●
3	Compliance debt	14	↑	●
4	Action closure	91%	→	●
5	Risk movement	3 increasing	↑	●
6	Recurring issues	4	↑	●
7	Quality signals	Stable	→	●
8	Capability / capacity	96%	↓	●
9	Continuous improvement effectiveness	78%	↑	●
10	Assurance confidence	Moderate	↓	●



**The scorecard
tells management
where to look.**

It doesn't replace
analysis.



NEXT STEP

Each indicator can be
drilled down to understand
the underlying information,
trends and contributing
factors.

LEADING VS LAGGING INDICATORS

Leading vs Lagging Indicators

Different signals. A clearer view. Earlier action.

LAGGING INDICATORS

Tell us what happened.

These are often the first signs of a problem, but they tell us after the fact.



Audit finding



Complaint



Non-compliance



Poor outcome

LEADING INDICATORS

Give us warning.

These help us identify emerging issues so we can take action before they become a finding.



Increasing compliance debt



Declining currency



Repeat issues



Increasing unresolved risks



Falling assurance activity



Emerging feedback themes



Good self-assurance doesn't wait for a finding to tell you what your own data already knows.

What does the Board / Governing Body actually need to know?

Give governance the insight they need to make informed decisions — not the compliance register.

1

Where are we?

Current position.



- Overall compliance status
- Key performance indicators
- Summary of strengths and gaps

2

What's changing?

Trends.



- Improvements and declines
- Emerging patterns in key indicators
- Changes in risk profile

3

What concerns us?

Emerging risks.



- Key risks and issues
- Early warning signals
- What could impact students, compliance or reputation

4

What are we doing?

Management response.



- Actions underway
- Responsibility and timeframes
- Resources and support
- How we are addressing the risks

5

Is it working?

Effectiveness.



- Evidence of impact
- Are risks reducing?
- Are issues being resolved?
- Are controls operating as intended?

6

What decision is required?

Governance action.



- Decisions or approvals needed
- Areas for further oversight
- Strategic implications
- What the Board needs to consider next



ASQA's governance guidance expects governing persons to **access the information necessary to make informed decisions**, using data and evidence including student data, feedback, complaints, appeals, industry/employer feedback and self-assurance outcomes.

FROM DATA TO DECISIONS

From Compliance Report to Governance Intelligence

The same information. A completely different conversation.

TRADITIONAL

A list of items.

Individual data points with no context.



14

Outstanding actions



23

Complaints



6

Validation findings



4

High risks



GOVERNANCE INTELLIGENCE

A clear and informed view.

Connected information, insight and recommended action.



Assessment-related issues are increasing across two qualifications and are appearing in complaints, validation and trainer observations.

Management has initiated a **targeted assessment review**.

Governance should note the **emerging risk** and receive an **effectiveness report in 90 days**.



INSIGHT

Connected data shows a developing pattern.



RESPONSE

Management has initiated a targeted assessment review.



GOVERNANCE ACTION

Note the emerging risk and receive an effectiveness report in 90 days.

Thank You

Questions | Discussion | Next Steps



www.octossure.com.au



www.rtoassure.com.au

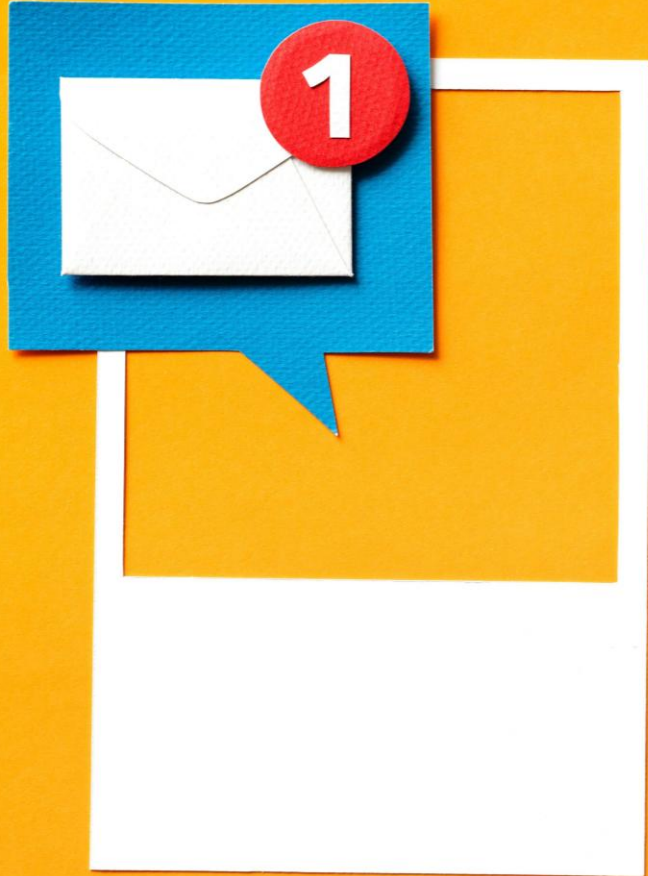


OCTOSSURE



The background of the image is a solid black field. It is densely populated with numerous question marks and exclamation marks. These symbols are rendered in a variety of colors, including shades of blue, green, yellow, and purple. The symbols have a hand-drawn, chalk-like texture, with some appearing slightly blurred or overlapping. They are scattered across the entire frame, creating a pattern that suggests a state of inquiry or confusion.

ANY QUESTIONS?



WHAT HAPPENS NOW?

WITHIN 48 HOURS, YOU WILL RECEIVE AN EMAIL INCLUDING:

- A Statement of Attendance
- A link to event feedback survey
- Access to the WMV recording of the webinar
- PDF copy of the PowerPoint
- PDF transcript of Chat Q&A
- Additional supporting resources

UPCOMING EVENTS



Backward Design in VET

Monday | 12 October 2026
11:00am - 12:30pm (AEST: QLD)



VET Workforce Week

Mon – Fri 30th November – 4th December 2026

THANK YOU FOR YOUR COMPANY

We really hope you enjoyed engaging with Jen Webb and John Liddicoat for your webinar today.

If you have any queries or feedback relating to today's topic, or any general questions regarding your role within the VET sector, do not hesitate to contact the team at Velg Training.

