



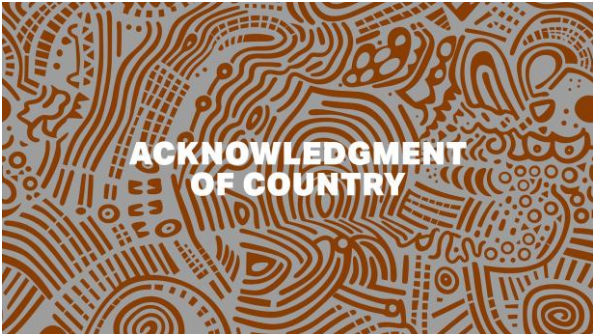
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RTO Vital Signs: The 10 Compliance Indicators Every Provider Should Monitor.

Building a compliance operating system
for self-assurance

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



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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, assistance 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

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UNDERSTANDING
SELF-ASSURANCE

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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?

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Self-assurance is a management system



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

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A self-assurance management system

What does the system need to know?

An RTO needs to understand five things:



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.

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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.

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The policy problem

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



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BUILDING THE COMPLIANCE SYSTEM

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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.

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**TURNING COMPLIANCE
INFORMATION INTO INTELLIGENCE**

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The Data Trap
Capture everything you need. Monitor what matters.

An RTD 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?

- Policy and procedures
- Trainer credentials
- Contracts
- Student records
- Validation records
- Simple information
- Regimens
- Evidence of activities
- Approvals and authorizations

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.

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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.



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From indicators to intelligence

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



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THE 10 COMPLIANCE INTELLIGENCE INDICATORS

A practical framework for a stronger, self-assuring RTO



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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.

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INDICATOR 2 OF 10

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.

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INDICATOR 3 OF 10

Compliance Debt

Where are we falling behind?

EXAMPLES

Overdue reviews	Overdue validation
Expired evidence	Overdue actions
Outstanding checks	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.

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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.

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INDICATOR 5 OF 10

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.

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INDICATOR 6 OF 10

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.

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INDICATOR 7 OF 10

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.

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INDICATOR 8 OF 10

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.

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INDICATOR 9 OF 10

Continuous Improvement Effectiveness

An action isn't an improvement.

ONGOING CYCLE OF IMPROVEMENT

1 PROBLEM
An issue or finding is identified.

→

2 INTERVENTION
We decide what we will do.

→

3 IMPLEMENTATION
We put the change into practice.

→

4 OUTCOME
We expect an improvement.

→

5 VERIFICATION
We check if the intended result has been achieved.

WHAT WE MEASURE

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

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.

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USING INTELLIGENCE TO GOVERN AND IMPROVE

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Thank You
Questions | Discussion | Next Steps

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- A link to event feedback survey
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- PDF copy of the PowerPoint
- PDF transcript of Chat Q&A
- Additional supporting resources

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UPCOMING EVENTS



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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.



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