Management of RTO Policy

1. Purpose

Smartskill is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Smartskill is required to have effective governance and administration arrangements in place.

Smartskill is committed to providing best practice, professional products and services to its clients and acknowledges it can only success in this with effective and efficient business planning and management.

2. Policy Statement

Smartskill will ensure that it maintains sound and ethical operations enabling its ongoing profitability and growth. Smartskill is committed to ensuring successful strategic planning and management of the business, including the management of training and assessment activities and business developments.

The Directors of Smartskill are the designated responsible persons for the RTO, having sufficient authority to ensure the RTO complies with the Standards for RTOs across all of its operations and scope of registration at all times.

To this end, Smartskill has in place effective:
- Business management systems and practices;
- Financial management systems and practices;
- Compliance management systems and practices; and
- Risk management systems and practices.

3. Definitions

3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

Audit means an audit or compliance audit undertaken by the VET Regulator.

Data Provision Requirements are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.

Educational and support services may include, but are not limited to:
a) pre-enrolment materials;
b) study support and study skills programs;
c) language, literacy and numeracy (LLN) programs or referrals to these programs;
d) equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity;
e) learning resource centres;
f) mediation services or referrals to these services;

g) flexible scheduling and delivery of training and assessment;
h) counselling services or referrals to these services;
i) information and communications technology (ICT) support;
j) learning materials in alternative formats, for example, in large print;
k) learning and assessment programs contextualised to the workplace; and
l) any other services that the RTO considers necessary to support learners to achieve competency.

Operations of an RTO include training, assessment and administration and support services related to its registration, including those delivered across jurisdictions and offshore.

Scope of registration means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:
m) both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
n) provide assessment resulting in the issuance of AQF certification documentation by the RTO.

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

VET Quality Framework comprises:
a) the Standards for Registered Training Organisations
b) the Australian Qualifications Framework
c) the Fit and Proper Person Requirements
d) the Financial Viability Risk Assessment Requirements
e) the Data Provision Requirements

VET Regulator means:
a) the National VET Regulator; and
b) a body of a non-referring State that is responsible for the kinds of matters dealt with under the VET legislation for that State.

4. Policy Principles

4.1 Business Management

a) The strategic and operational business plan will be developed/reviewed, monitored and maintained against all areas of operations at least every year.
b) Business plans will incorporate Smartskill full scope of registration and scale of operations.
c) Business planning is undertaken to determine the major goals, objectives and key performance indicators (KPIs) regarding Smartskill training and assessment services, and to identify risks, relevant strategies and resources needed to achieve identified goals and objectives.
d) Smartskill consults with relevant stakeholders and clients for input into strategic and business planning.
e) Business planning meetings occur annually, in alignment with annual financial planning.

NovaCore CMS\SRTO 2015\PolicyManagement of RTO Policy
Next review 22-01-2021   Rev 1.3 (22-01-2020)   Approved by COMPLIANCE

2 of 6

f) An annual SWOT (strengths, opportunities, weaknesses and threats) analysis is undertaking in preparation for business planning process. Key areas of analysis include, but are not limited to:

   i. Industry and environmental changes;
   ii. VET sector changes and reform;
   iii. RTO Compliance;
   iv. Changing needs and future demands from industry and clients;
   v. Business growth and development;
   vi. Marketing and advertising;
   vii. Staff and human resources (including contract trainers and assessors);
   viii. Training and assessment resources and materials;
   ix. Type of training services provided, including delivery modes and methods;
   x. Type of client support services provided;
   xi. Premises and facilities;
   xii. Equipment and resources;
   xiii. Training packages – including changes and transitions;
   xiv. Industry Skills gaps or shortages;
   xv. Funding opportunities and changes.

g) Identified goals and objects will be supported by a marketing strategy to promote the RTOs operations, products and services.

h) Smartskillensures that marketing and advertising is in accordance with SRTOs 2015 and Smartskill's Marketing policy. (See Marketing Policy)

4.2 Financial Management

a) Smartskill conducts financial management planning on an annual basis, in accordance with the Australian Financial year time period.

b) Financial Management is implemented through Smartskill Financial Management Policy. (See Financial Management Policy)

4.3 Compliance Management

a) Smartskill ensures it complies with all RTO compliance requirements across all operations and scope of registration, including where services are being delivered on its behalf by third party providers.

b) Smartskill ensures it complies with the VET quality Framework, including the following:

   i. Standards for Registered Training Organisations (SRTOs 2015)
      http://www.comlaw.gov.au/Details/F2014L01377

   ii. Australian Qualifications Framework (AQF)
      http://www.aqf.edu.au/

   iii. Financial Viability Risk Assessment Requirements 2011
      http://www.comlaw.gov.au/Details/F2011L01405

   iv. Data Provision Requirements 2012
      http://www.comlaw.gov.au/Details/F2013C00497

v. Training Packages
   https://training.gov.au/Home/Tga

vi. National Reporting for RTOs :
   Total VET Activity
   https://www.ncver.edu.au/research-and-statistics/collections/students-and-courses-collection

   Quality Indicator reporting (including Learning Questionnaires, Employer Questionnaires and Competency Completion (CCOS)
   http://www.asqa.gov.au/vet-registration/comply-with-your-obligations/quality-indicator-reporting.html

vii. Unique Student Identifier (USI)
   http://www.usi.gov.au/Pages/default.aspx
   http://www.comlaw.gov.au/Details/C2014A00036

c) Smartskill ensures that (in accordance with Standard 7.1 of SRTOs 2015) its executive officers or high managerial agent:
   i. Are vested with sufficient authority to ensure the RTO complies with the RTO Standards at all times; and
   ii. Meet each of the relevant criteria specified in the Fit and Proper Person requirements of Schedule 3 of STROs 2015.

d) Smartskill ensures operations of the RTO are quality assured, and in accordance with Standard 2.2 of SRTOs:
   i. Systematically monitors training and assessment strategies and practices to ensure ongoing compliance; and
   ii. Systematically evaluates and uses the outcomes of the evaluations to continually improve the RTOs training and assessment strategies and practices.

e) Quality assurance practices include, but are not limited to, the implementation of Smartskill's
   i. Evaluation and Feedback Policy; and
   ii. Audit Policy; and
   iii. Continuous Improvement Policy; and
   iv. Validation Policy; and
   v. Partnership Policy.

f) Smartskill ensures it maintains insurance cover to protect it from possible litigation, including:
   i. Public Liability;
   ii. Professional Indemnity;
   iii. Workers Compensation;
   iv. Building and Contents;
   v. Directors.

g) Smartskill ensures it cooperates with VET Regulator at all times, including:
   i. By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration;
   ii. During the conduct of audits and the monitoring of the RTO's operations;
   iii. By providing quality/performance indicator data;
   iv. By providing information about substantial changes to its operation or any event that would significantly affect the RTO's ability to comply with SRTOs within 90 days of the change occurring; and

v. By providing information about significant changes to its ownership within 90 calendar days of the change occurring; and

vi. In the retention, archiving, retrieval and transfer of records.

h) Smartskill ensures that any third party delivering services on its behalf is required under writing agreement to cooperate with the VET regulator:

i. By providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and

ii. In the conduct of audits and the monitoring of its operations.

i) Smartskill will notify the VET regulator:

i. Of any written agreement entered into with a third party for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and

ii. Within 30 calendar days of the agreement coming to an end.

j) Smartskill provides an annual declaration on compliance with the SRTOs to the VET regulator and in particular whether it:

i. Currently meets the requirements of the SRTOs for all AQF certification documentation it has issued in the previous 12 months; and

ii. Has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the SRTOs.

k) Smartskill will comply with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations. (See Legislation Policy)

l) Smartskill informs staff and clients of any changes to legislative and regulatory requirements that affect the services delivered.

m) Smartskill ensures it has, for all of its scope and consistent with its training and assessment strategies, sufficient:

i. Trainers and assessors to deliver the training and assessment;

ii. Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment;

iii. Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery; and

iv. Facilities, whether physical or virtual and equipment to accommodate and support the number of learners undertaking the training and assessment.

4.4 Risk Management

a) Smartskill takes a risk management approach when managing the RTO business and compliance.

b) Risk management is the process of identifying risks, analysing, prioritising and either eliminating, reducing, protecting or insuring against risk.

c) Risk management processes include, but are not limited to:

i. Internal audits;

ii. Audits of third party providers;

iii. Validation;

iv. Complaints;

v. Appeals;

vi. Feedback and evaluation;

vii. SWOT analysis;

NovaCore CMS\SRTO 2015\PolicyManagement of RTO Policy
Next review 22-01-2021   Rev 1.3 (22-01-2020)   Approved by COMPLIANCE

5 of 6

      viii. Financial reviews
       ix. Business planning;
        x. Industry consultation.

d) Risk management outcomes feed into continuous improvement processes. (See Continuous Improvement Policy)

5. Smartskill Responsibilities

The Directors of Smartskill are responsible for:
- ensuring compliance with this policy;
- the development and implementation of the strategic planning process;
- ensuring that business operations comply with SRTOs and other national regulation, guidelines, policies and compliance instruments for RTOs;
- monitoring systems in place to identify risks and the impact of identified risks; adopt appropriate controls to manage those risks and delegate responsibility for them.

6. Legislation

Legislation and legislated instruments relevant to this policy include:
- Standards for Registered Training Organisations (SRTOs 2015)
- Financial Viability Risk Assessment Requirements 2011
- Data Provision Requirements 2012
- Student Identifier Act 2014
- Corporations Act

7. Records Management

All processes relative to management of the RTO are documented and maintained in accordance with Records Management Policy. (See Records Management Policy)

8. Monitoring and Improvement

All processes relative to management of the RTO are monitored by the Director Smartskill and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

NovaCore CMS\SRTO 2015\PolicyManagement of RTO Policy
Next review 22-01-2021   Rev 1.3 (22-01-2020)   Approved by COMPLIANCE

6 of 6