



Training Accreditation Council
WESTERN AUSTRALIA

Using Internal Audits for Continuous Improvement

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What will be discussed

Today's session focuses on how continuous improvement can help your RTO thrive and how internal audits can contribute to that process.

- What is a culture of Continuous Improvement
- The what, why, when and how of Continuous Improvement
- How can the Internal Audit Process contribute?
- Strategies to develop a continuous Improvement culture
- The requirements of the *Standards for RTOs 2015* and the future regulation
- Open Forum Questions **Menti code 7140 7584**

Thriving Organisations

Focus on their customers

Strengthen operational efficiency

Innovate to meet evolving market demands

Have and maintain a skilled and motivated workforce

Are adaptable and resilient

Have strong governance

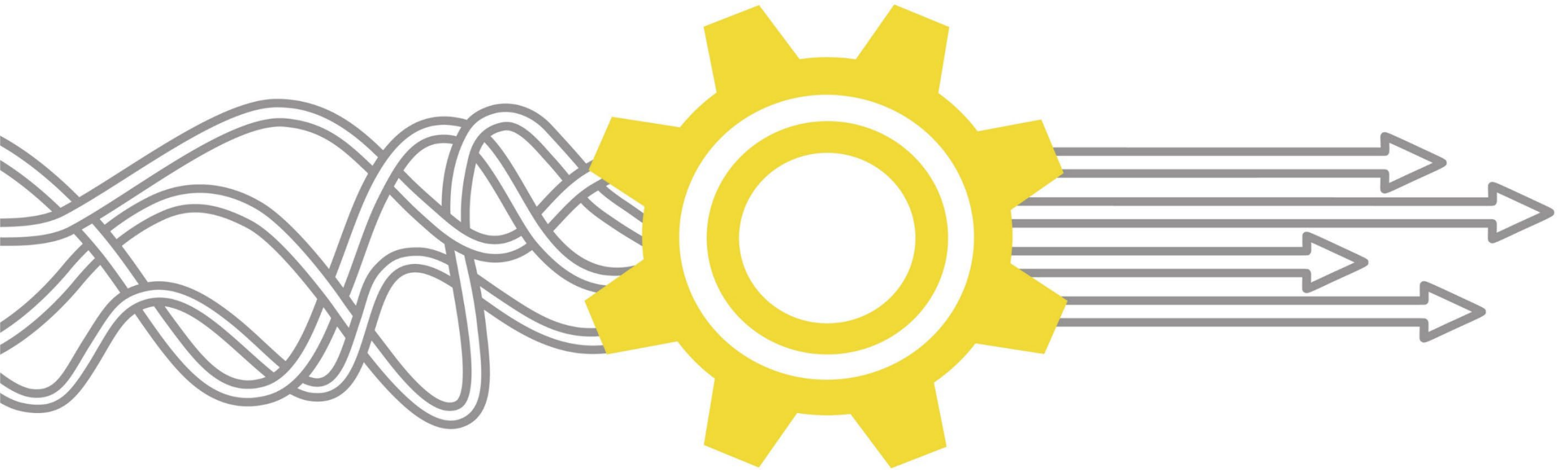
Have a clear brand and strong reputation

Network and build partnerships

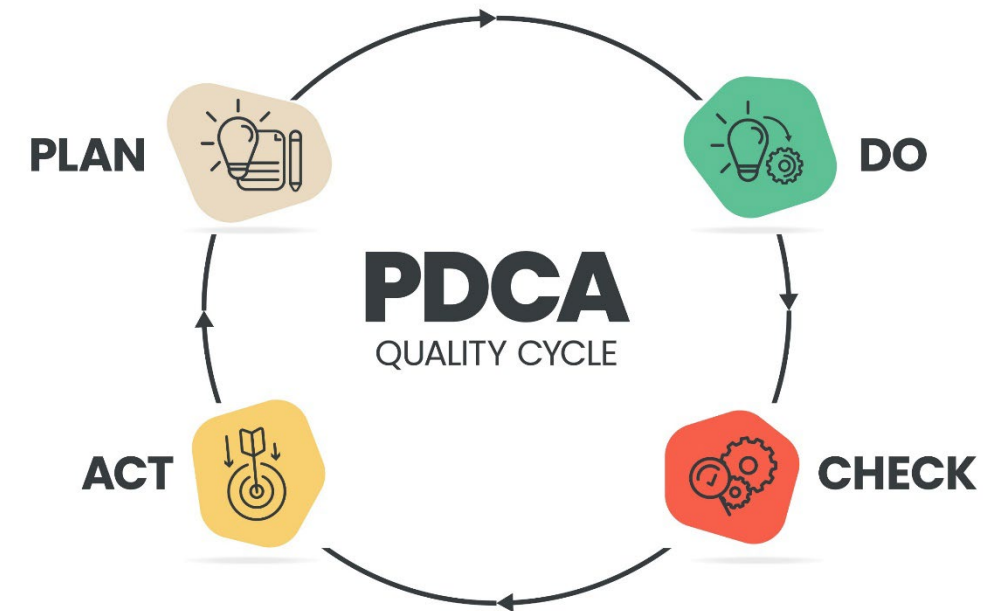
A Culture of Continuous Improvement



Why do we focus on Continuous Improvement?



Models to Support Continuous Improvement



All models share a focus on...

- Incremental and ongoing improvement
- Employee involvement and empowerment
- Customer focus
- Data-driven decision making
- A systematic approach
- Reducing waste and inefficiencies
- Standardisation
- Adaptability and flexibility
- Leadership and support
- Cycle of reflection and learning

Data inputs to continuous improvement

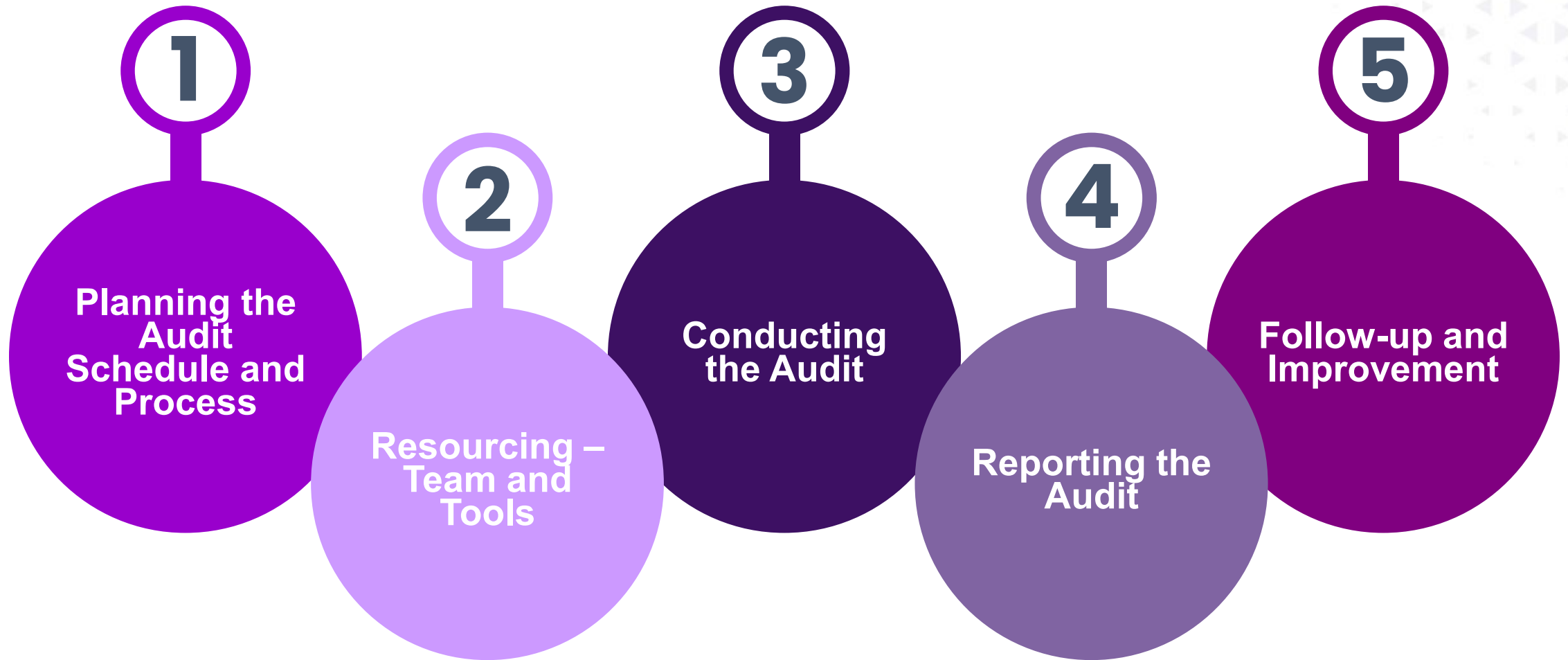
- NCVER data requirements
- Student feedback
- Trainer and assessor feedback
- Complaints and appeals
- Employer feedback
- Community feedback
- Internal audits
- External audits
- Assessment validation
- Industry engagement

What other types of data do you use in your Organisation to inform your improvement activities?

0 responses



The Internal Audit Process



Planning the Audit

It's all about the **logistics** of enabling the **audit to run smoothly** and **achieve the objective**.

- What is the objective and scope of the audit?
- What we are going to look at and when will this happen?
- Where will this happen, are there multiple sites, have I considered travel times, do I have to do site inductions?
- Who will be involved? Staff, employers, students, observers, technical experts? Who is my main contact person?
- What can I look at before site visits and what do I need to see on-site?
- Have I requested access to documents/files for any desktop review I conduct?
- When I am onsite - have I given myself time to think about what I am seeing?

Resourcing - Internal Audit Tools



- It's for you to help guide your conduct of the audit
- It's for you to record data and your observations
- It's for you to use to write your audit report

It has to work for you!

Conducting the audit

- Collect the evidence
- Evaluate the evidence
 - What is the requirement?
 - What processes have we put in place to meet the requirements?
 - Were the processes used?
 - Did the processes work?
 - If they didn't work, what went wrong and how do we fix it?
 - If the processes worked, is there anything that could be improved?

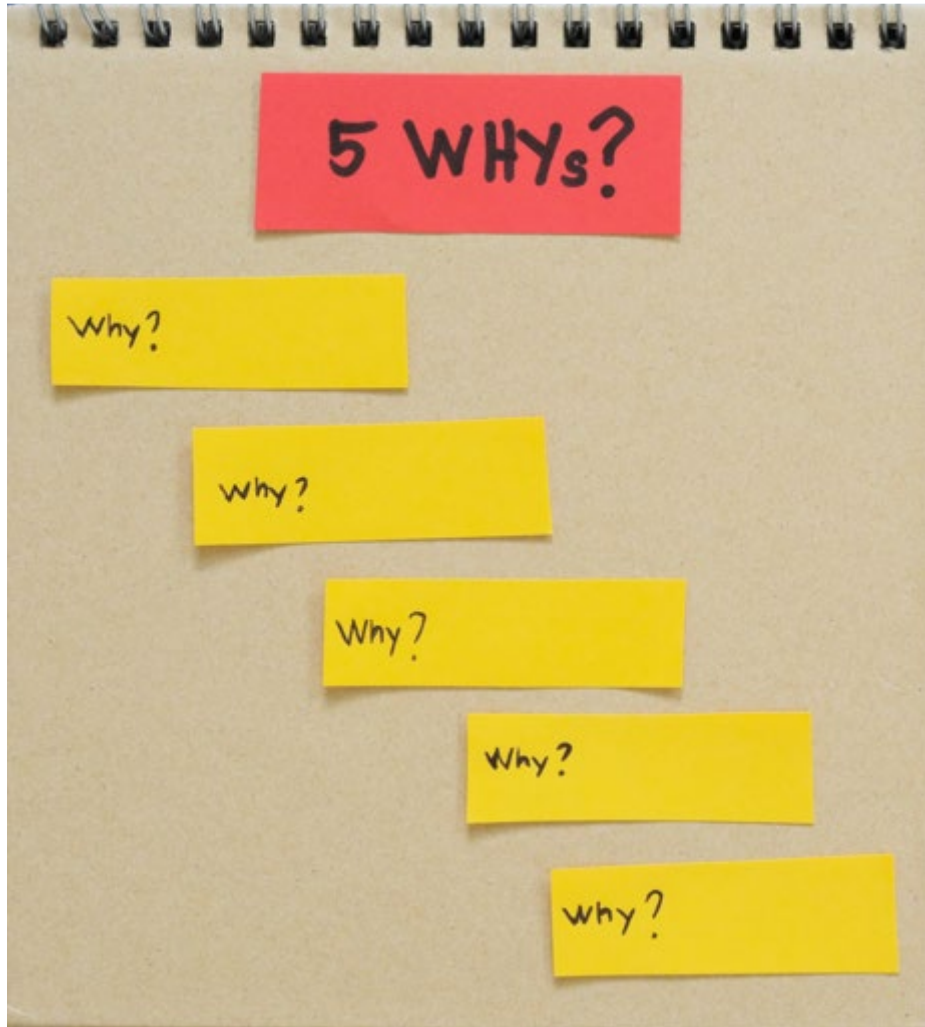


What tools or processes do you use to help you determine what went wrong?

0 responses



The 5 Whys



The 5 WHYs is a simple technique to identify the root cause of a problem in an organisation.

You must have a clearly defined problem and then you ask 'Why' until you get to the root cause of the problem.

There is a significant decline in the revenue of our RTO

Why is the RTO experiencing decreasing revenue?

Because fewer clients are enrolling in our training programs.

Why are fewer clients enrolling in our training programs?

Because our programs are not attracting new clients, and existing clients aren't returning.

Why aren't our programs attracting new clients and retaining existing ones?

Because our programs don't meet current market demands or client expectations.

Why don't our programs meet current market demands or client expectations?

Because we haven't updated our content or delivery methods to align with industry trends and learner needs.

Why haven't we updated our content or delivery methods?

Because we don't have regular market research and feedback mechanisms to identify changing trends and client preferences.

What might change...

- Policies and procedures
- Training strategies and content
- Assessment strategies and content
- Marketing and RTO information
- Training and assessment
- Industry engagement
- Certification
- RTO resources
- Trainers and assessors
- Quality assurance
- Learner support

Audit follow-up activities

- Draft and distribute the report
- Discuss with the team the actions that are required
- Agreement and endorsement of the final report and action plan
- Follow-up to check the progress
- Close out the audit when all actions are complete and you know they are working



We need **Deliberate Strategies** to
Develop a Culture of Continuous
Improvement



What strategies could you use in your organisation to develop a culture of continuous improvement?

0 responses



The top 10 from the research...

1. Leadership commitment and role modeling
2. Employee empowerment and involvement
3. Ongoing training and development
4. Recognition and rewards
5. Fostering a collaborative environment
6. Implementing structured processes and methodologies
7. Continuous feedback and monitoring
8. Aligning improvement efforts with organisational goals
9. Creating a safe environment for experimentation
10. Sustaining momentum and adaptability

Continuously Improving Continuous Improvement

- Continuous improvement is a mindset, ethos, culture
- Engagement with the continuous improvement process
- Encouragement of critical reflection
- Tolerance of adverse feedback
- Responsiveness to adverse feedback
- Support and encouragement of others
- Commitment to change
- Commitment to evidence-based action
- Openness to the critique of action.



What do the Standards say and mean?

Quality Assurance

2.1. The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.

2.2(a) The RTO systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1, and

2.2(b) The RTO systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5 validation outcomes, client, trainer and assessor feedback and complaints and appeals.

References and Resources

- The Standards for RTOs
- The TAC Users' Guide for the Standards
- TAC Fact Sheet: Continuous Improvement
- TAC Fact Sheet: Internal Audit
- TAC Fact Sheet: RTO Complaints and Appeals
- TAC Fact Sheet: Industry Engagement



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Questions



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