



WHITE PAPER:

COMPLY & GROW YOUR RTO

SCALE FOR SUCCESS BY LEVERAGING
RISK MANAGEMENT TO UNLOCK YOUR
TRUE BUSINESS POTENTIAL

INTRO

READY TO
SCALE YOUR
RTO FOR
SUCCESS BY
LEVERAGING
RISK?

If your RTO is getting the same business results each year – maintaining student numbers (just) but with no growth potential on the horizon – it's probably a great time to change tactics.

That's why a proactive approach to risk management, with a strong focus on quality assurance and positive compliance, will not only help you stand out in the crowded Australian VET sector – it will help your RTO start its journey towards scaling for success.



TAKING AIM AT VALUE

There's a whole new risk management compliance paradigm out there, but don't just take our word for it. Have a read of the recent Deloitte Global report 'Taking Aim At Value: Avoid Overconfidence And Look Again At Risk'

This report explores the concept of risk as a value creator for organisations and shines a spotlight on the traditional issue of senior executive 'overconfidence' when it comes to compliance with industry regulations.

49% OF
GLOBAL CEOS
ARE NOW
TAKING STEPS
TO ACTIVELY
HARNESS RISK
TO DRIVE
RETURNS FOR
THEIR
BUSINESS.

In Australia, more than 50% of chief executives surveyed were considering taking steps to leverage risk management to create value for their business.

Can you afford to miss out?

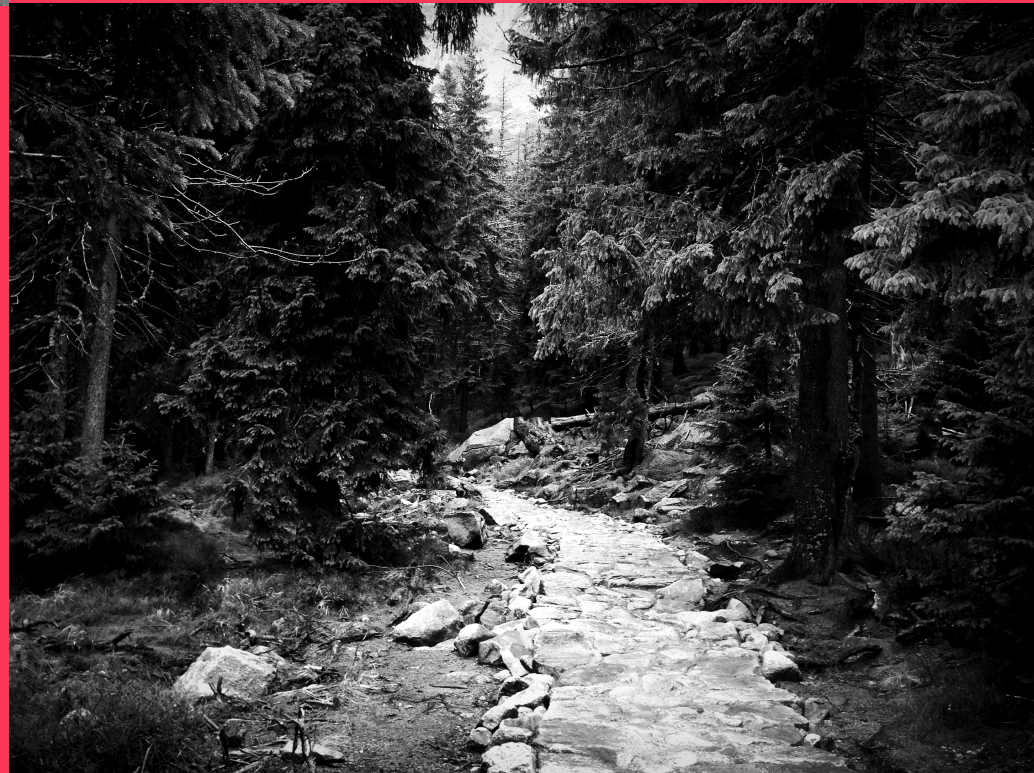


GROUNDBREAKING IMPLICATIONS FOR RTOS

While there will be earth-shattering implications for RTOs who are unable to align with the new learner-centred ASQA audit approach, there will also be groundbreaking implications for the RTOs that are willing to get it right, exceed expectations, and take their business to a whole new level.

THERE'S NOW A WHOLE NEW PARADIGM OF RISK MANAGEMENT

It's being introduced as part of the regulation of the Australian VET sector based on ASQA's new student-centred audit approach, and it's ripe for opportunity for clever, business-focused and ethical private education operators to incorporate and leverage these developments to turn risk into incredible value.



**WHEN IT COMES TO
RE-REGISTERING YOUR
RTO, DO YOU TAKE A
REACTIVE OR
PROACTIVE APPROACH?**

COMPLY & GROW

If you only start thinking about compliance a couple of months before your ASQA audit is due, you are definitely doing it the hard way. In the dynamic VET sector regulatory environment, addressing compliance issues reactively could place your RTO in danger of being left behind (or worse, and cost your business money).

We have simplified the process of starting to scale your RTO for success with five easy steps, that will provide you with the key to unlocking your organisation's true business potential:

FIVE STEPS TO SUCCESS

1

SET THE
BENCHMARK FOR
EXCELLENCE

2

TAKE A
PROACTIVE
APPROACH TO
AUDIT

3

CONDUCT A
COMPLIANCE
HEALTH CHECK

4

TAKE YOUR RTO
TO THE NEXT
LEVEL

5

ALIGN RISK TO
VALUE CREATION

SCALE FOR SUCCESS WITH THESE FIVE STEPS

01

SET THE BENCHMARK FOR EXCELLENCE



Be one of the first to understand that compliance can be a valuable opportunity within the risk management strategy of your organisation. Instead of viewing it as an onerous task, harness the ability to differentiate your RTO from competitors by aligning your organisation's quality assurance and compliance to the regulated standards – and then take a giant leap forward to set the industry benchmark.

02

TAKE A PROACTIVE APPROACH TO AUDIT

Start early with your strategic planning with a proactive approach to quality assurance and compliance. From our experience, the RTOs that achieve the best business results are the ones that avoid the costs of audit rectification and possible regulatory sanctions by starting their compliance preparations at least eight months prior to their organisation's re-registration date.



03

CONDUCT A COMPLIANCE HEALTH CHECK

We understand it is hard to keep up with today's dynamic VET sector regulatory environment. That's why smart RTO owners and managers bring in highly-qualified, industry experts to help them get ahead. Professional RTO advisors will help your team conduct an internal compliance health check and provide you with an Action Plan and support for getting your RTO audit ready.



04

TAKE YOUR RTO TO THE NEXT LEVEL

Planning for future growth starts with improving and systemising your audit processes throughout the year so you can start scaling for success. But it doesn't stop there. A detailed strategic business plan for a successful Registered Training Organisation will incorporate governance, operations, sales & marketing, staff development and student engagement.



05

ALIGN RISK TO VALUE CREATION

Traditionally, the Australian VET sector has viewed the audit and compliance process as merely a means to an end. But what if you thought about it in a whole new light? What if complying with ASQA's new learner-centred audit approach presented your RTO with a huge opportunity to step in front of the pack and lead the way for vocational education and training in Australia?



**SOUNDS IMPRESSIVE,
BUT NEED TO KNOW
MORE?**

01 SETTING THE BENCHMARK FOR EXCELLENCE

Your RTO is coming up for re-registration in the next 12 months and you've seen alerts and announcements from ASQA that a whole new learner-centred approach to audit is now in place. But what does this mean for you and your RTO?

The ASQA audit approach now focuses on the practices and behaviours of Registered Training Organisations AS WELL AS checking on the compliance of each organisation's systems and processes.

**THIS NEW AUDIT MODEL
REFLECTS A RISK-BASED
APPROACH TO
REGULATION, WHICH
TARGETS REGULATORY
RESOURCES TOWARDS
PROVIDERS THAT ARE
IDENTIFIED AS POSING
THE GREATEST RISK TO
THE QUALITY OF
AUSTRALIA'S VET AND
INTERNATIONAL
EDUCATION SECTORS.**

But what if you turned that around to providing your management team with an opportunity to set a benchmark for your RTO to be recognised as one of the greatest contributors of excellence to the Australian vocational education and training sector?

It's an unbelievable opportunity for those RTOs ready to be proactive in their approach to compliance and willing to adopt a contemporary, value-creating attitude to risk management.


**HAPPY WITH THE
CURRENT SIZE OF YOUR
BUSINESS AND ITS
REVENUE GENERATION
CAPACITY?**

02

TAKE A PROACTIVE APPROACH TO AUDIT

If you are, then you may feel at ease at making a start on audit preparations only a couple of months before your RTO re-registration is due. However, **BE WARNED.**

In this dynamic regulatory era, those RTOs who leave audit preparations to the last minute are potentially setting themselves up for massive failure. Audit rectification and possible regulatory sanctions place your business in a constant reactionary (and out-of-date) loop of compliance, and non-compliance issues can represent a costly mistake for your business.



**IN OUR EXPERIENCE,
THE RTOS WHO ARE
SERIOUS ABOUT
MAXIMISING THEIR
BUSINESS POTENTIAL
AND OPPORTUNITY FOR
SUCCESS START THE
COMPLIANCE PROCESS
AS EARLY AS POSSIBLE.**

We recommend that you review your business strategy on an annual basis, and start the RTO re-registration process at least eight months prior to your confirmed audit date. This ensures you are not only keeping up with recently announced regulations, but that you are incorporating opportunities to set industry-leading benchmarks proactively within your organisation's systems and processes.

If your aim is to start scaling your RTO business for success, then you need a proactive and strategic approach to risk management.

**READY TO PROACTIVELY
PREPARE FOR
RE-REGISTRATION?**

03

CONDUCT A COMPLIANCE HEALTH CHECK

What you need to do is conduct an internal audit to establish the current parameters of your Registered Training Organisation's compliance with current regulations.

This will give you a clear understanding of your RTO's alignment with ASQA's VET Quality Framework (VQF) which comprises:

VQF ALIGNMENT

1

The Standards for
Registered
Training
Organisations
(RTOs) 2015

2

The Australian
Qualifications
Framework

4

Financial Viability
Risk Assessment
Requirements

3

Fit and Proper
Person
Requirements

5

Data Provision
Requirements

**AS PART OF YOUR
INTERNAL AUDIT
PROCESS, YOU ARE
GOING TO NEED TO
ENSURE THAT YOUR RTO
IS COMPLIANT WITH THE
NEW ASQA AUDIT
APPROACH - WHICH
NOW FOCUSES ON THE
PRACTICES AND
BEHAVIOURS OF
PRIVATE EDUCATION
PROVIDERS IN ADDITION
TO SYSTEMS AND
PROCESSES.**

Providers will now be accountable under this new audit approach for IDENTIFYING and CORRECTING non-compliant practices and behaviours – particularly those that have had a negative impact on past learners or that could impact future learners.

As identified by ASQA, non-compliance can occur across several stages of the learner journey. This includes:

STAGES OF THE LEARNER JOURNEY

1

Marketing and
Recruitment

2

Enrolment

4

Training and
Assessment

3

Support and
Progression

5

Completion

POTENTIAL AUDIT ISSUES

YOU REALLY
NEED TO BE
AWARE OF
THE NEW
ASQA
APPROACH TO
IMPACTS ON
THE LEARNER
JOURNEY

01

Marketing and Recruitment

If your RTO's marketing to prospective learners was inaccurate at any time during your previous registration period as a Registered Training Organisation in Australia, you will need to self-assess and identify the non-compliance as part of your audit submission. Most importantly, you will be expected to table efforts made since the error to rectify the systems and processes that caused it.

02

Enrolment

It is vital that before enrolling students, as part of the recruitment process each private education provider now needs to assess the existing skillsets of individual learners, and ensure they are enrolling in a course that will provide them with the training they need and can cope with. If you have enrolled students who cannot keep up with the pace of the course, you will need to provide them with alternative training or offer them a refund.

03

Support and Progression

Providing educational and support services to enrolled students will be key to success in the new regulatory environment for Registered Training Organisations. You will need to have systems and processes in place to identify and meet student support needs, and initiate a highly engaging and informative student communication program to make sure each student is aware of these services and how to access them.

04

Training and Assessment

During the ASQA audit process, private education providers will now need to demonstrate sufficient training and assessment resources have been dedicated to training programmes. This means employing an adequate number of training staff, as well as educational and support services staff, and providing large enough facilities and classrooms for the enrolled student capacity. Your trainers and assessors also need to be fully industry qualified, with direct vocational experience in the training field in which they are coaching learners.

05

Completion

If your RTO is found to be delivering students to the workforce without adequate skills to undertake positions in their industry fields, your RTO will be required to provide gap training for past students and conduct further assessment of current learners.

**IF YOU HAVE COMPLIED
WITH THE NEW ASQA
AUDIT APPROACH AND
SUCCESSFULLY
RE-REGISTERED YOUR
RTO, YOU ARE READY
TO:**

04

TAKE YOUR RTO TO THE NEXT LEVEL






You've set a benchmark for industry excellence for your RTO, started early with your strategic planning approach to audit, and brought in industry experts to help you achieve compliance. You are well on the road to scaling for success, so **DON'T STOP THERE.**

This is the fork in the road that mediocre Registered Training Organisations will never reach, and average RTOs will stop and rest on their laurels. A high-performing, business oriented RTO will take the **NEXT STEP.**

STRATEGIC PLANNING

DON'T JUST SETTLE FOR BEING COMPLIANT WITH THE NEW ASQA AUDIT APPROACH – EXCEED EXPECTATIONS.

You now have an ideal opportunity to start ensuring you have a solid platform for continued business growth. Think about:

-  Introducing best-practice boardroom governance policies and procedures;
-  Coaching your senior executives to achieve and extend their personal bests;
-  Implementing a highly developed marketing plan based on a key understanding of your target audiences' needs and developing solutions using 21st-century digital marketing techniques;
-  Providing professional development opportunities for your education facilitators and to become renowned as an employer-of-choice;
-  Initiating best-practice student and alumni engagement programs.

HISTORICALLY, RISK
MANAGEMENT HAS
FOCUSED ON VALUE
PROTECTION AND
COMPLIANCE.
HOWEVER, IN THIS AGE
OF INNOVATION AND
DISRUPTION THE
EXPECTATIONS OF
CONSUMERS AND
REGULATORS ARE
CONSTANTLY
CHANGING.

05

ALIGN RISK TO VALUE CREATION

Innovations in technology are fueling new business models globally with new ways of doing business, and opening new markets with the promise of long-term productivity and revenue gains.

If you're brave enough to want to accelerate your RTO's ascension into the 21st century business world, you're going to need agile digital platforms and infrastructure for your operational, sales, marketing, and communications systems and processes.

SCALE FOR SUCCESS

ASK YOURSELF THESE QUESTIONS TO SEE IF YOU'RE BRAVE ENOUGH FOR THE FINAL FRONTIER:



Is your RTO ready to adapt to the online and on-demand learning environment?



Is your RTO capable of harnessing data analytics to improve the student experience and drive revenue growth?



Is your organisational culture in tune with new collaborative governance structure models?



Are you ready to challenge existing assumptions about how to run a successful RTO in Australia, and continuously innovate and adapt in response to constant change?



And are you ready to provide extraordinary value to your customers – your students, staff and stakeholders?



COMPLY & GROW WITH US

WE HAVE DEVELOPED THE DEDICATED
COMPLY & GROW YOUR RTO PROGRAM TO
HELP REGISTERED TRAINING
ORGANISATIONS ACHIEVE SUCCESS IN
THE NEW AUDIT AND COMPLIANCE
PARADIGM THAT IS EMERGING IN THE
AUSTRALIAN VET SECTOR.

WHO WE ARE

TWO OF AUSTRALIA'S LEADING RTO ADVISORY FIRMS FORGE AN ALLIANCE TO ADVANCE AUSTRALIA'S VET SECTOR.

The 'Comply & Grow Your RTO' program has been developed in partnership by RTO Advance and Marcus Sellen & Associates.

It is delivered in two complementary phases : an initial 2 day audit and compliance health check conducted by RTO Advance, followed by optional strategic planning services provided by Marcus Sellen & Associates.



IS IT TIME FOR YOUR RTO TO BRING IN THE EXPERTS?

**IF YOUR RTO IS COMING UP FOR
RE-REGISTRATION THIS YEAR IT
MIGHT BE TIME FOR YOU TO
CONSIDER BRINGING IN
ADDITIONAL SUPPORT FOR YOUR
TEAM TO GIVE YOUR BUSINESS
THE BEST POSSIBLE CHANCE OF
ACHIEVING COMPLIANCE.**



FIND OUT MORE

IF YOU ARE INTERESTED IN
DISCOVERING MORE
DETAILS ON THE COMPLY &
GROW YOUR RTO PROGRAM:

DOWNLOAD THE
PROSPECTUS HERE

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