

Self-Assurance Policy



1. Purpose

The purpose of this policy is to establish robust self-assurance practices within the RTO to ensure compliance with regulatory standards, enhance the quality of training and assessment services, and facilitate continuous improvement through systematic processes for identifying, analysing, treating, evaluating, and reporting outcomes to high managerial agents and communicating results to relevant staff and stakeholders.

2. Scope

This policy applies to all staff, training programs, assessment processes, operational procedures, and stakeholders including learners, employers, and industry partners within the RTO.

3. Policy Statement

Swann College is committed to maintaining high standards by implementing comprehensive self-assurance practices. These practices include identifying and analysing potential issues, treating them effectively, evaluating their impact, and reporting outcomes to high managerial agents or the CEO. Results will be communicated to relevant staff and stakeholders to ensure transparency, accountability, and continuous improvement.

4. Objectives

- To ensure ongoing compliance with the VET and ESOS Frameworks and other legislative requirements relevant to its operations.
- To maintain high-quality training and assessment services.
- To implement a structured approach to self-assurance, including identification, analysis, treatment, evaluation, and reporting.
- To foster a culture of accountability, transparency, and continuous improvement.

Procedures for Self-Assurance

1. Compliance Monitoring

1.1. Compliance Checks

- Conduct regular internal reviews and audits to ensure adherence to the VET and ESOS Frameworks.
- Stay updated with changes in regulations and adjust practices accordingly.

1.2. Documentation and Records

- Maintain documentation and data as required by the Regulatory Body for reporting



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- Maintain accurate records of compliance checks, including internal audits, evidence of adherence, and corrective actions taken.
- Ensure documentation is readily accessible and up-to-date.

2. Quality Assurance

2.1. Training and Assessment Quality

- Implement quality assurance processes for training delivery and assessment.
- Regularly review, validate and update training materials and assessment tools to ensure they meet industry standards.

2.2. Trainer and Assessor Competence

- Verify trainers and assessors possess required qualifications and engage in ongoing professional development.
- Evaluate trainer and assessor performance through feedback and performance reviews.

3. Continuous Improvement

3.1. Feedback Mechanisms

- Establish formal channels for collecting feedback from learners, employers, and other stakeholders.
- Analyse feedback to identify areas for improvement and implement changes.

3.2. Review and Evaluation

- Conduct periodic evaluations of training programs and operational procedures.
- Utilise evaluation results to drive continuous improvement initiatives.

3.3. Professional Development

- Provide training and development opportunities to staff.
- Encourage a culture of learning and improvement.

4. Risk Management

4.1. Risk Identification and Assessment

- Identify risks related to training, assessment, and operational processes.
- Assess the impact of risks and develop strategies to mitigate them.

4.2. Risk Mitigation

- Implement and review risk mitigation strategies to minimize potential impacts.



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5. Complaints and Appeals Management

5.1. Complaints Handling

- Establish a clear process for lodging and addressing complaints from learners, employers, and other stakeholders.
- Handle all complaints promptly, fairly, and confidentially.
- Document all complaints and the actions taken to resolve them.

5.2. Appeals Process

- Provide a formal procedure for lodging appeals against decisions made regarding assessment results or other matters.
- Review appeals impartially and resolve them in a timely manner.
- Communicate the outcome of appeals to the concerned parties.

5.3. Feedback Collection and Response

- Encourage feedback from all stakeholders to inform service improvements.
- Acknowledge receipt of feedback and provide timely responses where appropriate.
- Use feedback to enhance training programs, assessment processes, and overall service quality.

6. Communication of Service Delivery Changes

6.1. Identifying Changes

- Identify any changes in service delivery, including changes in training programs, assessment methods, scheduling, or delivery modes.

6.2. Communication Plan

- Develop a communication plan to inform both staff and clients of any changes.
- Ensure communication is clear, timely, and provides all necessary details about the changes.

6.3. Informing Staff

- Notify all staff members of changes in service delivery through internal communication channels, such as email, meetings, or intranet updates.
- Provide staff with information on how the changes will impact their roles and responsibilities and offer any necessary training or support.

6.4. Informing Clients

- Communicate changes to clients, including learners and employers, through direct communication channels such as email, newsletters, or client portals.



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- Ensure clients are informed in advance of any changes that will affect their training or assessment experience.
- Provide clear instructions on how clients can adapt to or benefit from the changes.

6.5. Feedback on Changes

- Allow stakeholders to provide feedback on service delivery changes.
- Use this feedback to address any concerns and make further improvements if needed.

7. Self-Assurance Process

7.1. Identification

- Regularly identify potential issues or areas for improvement through self-assessments, audits, feedback, and performance evaluations.

7.2. Analysis

- Analyse identified issues to understand their causes, impacts, and implications for compliance and quality.
- Use data and evidence to support the analysis.

7.3. Treatment

- Develop and implement action plans to address identified issues and improve processes.
- Assign responsibilities and resources for treating the issues effectively.

7.4. Evaluation

- Evaluate the effectiveness of the implemented actions and changes.
- Monitor the impact on compliance, quality, and stakeholder satisfaction.

7.5. Reporting

- Prepare comprehensive reports on self-assurance activities, including findings, actions taken, and outcomes.
- Report to high managerial agents or the CEO on significant issues, their treatment, and overall effectiveness.
- Ensure reporting includes recommendations for further actions or improvements if needed.

7.6. Communication of Outcomes

- Communicate outcomes of self-assurance processes to relevant staff and stakeholders.
- Ensure communication includes clear information on findings, actions taken, and any changes to processes or procedures.

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8. Reporting and Accountability

8.1. Reporting Requirements

- Prepare and submit regular reports on self-assurance activities, including compliance monitoring, quality assurance results, and handling of complaints, appeals, feedback, and service delivery changes.
- Ensure reports are accurate and submitted as required.

8.2. Accountability

- Define roles and responsibilities for managing self-assurance practices, including reporting and communication.
- Hold staff accountable for adhering to policies and achieving performance standards.

9. Review and Revision

9.1. Policy Review

- Review this policy annually or as necessary to ensure its relevance and effectiveness.
- Update the policy based on feedback, regulatory changes, and organisational needs.

9.2. Revision Process

- Communicate policy updates to all staff and provide training on any revised procedures.
- Document changes and ensure effective implementation of updated policies.

By integrating these structured processes into the Self-Assurance Policy, Swann College can systematically address issues, ensure effective treatment, and provide transparent reporting and communication. This approach supports a proactive and accountable management of quality and compliance.