

# ASQA

# Delegated

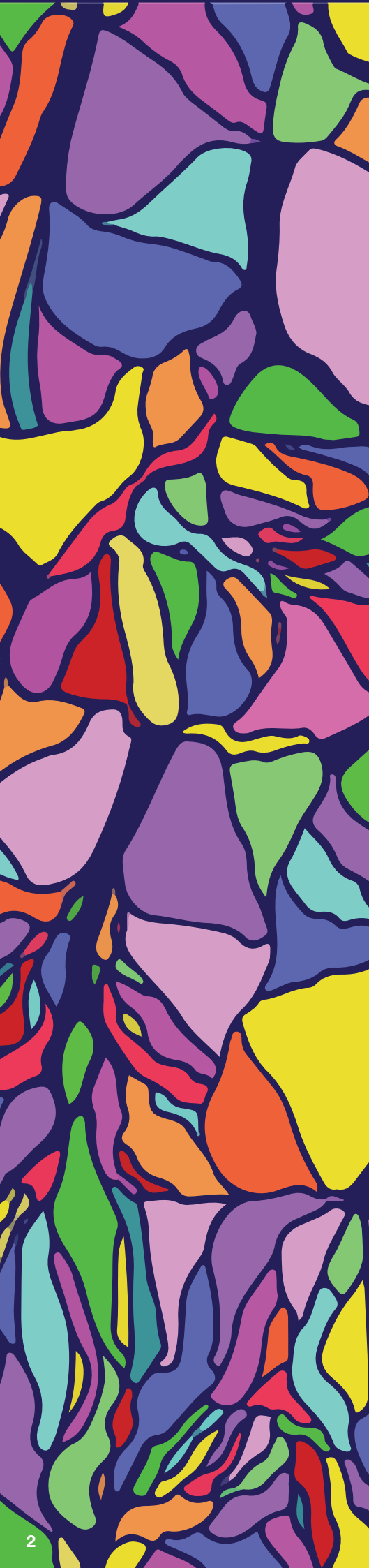
# Functions

# Processes

# and Guide

Developed by Internal Audit, Compliance Risk and Regulation Unit (IACRR) in conjunction with the Academic Registrars Group (ARG) and the Office of Vocational Education (OVE) – This document articulates the quality assurance and governance requirements of the Delegated Functions Agreement between ASQA and RMIT ratified in March 2017, updated October 2019.

Version 3.1 May 2020



## Preface

As part of recent government reforms, ASQA has the ability to provide high-performing RTOs with the ability to manage their own scope of registration via a delegated authority agreement. This means that RTOs with delegated authority are able to add new and superseded training products to their registration without applying to ASQA and paying an application fee.

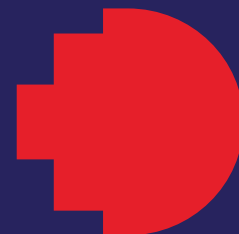
After RMIT's completion of renewal of registration in 2015, ASQA determined RMIT eligible for delegation of authority and invited RMIT to consider delegation functions by providing a Delegation Agreement in April 2016.

Accepting the delegation requires consideration of the associated business and compliance implications, the implications of the delegation on our business processes, human resources and comparing the costs to the benefits of accepting the responsibility of amending RMIT's scope of registration, prior to signing and returning the Delegation Agreement.

In 2016 the Internal Audit, Compliance, Risk and Regulation unit undertook assessment of the requirements and implications of the contract and after extensive consultation with stakeholders proposed the model of operation the delegated functions would take at RMIT. VET Executive endorsed the model and processes proposed in January 2017. On 18 October 2019, RMIT received an updated ASQA Delegations Agreement 2019 that superseded the 2016 agreement and will continue as the principal administration agreement between ASQA and RMIT University relating to the delegated function of amending scope of registration.

This document has been revised and updated by the Academic Registrars Group and the Office of Vocational Education to reflect current processes articulated herein.

**RMIT signed the Delegation Agreement and submitted it to ASQA on 18 March 2017 with the commencement date of delegations functions to commence at RMIT from 1 May 2017.**



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# What is delegation of authority

RTOs that decide to accept ASQA's invitation for delegation receive a Delegation Agreement (the agreement) which sets out the required conditions associated with being an ASQA delegate. These requirements include:

- agreeing to provide data to ASQA when exercising the delegation so that your RTO's scope of registration can be amended on [training.gov.au](http://training.gov.au)
- having a documented quality assurance system in place to manage the delegated regulatory functions and operations
- agreeing to be audited – at own cost – by an ASQA-approved external panel auditor if and when this is required by ASQA (the audit will be conducted against the requirements set out in the Delegations Agreement)
- remaining compliant with the national VET Quality Framework throughout the period of the Delegations Agreement
- nominating a representative of the RTO as the delegate contact.

When the agreement is signed and returned, ASQA issues a Delegation Instrument which formally grants the RTO the regulatory power to amend their scope of registration.

*RMIT signed the agreement and submitted it to ASQA on 18 March 2017 with the commencement date of delegated functions to commence at RMIT from 1 May 2017. October 2019, RMIT received an updated ASQA Delegations Agreement 2019 that superseded the 2016 agreement and will continue as the principal administration agreement between ASQA and RMIT University.*

# What are the key requirements of the delegated agreement?

Overview of requirements as per the agreement are summarised in Table 1 (below).

**Table 1: Delegation agreement requirements**

Requirement	Elements	Area responsible	Details
General	<ol style="list-style-type: none"> <li>1. The quality assurance system is defined and documented and ensures clear delineation and accountabilities of roles and responsibilities in relation to the delegated functions.</li> <li>2. The quality assurance system includes processes related to the delegated functions that ensure the effective exercise of functions, including, but not limited to processes to guide the following activities: <ul style="list-style-type: none"> <li>▪ designing, planning, implementing, monitoring and reviewing the Delegate's performance against the delegation relevant to the Standards for VET Regulators and the NVETR Act</li> <li>▪ managing staff competence</li> <li>▪ ensuring accountability and transparency</li> <li>▪ reporting obligations</li> <li>▪ managing documents and records.</li> </ul> </li> </ol>	OVE, IACRR, ARG	<ul style="list-style-type: none"> <li>▪ Should demonstrate clear delineation between the exercise of the delegated functions and that of the RMIT's quality assurance processes as they relate to RTO standards.</li> <li>▪ Appendix 1. This manual (including documents linked to) templates/tools and guidance material.</li> </ul>
Managing staff competencies	<ol style="list-style-type: none"> <li>1. The Delegate ensures competent personnel perform the delegated functions and decisions by: <ul style="list-style-type: none"> <li>▪ determining and monitoring the necessary competence and performance of personnel.</li> <li>▪ providing training or taking other actions to achieve necessary competence and performance, where applicable.</li> <li>▪ ensuring personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the Delegate's obligations.</li> </ul> </li> </ol>	College, OVE, ARG	<ul style="list-style-type: none"> <li>▪ Qualifications/competencies are stated in VRS as a guide.</li> <li>▪ ASQA has confirmed RMIT is to nominate staff competencies required by panel reps.</li> <li>▪ Process – Managing staff competencies, accountability and transparency (Appendix 1).</li> <li>▪ Register of panel nominees to be kept by OVE/ARG.</li> <li>▪ Quality assurance/delegations training provided by OVE/IACRR.</li> <li>▪ Qualification and competency currency – facilitated by colleges and schools.</li> </ul>

Requirement	Elements	Area responsible	Details
Accountability and transparency	<ol style="list-style-type: none"> <li>The Delegate ensures accountability and transparency in relation to the delegated functions by: <ul style="list-style-type: none"> <li>demonstrating that quality assurance processes and decisions are consistently applied.</li> <li>demonstrating that decisions made are evidence-based and are made in a manner consistent with the principles of natural justice and procedural fairness.</li> <li>demonstrating that outcomes of the delegated functions and decisions lead to: <ul style="list-style-type: none"> <li>quality training and assessment outcomes</li> <li>effectively managed transition arrangements</li> <li>no disadvantage to students.</li> </ul> </li> </ul> </li> </ol>	OVE, ARG, Delegation Panel, Scope Sub-Group	<ul style="list-style-type: none"> <li>Process – Managing staff competencies, accountability and transparency (Appendix 1). Tools – panel worksheet and how to use guidance.</li> <li>Recorded minutes of every panel session.</li> <li>RMIT quarterly report of panel outcomes.</li> </ul>
Managing documents and records	<ol style="list-style-type: none"> <li>The Delegate ensures that documents and records relating to the delegated functions are effectively controlled and maintained.</li> <li>The Delegate has a documented procedure that is consistently implemented that defines the controls for: <ul style="list-style-type: none"> <li>approval, review and updating, version status, distribution of and access to documents.</li> <li>identification, storage, protection, retrieval, retention and removal of records.</li> </ul> </li> <li>The Delegate retains the following documentation for a period of <b>30 years</b>: <ul style="list-style-type: none"> <li>internal application to add to scope</li> <li>final decision and determination document</li> <li>any documentation assessed for the decision.</li> </ul> </li> <li>Upon cessation of the Delegation Agreement, RMIT ensures all documentation retained under R6.3 for the entire period of the Agreement is transferred to ASQA electronically.</li> </ol>	OVE, ARG	<ul style="list-style-type: none"> <li>Process – Record management and reporting (Appendix 1).</li> </ul>
Reporting obligations	<ol style="list-style-type: none"> <li>RMIT must report regularly and within set timeframes to ensure the completeness, accuracy and currency of information on the National Register.</li> <li>RMIT must report regularly and within set timeframes to ASQA including: <ul style="list-style-type: none"> <li>annually in relation to the exercise of the delegated function (reconciliation of scope)</li> <li>submission of the annual internal review (two months after anniversary).</li> </ul> </li> </ol>	IACRR, ARG	<ul style="list-style-type: none"> <li>Process – Record management and reporting (Appendix 1).</li> <li>ASQA reporting template.</li> </ul>
Monitoring and internal review	<ol style="list-style-type: none"> <li>Internal Review of the Quality Assurance System is undertaken at least annually (within two months of anniversary) to evaluate the system's continuing suitability and effectiveness, to ensure that the system is effectively and consistently implemented, and to ensure adherence to the Delegation Agreement.</li> <li>The Internal Review: <ul style="list-style-type: none"> <li>Is sufficiently comprehensive and robust to identify strengths and weaknesses in the Quality Assurance System and its implementation.</li> <li>Includes consideration of evidence gained through monitoring activities.</li> <li>Takes into consideration a range of relevant data and sources, including internal and external stakeholder feedback.</li> <li>Fosters the pro-active identification of opportunities to improve the effectiveness and efficiency of the exercise of delegated function.</li> </ul> </li> <li>The Delegate systematically acts on, monitors and evaluates improvement opportunities arising from the Internal Review.</li> </ol>	IACRR	<ul style="list-style-type: none"> <li>Process – Monitoring and Annual Review (Appendix 1).</li> <li>RMIT Quarterly report of panel outcomes.</li> </ul>

# Process step changes

The current [Program and Course Approval Process](#) and [Program and Course Policy](#) should be followed. For scope changes described above the key changes will be (in order of steps to be taken):

*Please note for new programs not previously on RMIT Scope of Registration and delivered by RMIT, a business case must be developed and approved prior to undertaking the following steps.*

1. **New Program Approval form** (replacing notice of intent) for new or replacement programs and skill sets (incl. those with new national codes) must be completed and the quality assurance system process via the VE Quality and Compliance Advisory Group followed for endorsement. Failure to do so may result in delays to training product offerings.

For programs being discontinued (with active students) because of RMIT's decision only the discontinuation form (including transitional arrangements and student letters) must be submitted. Where the discontinuation is a result of a nationally recognised replacement training product being introduced then a discontinuation form and the following documents need to be submitted.

2. The following program documents are to be developed and submitted for endorsement and approval:
  - Training and assessment strategy (TAS)
  - Staff qualification matrix
  - Resources and equipment list
  - Industry support and engagement statement
  - A sample of completed assessment tools for two units (preferably one unit is a core or prerequisite unit)
  - VE discontinuation form (for superseded non-equivalent programs and with active students where transition or teach of students is required)
  - CRICOS form (unsigned for programs to be registered for international student enrolment).
3. Completed program documents are sent to College Admin, checked and sent to OVE for endorsement via the VE Quality and Compliance Advisory Group and provided to Panel members at least 15 business days before scheduled panel meeting.
4. ARG's Academic Governance team will inform OVE, CPA, College admin and VE Quality and Compliance Advisory Group of scope changes approved via the ASQA Delegations Panel process and manage records.
5. ARG's Course and Program Administration (CPA) team will make changes to scope via asqanet portal, (with signed approval from Pro-Vice Chancellor Vocational Education) and inform schools, colleges, OVE when training products are added or removed from scope officially on [training.gov.au](http://training.gov.au).

## Helpful tips to avoid time pressures

Applications for additions to scope of registration do not have to wait for the publication of state government purchasing guides. Where schools choose to submit program documentation prior to the release of the purchasing guide the following is suggested:

- Absent information such as fees and hours in the program documentation is to be noted by the college administrators when submitting the documents to the VE Quality and Compliance Advisory Group for endorsement.
- When purchasing guides become available the schools will submit the previously absent information to college administrators who will deliver it to CPA directly.

Programs that are to undergo professional accreditation are to make application for scope registration concurrently or before the accreditation process. As the documents (above) required for scope applications will also be required for the accreditation process it is suggested these program documents are developed first, scope application is made and then any additional documents for accreditation are developed after.

For full procedure details refer to:

- [OVE's ProMapp – Submit and Endorse Additions to RMIT Scope of Registration](#) for process flow for submission and endorsement of additions to RMIT's scope of registration.
- [ARG's Submit and Approve Additions to RMIT Scope of Registration](#) for process flow for submission and approval of additions to RMIT's scope of registration.

Broadly speaking where RMIT previously sent documents to ASQA for an application to change scope this will be redirected to an internal "Delegation Panel" to approve on behalf of ASQA. The framework and processes related to the internal function are contained in the following sections. The Delegation Panel will be convened for the following type of scope changes:

- **New programs:** A new training package qualification/ accredited course that we have not previously registered on scope or delivered.
- **Superseded non-equivalent replacement programs:** where we have the outgoing version of the training product on scope and a changed replacement version has been released and deemed non-equivalent with a new national code. Includes all Accredited Courses.
- **Discontinued programs with active students:** where the discontinuation has resulted from the introduction of non-equivalent replacement product (as above) or RMIT's choice to discontinue offering a program and these programs require a transition or teach out of active students. **Programs cannot be removed from scope until there are no active students.** Includes all Accredited Courses.

For scope changes that do not involve the type described above the current processes (instructions) will continue. The below programs are also excluded from the delegated functions as stipulated in the agreement:

- TAE40116 Certificate IV in Training and Assessment
- TAE50216 Diploma of Training Design and Development
- TAE50116 Diploma of Vocational Education and Training
- TAESS00010 Advanced Assessor Skill Set
- TAESS00011 Assessor Skill Set
- UEE30811 Certificate III in Electrotechnology Electrician (or any subsequently endorsed replacement qualification).

# Roles and responsibilities

The University operates within an agreed Scope of Registration which details the VE qualifications the University is authorised to deliver in Victoria, interstate and overseas as approved by ASQA.

The general compliance requirements for the Scope of Registration include:

- RMIT must ensure qualifications are registered within the Scope of Registration prior to commencing marketing (refer to Program Marketing Checklist), enrolment or delivery activities. It is an offence to undertake these activities for any qualifications not registered on the Scope.
- RMIT must not issue awards or statements of attainment for qualifications not listed on Schedule 5.1 or 5.1.1. It is an offence to do so and can result in the University being fined.
- RMIT must be able to demonstrate that they have the capacity to deliver and assess ALL training products on its Scope of Registration and meet the requirements of the Standards for Registered Training Organisations 2015 and the VET Funding Contract, including the Quality Charter, at all times.

RMIT will resource the pool of appropriately qualified panel nominees. The nominees will be refreshed on an annual basis and consist of a majority of VE school and college membership.

## Schools (program managers, HoS)

Are to ensure:

- applications for scope changes are done in a timely manner so no time pressures evolve, and students are not disadvantaged
- required program documentation (academic case etc.) is complete and of good standard and available by due dates
- internal school and college approvals and checks are completed and signed off before submitting program documents for endorsement
- RMIT Program and Course Approvals Processes are followed.

## College officers (DVC, ADG, SALT or equivalent)

Are to ensure:

- an efficient and timely process flow
- timely advice is provided to schools regarding required documents, process protocols and panel review dates
- program documents and information are submitted within timeframes stipulated and by due dates;
- all necessary documents are received from schools, are completed and appropriately signed
- quality checked completed documents submitted by schools are sent to the VE Quality and Compliance Advisory Group promptly
- assistance is provided to OVE and ARG when required
- communications of panel outcomes or process status is provided to schools and stakeholders promptly
- RMIT Program and Course Approvals Processes are followed.

### Contacts:

- SEH – SEH service account  
tel.9925 9909  
email: [SEH.VEPDA@rmit.edu.au](mailto:SEH.VEPDA@rmit.edu.au)
- DSC – DSC service account  
tel. 9925 4330  
email: [dscprogramapprovals@rmit.edu.au](mailto:dscprogramapprovals@rmit.edu.au)
- BUS – BUS service account  
tel. 9925 5761  
email: [bus.apgs@rmit.edu.au](mailto:bus.apgs@rmit.edu.au)

## Office of Vocational Education

Are to ensure:

- the development, implementation and continuous improvement of the Delegations quality assurance framework, processes and tools in conjunction with ARG's Academic Governance team
- the provision of training to Scope Sub-Group members (also panel members) in conjunction with IACRR
- panel receives completed program documentation at minimum five business days before the scheduled meeting
- the RMIT Program and Course Approvals Process (in relation to endorsement of VE proposals) is followed and relevant applications (new programs, superseded non-equivalent programs, accredited courses and discontinued programs with active students) from school's flow through Learning and Teaching Scope Sub-Group review and VE Quality and Compliance Advisory Group endorsement steps appropriately
- quality checked and endorsed scope applications submitted by schools are sent to ARG's Academic Governance team in a timely manner
- guidance materials for the VE Quality and Compliance Advisory Group and Scope Sub-Group are available to members.

### Contact:

- Email: [ve.quality@rmit.edu.au](mailto:ve.quality@rmit.edu.au)

## ARG's Academic Governance team

Are to ensure:

- The VE program approvals process is followed and relevant applications (new programs, superseded non-equivalent programs and discontinued programs with active enrolments) endorsed by the VE Quality and Compliance Advisory Group flow through to VE program approval panels appropriately
- endorsed scope applications submitted by VE Quality and Compliance Group are sent to ASQA Delegation Panels in a timely manner
- provision of central administration of all panel applications including scheduling and preparation of panel reviews
- panel quorum can be met, and composition of panel meets criteria
- coordination of panel meetings and provision of panel secretary to every panel meeting, and ensure adequate resources and facilities
- Chair and panel are supported with the operations of meetings and confirming decisions to be recorded
- completion of the panel worksheet (decision record) at each meeting
- advise CPA, VE Quality and Compliance Advisory Group Chair and relevant College DVC of panel outcomes
- timely turnaround of CEO/delegate signature required by CPA for asqanet
- appropriate management of delegations' records and filing in SharePoint
- current register of trained panel members is kept and refreshed annually in conjunction with colleges and OVE
- advising and providing guidance materials for panel members
- monitoring and internal review processes and activities

### Contact:

- Email: [academic.governance@rmit.edu.au](mailto:academic.governance@rmit.edu.au)

## Panel members

Are to:

- attend assigned panel meeting
- be prepared by reading materials prior to meeting
- openly declare any conflicts of interest
- ensure quorum can be met
- ensure efficient and effective operations of the panel
- ensure a decision is made on the day
- always act in the best interests of delegation responsibilities and with duty of care to regulatory standards
- demonstrate quality assurance processes and decisions are consistently applied
- ensure decisions made are evidence based and consistent with natural justice and procedural fairness
- participate constructively in committee activities in an ethical and justifiable manner
- ensure decisions are consistent with any regulatory and legal requirements
- ensure adequate procedures are followed for documenting decisions and actions of the Panel
- maintain confidentiality of Panel business, ensuring confidential records are subject to appropriate storage and access procedures
- respect confidential discussions and not misuse any information obtained through membership of the Panel.
- safeguard that outcomes lead to quality training and assessment, effectively managing transition arrangements and no disadvantage to students.

Duties of the Chair are summarised as follows:

- manage the process to ensure an outcome is reached on the day
- manage the timing and flow of the session for efficiency (meetings commence and end on time)
- the Chair is permitted to delegate the review of areas of the program documentation and questioning to lead panel discussion. This should be advised when documents are provided to the Panel, prior to the Panel meeting
- ensure the Panel is operating within its objectives and delegation and in accordance with the RMIT process
- maintain order and focus on meeting priorities
- lead and encourage relevant discussion on items and ensure all members' opinions are included and actively support participants to engage in discussion and decisions of the Panel
- manage and deal with any grievances and complaints arising from or between members
- if necessary, the Panel Chair may call upon a senior member of the Internal Audit Compliance Risk and Regulation team (IACRR) to provide clarity on compliance with RTO standards or the VE Quality Framework, this can be done prior or after a meeting of the Panel
- coordinate the Panel's overall findings, points of evidence, and decisions. and recommendations
- at each meeting attend to procedural matters.

## ARG's Course and Program Administration (CPA) team

Are to:

- ensure scope changes (of above type programs) are only made when official notification of approval is received from Academic Governance and CEO/delegate
- ensure process steps with asqanet portal requirements are attended to promptly (refer to "VE Program Approvals Panel process summary")
- advise school, college, OVE and Academic Governance promptly when program is on scope or programs have been removed
- keep a rolling log of additions/removals from scope as per these sections of ASQA Delegates reporting template.

### Contact:

- Email: [cpa@rmit.edu.au](mailto:cpa@rmit.edu.au)

## Internal Audit, Compliance Regulation and Reporting (IACRR)

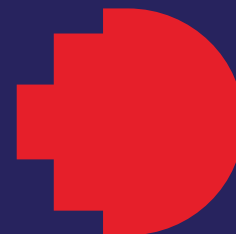
Are responsible for:

- the management of the Delegations agreement with ASQA
- communications with ASQA
- provision of training to scope sub-group/panel members
- advising and providing guidance materials for participants
- monitoring and internal review processes and activities
- reporting to ASQA on delegation activities by due dates.

### Contact:

- Kate Fitzgibbon  
tel. 9925 2952  
email: [catherine.fitzgibbon@rmit.edu.au](mailto:catherine.fitzgibbon@rmit.edu.au)





## Appendix 1 – Resources

Further information can be found at the [VE Program Approval SharePoint site](#), the [Program Review and Quality site](#) (under program approvals) and the [VE Essentials site](#). Access will require login to RMIT network and email.

### ASQA delegation process maps

- [Submit and Endorse Additions to RMIT Scope of Registration](#)
- [Submit and Approve Additions to RMIT Scope of Registration](#)
- [Monitoring and annual review process](#)

### Guidance material

- [Terms of Reference for Delegation Panel](#)
- [VE high risk programs](#)
- [Delegation Panel Guide – Reviewing Assessment Tools](#)
- [Program and Course Approval Process](#)
- [Program and Course Policy](#)

### Templates

- [VE Program Approval Panel worksheet](#)
- [Delegations quarterly report](#)
- [Program and Course forms](#) (for academic case, program configuration and discontinuation forms/templates)
- [VE Essentials](#)

