Federation University

2019 POLICY AND QUALITY SERVICES REPORT (P&QS)

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Contents

Quality Services

Quality Services proactively deliver a professional service to all University stakeholders; providing solution based outcomes, respectful communication and professional engagement.

Quality Services supports University regulatory compliance in higher education and VET, through the conducting of audits, the undertaking of gap analysis reviews, the provision of guidance on legislative requirements and the administration of the VET Scope of Registration.

Quality Services provides training as required to enhance skills and knowledge, and support the development and understanding of legislation and compliance requirements throughout the University Community. In addition, Quality provides assistance in developing and maintaining the regulatory and legislative compliance of policies and procedures, templates and Quality documents.

Responsibilities

1. Development of compliant tools and templates that support registration practices
2. Participate in the development of policies and procedures
3. Participate in sector networks and monitor trends and practice to provide advice to the University
4. Completion of annual self-assessment for the VET Funding Contract
5. Completion of annual ASQA Delegated Internal Review to maintain Delegate status
6. Completion and submission of Annual Quality Indicators
7. Submission of Annual Declaration of Compliance
8. Assist in the preparation of Professional Development training material and delivery of training
9. Interpret and disseminate regulatory compliance updates to key stakeholders
10. Maintain the University's VET Scope of Registration through ASQA delegate status
11. Conduct Internal audits to monitor compliance with regulatory bodies
12. Report Internal Audit Results to relevant committees and provide advice where applicable
13. Participate and provide advice at relevant internal stakeholder working groups and University committees

Performance Measures

2.1   Successful stakeholder engagement activities for 2019 have included:

1. Enhanced stakeholder relationships through consultative audits and educative support sessions
2. Membership and participation in committees and working groups
3. Maintenance of the Quality webpage
4. Development of compliance, education and support documentation for stakeholders.
5. Quality undertaking policy and procedure review and process management
6. Successful completion of scheduled Internal Audits and ad hoc External Audits for 2019

2.2   Successfully completed Audits

Quality Services have reviewed over 730 student and staff files during 2019. Audit activities conducted are as follows:

1.   Roll out of 2019 Quality Services Audit Schedule

2.   Audits conducted in consultation with stakeholders with live rectification opportunities

3.   Scope of Registration management

4.   Delegate management and reporting

5.   Completion of Internal Audit - Standards for Registered Training Organisations

6.   Completion of Delegate Agreement Internal Review

7.   External Audit - HESG Quality Review

8.   External Audit – ASQA - TAE50116 – Diploma of Vocational Education and Training

9.   VET Evidence of Participation Audits – 300 student files

10.   VET Evidence of Eligibility & Concession Audits – 50 student files

11.   VET Qualification Audits – 10 Qualifications across Scope of Registration

12.   VET Marketing Audit – 135 qualifications across Scope of Registration

13.   VET Additional File Check Audits– 200 student files

14.   VET Third Party Delivery Contract Reporting 36 Contracts

15.   VET Staff Qualification Audits – 30 staff files

16.   VET Evidence of Assessment Audits – 100 students

17.   VET Request to enrol in superseded qualifications – 10 qualifications

18.   VET Certification Issuance Audit – 50 students

19.   HE Academic Staff Qualifications and Equivalency Audit

20.   HE Academic Integrity Audit

21.   HE Testamur Issuance Audit

Recent Achievements/Improvements

Quality Services conducted a first time - full internal audit against the Standards for Registration of Training Organisations. This audit identified a complete list of non-compliant activities within the standards, which was presented to VETCQC. Senior TAFE Management, in consultation with Quality Services have developed a clear two phase plan to address the non-compliances and develop a long term compliant business as usual culture within TAFE that will assist in eliminating future non-compliances.

3.1   Other achievements for 2019 are as follows:

1.   Continued HESG process improvement activities

2.   Improved regulatory understanding from VET stakeholders

3.   Educative audits enhancing relationships with VET stakeholders

4.   Significant number of audits conducted given resourcing restrictions

5.   Increase to number of Higher Education Audits conducted and further increases planned for 2020

6.   Hosted the 25th Anniversary QuIET (Quality in Education and Training Network) Conference in July 2019

3.2   Just-in-Time Support

Just-in-time support has been delivered to Education Managers and their staff with scheduled support sessions and assistance which focus on key compliance matters specific to recent audit results and / or educative needs for teaching/assessing staff.

Future sessions are planned for 2020.

Current Challenges/Future Initiatives

4.1   Current Challenges

- Continue to monitor rectifications and ensure ongoing compliance
- Continue to conduct VET and Higher Education audits to validate internal quality processes.
- Review level of support for TAFE Program Areas
- Review and improve Quality systems and documentation and templates to ensure ongoing compliance
- Continue to develop and review policies and procedures
- Monitor contractual compliance with regulatory bodies
- Monitor and maintain reporting and registration requirements for ASQA Delegate Status

4.2   Future Initiatives

The Policy and Quality Services Office has relocated from under the direction of Corporate Governance to the Academic Portfolio reporting to the Pro Vice-Chancellor (Teaching Quality & Innovation). This will be an exciting transition period for Policy and Quality Services as the department will have new opportunities to develop relationships with HE stakeholders.

Policy Office

The purpose of the Policy Office is to maintain and analyse the policy library and provide support to policy content developers around policy currency, gaps and sector benchmarking.

Responsibilities

1.   Ensure that the correct process is followed when creating/amending/rescinding policies

2.   Provide advice and guidance to policy owners on correct process

3.   Create/update policy documents in the Policy Administration Management System (PAMS)

4.   Provide policy writing support to content developers, particularly documents aimed at addressing legislative/regulatory gaps

5.   Maintain the University's Policy Central website

6.   Provide status reports to Academic Board and its standing committees

7.   Monitor currency and relevancy of policy documents

8.   Report and advise Policy Owners of status of policies/procedures due for action

Performance Measures

During 2019, the following was completed

1.   Full review completed (including Uni-wide comment) - 32 Policy documents

2.   Minor amendments completed (not including Uni-wide comment) – 61 documents

3.   Forms updated - 155 documents

4.   Policies rescinded – 5 documents

Recent Achievements/Improvements

The Policy Writer has had significant input in Higher Education Audit processes during 2019 to align with Policy development and working groups in areas of Academic Integrity and Academic Misconduct.

Other achievements have included:

1. Maintained service levels to the University community with limited staffing resources, one 0.8 staff member while Policy Administrator has been on secondment (since late 2018). Policy Office has maintained good working relationships with stakeholders.

2. Development of more detailed work instructions to assist the Policy Writer to undertake policy administration tasks

3. Tailored approach for policy owners in relation to scheduled review notifications making it easier to identify next steps in process

4. Provide clarification around definition of minor and major amendments to policy documents. This has streamlined the process for stakeholders and provided clear advice on what constitutes a minor or major amendment.

Current Challenges/Future Initiatives

4.1   Current Challenges

1. Continuing to maintain service levels with limited resourcing. Significantly impacts our capacity to provide quality policy writing services.

2. Policy administration tasks take priority and are highly labor intensive as revision/s need to be entered manually.

3. Maintaining currency of the Policy library.   Policy owners are responsible for ensuring that updates occur. The Policy Office provide owners with policy/procedure/review status - it is then the owner's responsibility to action reviews.   This approach means that documents can be left under review for years at a time if no action is undertaken. A review of the current reporting mechanism needs to be undertaken.

4. Planning work tasks/projects with strategic Policy development is difficult when the volume of policy administration tasks is unpredictable.

4.2   Future Initiatives

1. Rebranding of policy and procedures through consultation with CeRDI

2. Streamlining suites of policy documents which will reduce overall administration and the amount of reviews, benefiting both the Policy Office and policy owners.

3. Enhance policy mapping tools to assist in identifying streamlining process opportunities.

4. Provide more user friendly information on Policy Central about the policy update process to assist policy owners more easily action different types of updates (scheduled reviews, non-scheduled reviews, major vs, minor updates).

4.3   Just-in-Time Support

Just-in-time support is delivered to the University community with updating forms, policies and procedures and other support documents within PAMS. Professional support is provided to assist stakeholders with policy and procedure development throughout the development from drafting to publishing.

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End of report