

# RTO Quality Management Manual

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PREPARED BY: COLIN TAYLOR

## Head Office

(02) 9618 6277  
info@efficiencyworks.com.au

Level1, Suite 110  
1 Centennial Drive  
Campbelltown NSW 2560

# Introduction

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## Standards for Registered Training Organisations (RTOs)

Efficiency works Pty Ltd is a Registered Training Organisation (RTO) and is committed to operating within the Standards for Registered Training Organisations (RTO's) that were endorsed by the Council of Australian Governments (COAG) Industry and Skills Council in 2014. The Standards are enabled by the National Vocational Education and Training Regulator Act 2011 (NVR Act).

These Standards form part of the VET Quality Framework, a system which ensures the integrity of nationally recognised training in Australia. RTOs are required to comply with the VET Quality Framework at all times. As the national regulator for the VET sector, ASQA regulates training providers against the VET Quality Framework.

## Efficiency Works Integrated Management System

The purpose of this document is to:

- ☒ Describe how Efficiency Works meet the requirements to be an RTO in Australia.
- ☒ Ensure that training delivered by Efficiency Works meets industry requirements (as set out in training packages and accredited courses)
- ☒ Ensure Efficiency Works operates ethically and considers the needs of both students and industry

## Related Legislation and Standard

Other relevant standards that are applicable and considered in this management system include:

- ☒ Standards for Training Packages 2012, which govern the design and development of training packages
- ☒ Standards for VET Accredited Courses 2012, which apply to the course design of VET accredited courses
- ☒ Standards for VET Regulators 2015, which outline the outcomes that VET regulators, including ASQA, must achieve in their regulation of the standards applying to RTOs and VET-accredited courses.

## Australian Qualifications Framework

The AQF establishes the quality of Australian qualifications. Implementation of the current AQF commenced on 1 July 2011.

The AQF is the national policy for regulated qualifications in the Australian education and training system. It incorporates the quality-assured qualifications from each education and training sector into a single comprehensive national qualifications framework. As well as applying to VET, the AQF applies across school and higher education.

While some parts of the AQF are primarily intended for course development rather than training delivery, delivery of training products must ensure students have the opportunity to properly develop the skills and knowledge that have been described in the training package or course document. By ensuring that delivery aligns to the AQF in the same way training product design does, the skill level and employability of VET graduates is assured.

Efficiency Works is required to be fully compliant with all aspects of the AQF.

# RTO Quality Framework

The IMS Framework follows the five phases of the student's journey, grouping the relevant Standards (and clauses) against each stage.

Element	Objective	ASQA Standard
1. Marketing & Recruitment	Provide accurate and factual information to allow prospective students to make informed decisions	4.1, 2.3*, 2.4*
2. Enrolment	Ensure students have the existing skills, knowledge and experience required to successfully undertake the course	5.1, 5.2, 5.3, 7.3
3. Support & Progression	Students' needs are assessed by the RTO and the RTO provides appropriate support services to enable student progression	1.7
4. Training & Assessment	Trainers assigned to deliver training are qualified. The amount of training and mode of delivery is consistent with requirements	1.1, 1.2, 1.3, 1.8, 1.13 to 1.18, 1.20, 8.2
5. Completion	Only students assessed as meeting course or training package requirements are issued with AQF certificates	3.1, 3.3
6. Compliance & Governance	RTO operates within legislative framework	7.1, 7.2, 2.1, 8.4 to 8.6, 2.3 to 2.4, 8.3, 7.4, 7.5, 8.1, 8.2



# 1. Marketing & Recruitment

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This section focuses on a student's experience of marketing and recruitment, the first phase of their journey.

To provide Students and employers with clear, accurate and readily accessible information to make informed choices about the training that will best meet their needs, Efficiency Works will:

1. Ensure all information in relation services offered is fully disclosed and that the services advertised will match the services provided or contracted by Efficiency Works.
2. Obtain and retain permission for the use of any person's image or name or any other organisations' identity in marketing materials.
3. Will not advertise or market accredited courses, qualifications or units of competency that are not on its scope of registration.
4. Ensure that the Nationally Recognised Training (NRT) logo is used to promote and certify national vocational education and training leading to Australian Qualifications Framework (AQF) qualifications or Statements of Attainment in accordance with the conditions of use for the NRT logo, as per the following:

 Inclusion of the NRT logo on all Testamurs (when the training delivered is covered by the RTO's scope of registration). A testamur is defined by the AQF as 'an official certification document that confirms that a qualification has been awarded to an individual'. References to 'testamurs' on this page refer only to official documents that confirm that an AQF qualification has been awarded to an individual.

 The NRT logo is not to be used on the record of results.

 Efficiency Works may use the NRT logo to promote training recognised under the AQTF if training is within the RTO's scope of registration.

 Impressions must not be created which may lead an observer to conclude the NRT logo applies to all training provided by the RTO, if this is not the case. The NRT logo cannot be used by an RTO where the training is accredited but is outside the scope of registration of the RTO.

 Use of the NRT logo is only permitted where there is a direct relationship to an accredited AQF aligned course, Training Package qualification or a course meeting the requirements of the AQTF.

 The NRT logo must not be used on products such as corporate stationery, business cards, building signage, mouse pads, pens, satchels, packaging around products nor learning resources supporting training.

 The NRT logo can only be reproduced from hard or electronic copies provided by the registering/course accrediting body in the State or Territory where the RTO is registered.

 The NRT logo consists of both the triangular shape and the descriptor. The triangle is not to be used without the descriptor. The typeface is Fritz Quadrata. Under no circumstances is the descriptor to be typeset in any other typeface.



- ④ The complete NRT logo may be varied in size. Although the proportions of the triangle and the descriptor in relation to each other may not be varied. Under no circumstance is the logo to be reproduced in mirror image or be rotated.
  - ④ Where the NRT logo is reproduced in colour, it must comply with the following colour requirements. Deviation from these colours is not permitted, nor are colours to be swapped around or stippled. The only colours to be used are:
    - GREEN PMS 343
    - RED PMS 192
  - ④ Where the NRT logo is reproduced in one colour, it should preferably be in GREEN PMS 343 or, where this is not suitable, it may be reproduced in black. In some situations, the background colour may clash or the logo may not be prominent. In those situations, the black logo may be reversed out to display in white.
5. Marketing includes any website information, advertising banners, flyers, faxes, emails, handbooks, prospectus or other materials that promote the services of EW.



## 6. Enrolment

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This section focuses on the student's enrolment experience with their registered training organisation (RTO), the second phase of the student's journey.

### Inform and Protect Students

1. Prior to enrolment or the commencement of training and assessment, whichever comes first, Efficiency Works will provide advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.
2. Prior to enrolment or the commencement of training and assessment, whichever comes first, Efficiency Works provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:
  - a. the code, title and currency of the training product to which the learner is to be enrolled, as published on the national register
  - b. the training and assessment, and related educational and support services the RTO will provide to the learner including the:
    - i. estimated duration
    - ii. expected locations at which it will be provided
    - iii. expected modes of delivery
    - iv. name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the learner on the RTO's behalf
    - v. any work placement arrangements
  - c. the RTO's obligations to the learner, including that the RTO is responsible for the quality of the training and assessment in compliance with these Standards, and for the issuance of the AQF [Australian Qualifications Framework] certification documentation
  - d. the learner's rights, including:
    - I. details of the RTO's complaints and appeals process
    - II. if the RTO, or a third-party delivering training and assessment on its behalf, closes or ceases to deliver any part of the training product that the learner is enrolled in.
  - e. the learner's obligations:
    - I. in relation to the repayment of any debt to be incurred under the VET [Vocational Education and Training] FEE-HELP scheme arising from the provision of services
    - II. any requirements the RTO requires the learner to meet to enter and successfully complete their chosen training product
    - III. any materials and equipment that the learner must provide
  - f. information on the implications for the learner of government training entitlements and subsidy arrangements in relation to the delivery of the services
3. Where the Efficiency Works collects fees from the individual learner, either directly or through a third party, Efficiency Works provides or directs the learner to information prior to enrolment or the commencement of training and assessment, whichever comes first, specifying:

- a. all relevant fee information including
  - i. fees that must be paid to the RTO
  - ii. payment terms and conditions including deposits and refunds.
- b. the learner's rights as a consumer, including but not limited to any statutory cooling-off period, if one applies
- c. the learner's right to obtain a refund for services not provided by the RTO in the event the:
  - i. arrangement is terminated early
  - ii. the RTO fails to provide the agreed services

### Protecting Pre-paid Fees Paid by Students

'Prepaid fees' (sometimes referred to as 'fees collected in advance') means fees that are collected before the relevant services have been provided. These include payments made at any time before, during or after the student enrolls. Any payment received before a service is delivered is unearned revenue and is a liability that will be paid back, either through service delivery or as a refund.

Where an RTO collects more than \$1500 per learner in prepaid fees, you must take action to protect the prepaid fees that exceed \$1500 for each student. An RTO may apply different protection measure options to cover prepaid fees of different students, depending on circumstances. For instance, there may be reasons why an RTO opts to cover the prepaid fees of one student with an unconditional financial guarantee and the prepaid fees of another student through membership of an approved tuition assurance scheme. If your RTO never receives more than \$1500 in prepaid fees from any student, you do not have to take further action to protect the fees of students.

Efficiency Works will not collect more than \$1500 in prepaid fees from a prospective or current student.

### Accept and Provide Credit to Learners

Where the Efficiency Works collects fees from the individual learner, either directly or through a third party, Efficiency



## 7. Support & Progression

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This section focuses on how registered training organisations (RTOs) support students' progression in their learning. This is the third phase of the student journey.

Under the Standards for Registered Training Organisations (RTOs) 2015 (the Standards) relevant to the support and progression phase of the student journey, Efficiency Works is responsible for:

- 📄 supporting students (clause 1.7)
- 📄 keeping students informed (clause 5.4)
- 📄 managing complaints and appeals (clauses 6.1 to 6.6)

Efficiency Work will have a publicly available complaints and appeals policy. Allowing learners to easily engage with staff about their concerns to prevent minor issues becoming larger and provide valuable feedback that can be used to improve services.

Educational and support services will include, but are not limited to:

- 📄 Pre-enrolment materials
- 📄 Study support and study skills programs
- 📄 Language, literacy and numeracy (LLN) programs or referrals to these programs
- 📄 Equipment, resources and/or programs to increase access for learners with disabilities and other learners in accordance with access and equity
- 📄 Learning resource centres
- 📄 Mediation services or referrals to these services
- 📄 Flexible scheduling and delivery of training and assessment
- 📄 Counselling services or referrals to these services
- 📄 Information and communications technology (ICT) support
- 📄 learning materials in alternative formats, for example, in large print
- 📄 learning and assessment programs contextualised to the workplace

Efficiency Works determines the support needs of individual learners and provides access to the educational and support services necessary for the individual learner to meet the requirements of the training product as specified in training packages or VET [vocational education and training] accredited courses.

Where there are any changes to agreed services, Efficiency Works will advise the learner as soon as practicable, including in relation to any new third-party arrangements or a change in ownership or changes to existing third party arrangements.

Complaints and appeals are recorded, acknowledged, and dealt with fairly, efficiently, and effectively. Efficiency Works has a complaints policy to manage and responds to allegations involving the conduct of:

- 📄 Efficiency Works, its trainers, assessors, or other staff
- 📄 a third-party providing services on behalf of Efficiency Works, its trainers, assessors, or other staff

-  a learner of Efficiency Works

Efficiency Works has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by Efficiency Works or a third-party providing services on its behalf.

-  Efficiency Work complaints policy and appeals policy:
-  Ensures the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process
-  Is publicly available
-  Sets out the procedure for making a complaint or requesting an appeal
-  Ensures complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable
-  Provides for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

Where Efficiency Works considers more than 60 calendar days are required to process and finalise the complaint or appeal, it will:

-  Inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required
-  Regularly updates the complainant or appellant on the progress of the matter

Efficiency Works will:

-  Securely maintains records of all complaints and appeals and their outcomes
-  Identify potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.



## 8. Training & Assessment

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This section focuses on the training and assessment phase of the student's experience. High-quality training and assessment means students are well equipped for employment or further study; their qualification is seen as credible when they enter the job market; and they are judged by employers as holding the skills and competencies specified in their qualification. In turn, high-quality training and assessment means that employers can have confidence that vocational education and training (VET) graduates in the workplace will safely and productively apply the skills described by their qualification.

### Implementing, monitoring and evaluating training and assessment strategies and practices

Efficiency Works training and assessment strategies and practices, including the amount of training they provide, are consistent with the requirements of training packages and VET accredited courses and enable each learner to meet the requirements for each unit of competency or module in which they are enrolled.

Efficiency Works determines the amount of training they provide to each learner with regard to:

- Existing skills, knowledge and the experience of the learner
- The mode of delivery
- Where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification

Efficiency Works will maintain, for all its scope of registration, and consistent with its training and assessment strategies, sufficient:

- Trainers and assessors to deliver the training and assessment
- Educational and support services to meet the needs of the learner cohort/s undertaking the training and assessment
- Learning resources to enable learners to meet the requirements for each unit of competency, and which are accessible to the learner regardless of location or mode of delivery
- Facilities, whether physical or virtual, and equipment to accommodate and support the number of learners undertaking the training and assessment.

Efficiency Works shall meet all requirements specified in the relevant training package or VET accredited course.

Efficiency Works shall:

- Systematically monitors training and assessment strategies and practices to ensure ongoing compliance.
- Systematically evaluates and uses the outcomes of the evaluations to continually improve training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected, client trainer and assessor feedback and complaints and appeals.

## Engage with Industry

Efficiency Works training and assessment practices are relevant to the needs of industry and informed by industry engagement.

Efficiency Works implements a range of strategies for industry engagement and systematically uses the outcome of that industry engagement to ensure the industry relevance of:

-  Its training and assessment strategies, practices, and resources
-  The current industry skills of its trainers and assessors.

## Conduct Effective Assessment

Efficiency Works implements an assessment system that ensures that assessment (including recognition of prior learning):

Complies with the assessment requirements of the relevant training package or VET accredited course  
Is conducted in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2

**Table 1.8-1: Principles of assessment**

<b>Fairness</b>	<p>The individual learner's needs are considered in the assessment process.</p> <p>Where appropriate, reasonable adjustments are applied by Efficiency Works to takes into account the individual learner's needs.</p> <p>Efficiency Works informs the learner about the assessment process and provides the learner with the opportunity to challenge the result of the assessment and be reassessed if necessary.</p>
<b>Flexibility</b>	<p>Assessment is flexible to the individual learner by:</p> <ul style="list-style-type: none"> <li> Reflecting the learner's needs</li> <li> Assessing competencies held by the learner no matter how or where they have been acquired</li> <li> Drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual</li> </ul>
<b>Validity</b>	<p>Any assessment decision of the RTO is justified, based on the evidence of performance of the individual learner.</p> <p>Validity requires:</p> <ul style="list-style-type: none"> <li> Assessment against the unit/s of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance.</li> <li> Assessment of knowledge and skills is integrated with their practical application</li> <li> Assessment to be based on evidence that demonstrates that a learner could demonstrate these skills and knowledge in other similar situations.</li> <li> Judgement of competence is based on evidence of learner performance that is aligned to the unit/s of competency and associated assessment requirements.</li> </ul>
<b>Reliability</b>	<p>Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment</p>

**Table 1.8-2: Rules of evidence**

<b>Validity</b>	The assessor is assured that the learner has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.
<b>Sufficiency</b>	The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgement to be made of a learner's competency
<b>Authenticity</b>	The assessor is assured that the evidence presented for assessment is the learner's own work
<b>Currency</b>	The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

## Employ Skilled Trainers and Assessors

Efficiency Works training and assessment is delivered only by persons who have:

-  Vocational competencies at least to the level being delivered and assessed
-  Current industry skills directly relevant to the training and assessment being provided
-  Current knowledge and skills in vocational training and learning that informs their training and assessment.

Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.

Efficiency Works ensures that all trainers and assessors undertake professional development in the fields of the knowledge and practice of vocational training, learning and assessment including competency-based training and assessment.

### Trainer and assessor requirements

<b>Trainers &amp; Assessors</b>	Trainers and assessors must hold: <ul style="list-style-type: none"> <li> TAE40116 Certificate IV in Training and Assessment or its successor</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li> TAE40110 Certificate IV in Training and Assessment plus the following units: <ul style="list-style-type: none"> <li>– TAELLN411 (or its successor) or TAELLN401A, and</li> <li>– TAEASS502 (or its successor) or TAEASS502A or TAEASS502B</li> </ul> </li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li> A diploma or higher-level qualification in adult education</li> </ul>
<b>Assessors</b>	Anyone who provides assessment only (i.e. does not deliver training) must hold the: <ul style="list-style-type: none"> <li> TAESS00011 Assessor Skill Set or its successor</li> </ul> <p style="text-align: center;"><b>or</b></p> <ul style="list-style-type: none"> <li> TAESS00001 Assessor Skill Set, plus one of the following:</li> </ul>

- 
- TAEASS502 Design and Develop Assessment Tools, or
  - TAEASS502A Design and Develop Assessment Tools, or
  - TAEASS502B Design and Develop Assessment Tools.

Or

-  TAE40116 Certificate IV in Training and Assessment or its successor

or

-  TAE40110 Certificate IV in Training and Assessment plus the following units:

- TAELLN411 (or its successor) or TAELLN401A
- TAEASS502 (or its successor) or TAEASS502A or TAEASS502B

or

-  A diploma or higher level qualification in adult education.
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## Provide Supervision of Trainers where Needed

Where Efficiency Works, in delivering training and assessment, engages an individual who is not a trainer or assessor, the individual works under the supervision of a trainer and does not determine assessment outcomes.

Efficiency Works ensures that any individual working under the supervision of a trainer:

-  Holds the appropriate training and assessment credential
-  Has vocational competencies at least to the level being delivered and assessed
-  Has current industry skills directly relevant to the training and assessment being provided

Efficiency Works:

-  Determines and puts in place:
  - the level of the supervision required
  - any requirements, conditions or restrictions considered necessary on the individual's involvement in the provision of training and collection of assessment evidence
-  Ensures that trainers providing supervision monitor and are accountable for all training provision and collection of assessment evidence by the individual under their supervision.

## Employ Experts to Teach Trainers and Assessors

Efficiency Works will ensure all trainers and assessors delivering the training and assessment hold the training and assessment qualification at least to the level being delivered.

To deliver the training and assessment credential or any assessor skill set from the Training and Education Training Package (or its successor), the Efficiency Works will ensure all trainers and assessors delivering the training and assessment:

-  Hold the relevant training and assessment credential; or

- ☒ Work under the supervision of a trainer that meets the requirement set out in a) above.

Efficiency Works will ensure that any person working under:

- ☒ Does not determine assessment outcomes
- ☒ Holds the relevant training and assessment credentials

## Independent Validation of Training and Assessment Qualifications

To deliver any AQF qualification or assessor skill set from the Training and Education Training Package (or its successor), the Efficiency Works will undergo independent validation of its assessment system, tools, processes and outcomes.

Validation will be carried out by someone who does not have an involvement with Efficiency Works other than conducting the validation activity.

## Manage Transition from Superseded Training Products

Efficiency Works shall ensure:

- ☒ Where a training product on its scope of registration is superseded, all learners' training and assessment is completed and the relevant AQF certification documentation is issued or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the national register.
- ☒ Where an AQF qualification is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of two years from the date the AQF qualification was removed or deleted from the national register.
- ☒ Where a skill set, unit of competency, accredited short course or module is no longer current and has not been superseded, all learners' training and assessment is completed and the relevant AQF certification documentation issued within a period of one year from the date the skill set, unit of competency, accredited short course or module was removed or deleted from the national register
- ☒ A new learner does not commence training and assessment in a training product that has been removed or deleted from the national register

The above requirements do not apply where a training package requires the delivery of a superseded unit of competency.



## 9. Completion

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This section focuses on the completion phase of the student's experience with Efficiency works; the end of their training and assessment; and the issuance of their certification. This is the fifth and final phase of the student's journey. The integrity of qualifications issued is critically important to students (and their employers). They need to be confident that their training and assessment has been high quality. Students want to receive their certification in a timely way to ensure they are not disadvantaged in seeking employment.

### Provide Secure Certification

AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and providing all agreed fees the learner owes to the RTO have been paid.

Records of learner AQF certification documentation is maintained by Efficiency Works and accessible to current and past learners.

Efficiency Works shall ensure that:

-  Certification is only issued to students that have fully demonstrated competence in all training product requirements.
-  Evidence of this can be demonstrated.

### Credibility of VET sector qualifications

To ensure the credibility of VET sector qualifications Efficiency Works will meet the requirements of the AQF Qualifications Issuance Policy.

All issuance of testamurs will be by Efficiency Works. A non-RTO third party cannot offer to provide or provide a VET course under its own name and as such cannot issue qualifications or statements of attainment in its own name or with its logo included.

Efficiency Works will ensure qualifications or statements of attainment are not issued until it has obtained and verified a Unique Student Identifier (USI) for that person (unless exempt).

When issuing certification:

-  Issue in a timely manner, so students can provide proof of their competence to employers (or potential employers) and obtain any industry licences or accreditation. Providing all fees have been paid, AQF certification documentation must be issued within 30 calendar days of the student exiting their course or the student's final assessment being completed.
-  Issue AQF certification documentation directly to the student, not to another party, such as an employer.
-  Issue students who have completed all units or modules in a qualification with a testamur and a record of results
-  Issue a student who has completed one or more units/modules (but not a full qualification) and has finished their training with Efficiency Works with a statement of attainment (a record of results may also be issued in this case)
-  Ensure students can access records of certification issued to them.

In accordance with the AQF Qualifications Register Policy, as an issuing organisation Efficiency Works will:

- ☒ Maintain a register of all AQF qualifications it is authorised to issue
- ☒ Maintain a register of all AQF qualifications it issues to graduates.

Efficiency Works will ensure that it has processes in place to verify a student's USI well in advance of when certification is expected to be issued. Where practical collect and verify a student's USI at the point of their initial enrolment. AQF certification documentation will only be issued when a student has completed their program of training and assessment.

### **Record Retention**

Records of qualifications and statements of attainment issued will be retained for 30 years. Full Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data gathered and retained will suffice. Efficiency Works will retain sufficient data to be able to reissue a qualification or statement of attainment during this 30-year period, regardless of the storage method used. If Efficiency Works ceases being an RTO, records will be provided to ASQA in digital form.

### **Ensure that Current and Past Students are able to Access Records of Their Achievements**

All students who have provided a verified USI, and whose results have been reported into the national VET provider collection, will be able to access their records through the USI system. If a student's achievements have not been recorded through the USI system, Efficiency Works will have processes in place to ensure that this student can access their records in another way.

## **Participate in the Student Identifier Scheme**

Efficiency Works will meet the requirements of the Student Identifier scheme, including:

- ☒ Verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
- ☒ Ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual unless an exemption applies under the Student Identifiers Act 2014.
- ☒ Ensuring that where an exemption applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.
- ☒ Ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.



## 10. Compliance & Governance

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The Standards for Registered Training Organisations (RTOs) 2015 (the Standards) and clauses relevant to registered training organisations' (RTOs) regulatory compliance, reporting and governance practice underpin the good management of RTOs—and, as a result, effective functioning and sustainability of Efficiency Works.

Efficiency Works is committed to providing high-quality student experiences and learning outcomes. Under the ASQA Standards relevant to regulatory compliance and governance, Efficiency Works is responsible for:

-  Ensuring authorised executive officers are in place and meet Fit and Proper Person Requirements
-  Satisfying Financial Viability Risk Assessment Requirements
-  Complying and reporting
-  Recording, monitoring and reporting third party arrangements
-  Holding public liability insurance
-  Meeting Data Provision Requirements
-  Providing requested information to ASQA

### Authorised Officers

Efficiency Works ensures that its executive officers or high managerial agent:

-  Are vested with sufficient authority to ensure compliance with the RASQATO Standards at all times.
-  Meet each of the relevant criteria specified in the Fit and Proper Person Requirements in Schedule 3.

Managers have delegated authority to ensure that Efficiency Works complies with the Standards at all times. All executive officers (defined by the National Vocational Education and Training Regulator Act 2011 (NVR Act) as anyone who has a role in managing the RTO or who owns more than 15 per cent) and high managerial agents (defined by the NVR Act as anyone with responsibilities that may represent the organisation) of your RTO meet all relevant ASQA criteria of the Fit and Proper Person Requirements at all times. A 'fit and proper person' declaration, including any relevant disclosures, is provided in accordance with ASQA's requirements, when:

-  Upon initial registration or to renew registration as an RTO
-  Engagement of a new manager or agent (on either an employment, contract or volunteer basis)
-  A person procures more than 15 per cent of the RTO's ownership (either directly or through their ownership of another corporation).

An annual declaration on compliance, will be provided to testify that:

-  All executive officers and high managerial agents have been reported to ASQA
-  That they continue to meet the Fit and Proper Person Requirements.

ASQA will assess whether Efficiency Works satisfies the Fit and Proper Person Requirements for initial or continued registration. ASQA will be advised if anything happens that means one or more people may no longer meet the requirements.

## Assessment of Financial Viability Risk

Efficiency Works is required to present an acceptable level of financial viability risk at all times (this includes considering any parent entities). ASQA assesses each RTO's financial viability risk to evaluate the likelihood of business continuity and capacity to achieve quality outcomes, as outlined in the Financial Viability Risk Assessment Requirements 2011. ASQA considers this against the potential for adverse consequences if your entity collapses or becomes unviable and makes a judgement about whether the level of risk is acceptable, unacceptable, or requires additional controls.

To enable a preliminary financial viability risk assessment, the initial registration Efficiency Works provides:

- 📄 A range of financial sustainability information
- 📄 Independent certification.

Efficiency Works may also be required to undergo a financial viability risk assessment at any other time.

Efficiency Works will maintain evidence of acceptable financial risk for review as required including:

- 📄 Financial statements and tax recordsIndependent certification.
- 📄 Business plans or projections
- 📄 Australian Securities and Investments Commission (ASIC) reports
- 📄 Dependency statements
- 📄 Independent financial assessments or audit opinions
- 📄 Government contracts.

## Compliance and Reporting

Efficiency Works ensures it complies with these Standards at all times, including where services are being delivered on its behalf.

Efficiency Works provides an annual declaration on compliance with ASQA Standards to the VET [vocational education and training] regulator and in particular whether it:

- 📄 Currently meets the requirements of the Standards across all its scope of registration and has met the requirements of the Standards for all AQF [Australian Qualifications Framework] certification documentation it has issued in the previous 12 months
- 📄 Has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards

Efficiency Works actively monitors and complies with Commonwealth, state and territory legislation and regulatory requirements relevant to its operations ensuring its staff and clients are informed of any changes to legislative and regulatory requirements that affect the services delivered. Legislative and regulatory compliance include but not limited to:

- 📄 NVR Act and the legislative instruments it enables
- 📄 VET Quality Framework
- 📄 Legislation, regulations and standards related to delivery of training to overseas students
- 📄 VET Student Loans legislation and rules
- 📄 Workplace health and safety legislation and regulations

- 📄 Anti-discrimination legislation and regulations
- 📄 Consumer protection requirements.

## Recording, Monitoring and Reporting Third-party Arrangements

Efficiency Works ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.

Efficiency Works will notify the Regulator:

- 📄 Of any written agreement entered into for the delivery of services on its behalf within 30 calendar days of that agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first, and
- 📄 Within 30 calendar days of the agreement coming to an end.

Efficiency Works is responsible for all services delivered under its registration, regardless of where these are conducted, including in other countries. This responsibility applies to all your obligations, including:

- 📄 Providing data
- 📄 Cooperating with ASQA
- 📄 Complying with advertising and marketing standards
- 📄 Informing prospective students
- 📄 Dealing with complaints and appeals
- 📄 Collecting fees
- 📄 Record-keeping.

Written agreements **are required** with any third party that delivers services under Efficiency Works RTO's registration, including services such as:

- 📄 Training and/or assessment
- 📄 Providing educational and support services
- 📄 Recruiting prospective students.

The requirement for a written agreement **does not apply** when:

- 📄 Engagement of hire trainers and/or assessors as contractors
- 📄 Efficiency Works makes arrangements for advertising its services
- 📄 A workplace supervisor contributes to evidence collection or training

## Provide Accurate Information about Performance and Governance

Efficiency Works provides accurate and current information on its performance and governance consistent with the Data Provision Requirements as updated from time to time.

Efficiency Works is responsible for providing accurate information about their performance and governance. The ASQA Data Provision Requirements outline information that your Efficiency Works is required to submit. Apart from information required with applications, this falls generally into two categories:

- ☑ Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data
- ☑ Quality indicator data.

### **National VET provider collection data**

AVETMISS is a national VET data standard that ensures the consistent and accurate capture and reporting of VET information about students, providers, courses and training outcomes. The National Centre for Vocational Education Research (NCVER) is the custodian of the Standard, which forms the basis for collecting data for the national VET provider collection. Information on AVETMISS is available from the NCVER website.

Efficiency Works will obtain and report full AVETMISS data for all learners, except for specified training that is exempt under the National VET Provider Collection Data Requirements Policy.

### **Quality indicator data/quality survey**

Efficiency Works will collect quality indicator data using the required learner engagement and employer satisfaction questionnaires and provide an annual summary report of performance against the learner engagement and employer satisfaction quality indicators to ASQA using one of the following systems:

- ☑ The survey management, analysis and reporting tool
- ☑ ASQA's quality indicator annual summary report template.

Quality indicator data reports for the previous calendar year (1 January to 31 December) will be submitted in full to [qidata@asqa.gov.au](mailto:qidata@asqa.gov.au) by close of business 30 June each year.

### **National VET provider collection data—due by the end of February each year**

Efficiency Works will retain evidence that they have submitted full AVETMISS data for all learners as required in the Data Provision Requirements 2012. This is due annually by the end of February for the previous calendar year. If Efficiency Works has not conducted VET activity—that is, no student enrolment, training/assessment delivery or AQF certification issuance—in the previous calendar year are still required to report this through the AVETMISS validation system.

### **Quality indicator data—due to ASQA in June each year/quality surveys**

Efficiency Works will retain evidence they have collected and/or submitted quality indicator data—or, if they have been registered for less than a year, that they will be able to submit quality indicator data—using the required learner engagement and employer satisfaction questionnaires. This is due to ASQA annually by 30 June for the previous calendar year

## **Hold public Liability Insurance**

Efficiency Works is responsible for ensuring they hold public liability insurance throughout their registration period. Efficiency Works will hold public liability insurance to cover all training and/or assessment activities it provides as an RTO.

Efficiency Works will retain evidence that they hold public liability insurance by keeping a copy of a certificate of currency or similar. The evidence provided will:

- ☑ Identify that Efficiency Works is covered by the policy
- ☑ Either confirm that training and assessment activities are covered, or that there are no restrictions on the activities covered

## Provide Requested Information to ASQA

Efficiency Works will cooperate with the VET Regulator:

-  By providing accurate and truthful responses to information requests from the VET Regulator relevant to the RTO's registration
-  In the conduct of audits and the monitoring of its operations
-  By providing quality/performance indicator data
-  By providing information about substantial changes to its operations or any event that would significantly affect the RTO's ability to comply with these standards within 90 calendar days of the change occurring
-  By providing information about significant changes to its ownership within 90 calendar days of the change occurring
-  In the retention, archiving, retrieval and transfer of records

Efficiency Works is responsible for:

-  Cooperating with ASQA
-  Ensuring any third party delivering services on the RTO's behalf is required to cooperate with ASQA.

Efficiency Works and any third parties delivering services on your behalf will cooperate with ASQA in responding to requests for information, undergoing audits and managing records. All documentation provided at audit will be an accurate representation of your RTO's practices.

ASQA will be notified within 90 days of the following:

-  Changes to executive officers or high managerial agents
-  Changes to financial administration status (e.g. liquidators being appointed)
-  Changes to legal name or type of legal entity • changes to ownership, directorship or control (including changes to parent entities)
-  Significant mergers or associations with other RTOs
-  Registration (or application) with other education regulators (e.g. higher education provider with the Tertiary Education Quality Standards Agency)
-  Anything that may affect the fit and proper person status of an influential representative of the RTO
-  Changes to any fundamental funding/revenue source (e.g. access to or loss of government funding contract allocation)
-  Changes to the RTO's business strategy (e.g. more to online delivery, assessment-only delivery, offshore delivery)
-  Delivery to apprentices or trainees employed under a training contract
-  Any other significant event.

