

Initial applicant webinar

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Australian Government
Australian Skills Quality Authority



So you want to be an RTO or CRICOS provider?

Today's webinar covers:

- overview of the VET sector
- responsibilities of becoming a:
 - Registered Training Organisation (RTO)
 - Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) provider
- ASQA's expectations for applications/readiness for audit
- application assessment process
- obligations on RTO or CRICOS providers once registered.

What is VET?

Vocational Education and Training (VET) refers to nationally recognised vocational education and training. This includes:

- training package qualifications such as Certificates I, II, III and IV, Diplomas and Advanced Diplomas
- training package units of competency or skill sets
- VET accredited courses.

These are collectively referred to as Training Products.



The national register training.gov.au contains a list of all nationally recognised training products.

The VET sector

More than four million people undertake VET in Australia each year.

LATEST VET STATISTICS

Total VET students and courses

2018



4.1 million
VET students



2.0 million
students enrolled in nationally
recognised programs



2.5 million
students enrolled in subjects
not delivered as part of a
nationally recognised program

Government-funded students and courses

2018



1.1 million
government-funded
VET students



6.7%
of 15 to 64-year-old
Australians participated in
government-funded VET

VET student outcomes

2018



59.0%
of VET graduates
improved their
employment status
after training



86.8%
of graduates were satisfied
with the quality of training

Why seek registration as a RTO?

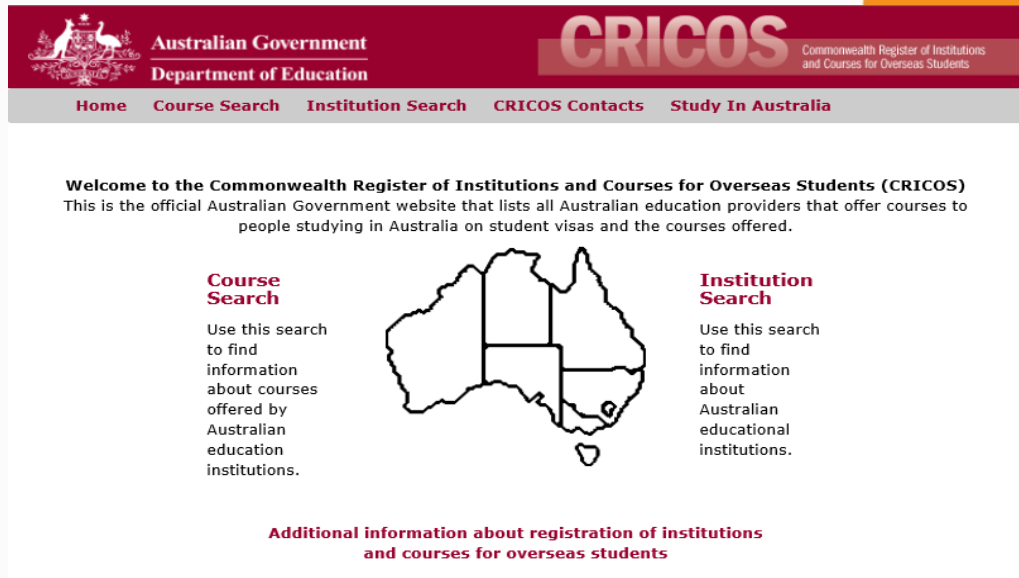
Only RTOs can:

- deliver nationally recognised training products in their own name
- apply for Australian, state and territory funding to deliver nationally recognised training products.



Why seek registration as a CRICOS provider?

Only CRICOS providers can deliver courses to overseas students who are in Australia on a student visa.



The screenshot shows the CRICOS website. The header is maroon with the Australian Government coat of arms, the text 'Australian Government Department of Education', the 'CRICOS' logo, and the full name 'Commonwealth Register of Institutions and Courses for Overseas Students'. A navigation bar contains links: Home, Course Search, Institution Search, CRICOS Contacts, and Study In Australia. The main content area has a welcome message, a map of Australia, and two search options: 'Course Search' and 'Institution Search'. At the bottom, there is a link for 'Additional information about registration of institutions and courses for overseas students'.


Australian Government
Department of Education

CRICOS
Commonwealth Register of Institutions and Courses for Overseas Students

[Home](#) [Course Search](#) [Institution Search](#) [CRICOS Contacts](#) [Study In Australia](#)

Welcome to the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS)
This is the official Australian Government website that lists all Australian education providers that offer courses to people studying in Australia on student visas and the courses offered.

Course Search
Use this search to find information about courses offered by Australian education institutions.



Institution Search
Use this search to find information about Australian educational institutions.

[Additional information about registration of institutions and courses for overseas students](#)

What is ELICOS?

English Language Intensive Courses for Overseas Students (ELICOS) are for English as a second language (ESL) speakers to:

- develop their English or
- continue on to academic studies taught in English.

Not all providers in Australia need to be registered to deliver English language training, but if you do wish to provide ELICOS to overseas students who are in Australia on a student visa, you'll need to be registered on CRICOS.

Are there alternatives to RTO or CRICOS registration?

- If you want to deliver VET courses in your own name – No
- If you want to deliver VET or ELICOS courses to overseas students in Australia on a student visa – No
- **Third party arrangements** – an RTO can engage a non-RTO under a third party arrangement to deliver training and/or conduct assessment on their behalf, as long as this is done entirely in the RTO's name and on the RTO's behalf. The [Fact sheet—Third party arrangements](#) provides more information.



Video: **ASQA's** role in the **VET** sector

How does registration work?

- RTOs - registered to deliver specific training products (scope of registration)
- CRICOS providers:
 - registered to deliver specific courses at specific locations
 - overseas student capacity set per location
- Can apply to 'amend scope' once registered



The requirements for registration

RTO

VET quality framework:

- [Standards for Registered Training Organisations \(RTOs\) 2015](#)
- [Fit and Proper Person Requirements](#)
- [Financial Viability Risk Assessment Requirements](#)
- [Data Provision Requirements](#)
- [Australian Qualifications Framework](#)

CRICOS provider

ESOS quality framework

- [The ESOS Act](#)
- [The ESOS Regulations](#)
- [National Code](#)
- [ESOS Act—other legislative instruments](#), including the [ELICOS Standards](#) if applying to deliver ELICOS courses.



Video: **The application process**

Key attachments that need to be submitted with your application

- Self-assessment(s) demonstrating compliance with the relevant regulatory frameworks
- Evidence to support the self-assessment
- Financial Viability Risk Assessment tool
- Evidence to support the FVRA tool
- Fit and Proper person declaration for key people associated with your organisation

The [Application guide – Application for initial registration](#) explains all attachments required with an application for initial registration.



Self-assessment(s)

The self-assessment will guide you through the process of ensuring your organisation is compliant with the key requirements of the VET quality framework and/or ESOS Framework.

You'll need to be ready to commence delivery at the point of lodging your application and the self-assessment is your opportunity to provide evidence of your readiness.



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FORM

Self-assessment for registration as a CRICOS provider



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FORM

Self-assessment for registration as a registered training organisation (RTO)

Form - Self-asse



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FORM

Self-assessment for registration as an ELICOS provider

Self-assessment(s) – key requirements

Marketing and recruitment

RTOs are responsible for providing accurate and accessible information to prospective and current students. This includes when these are published or distributed by third parties, such as recruitment agents.

Enrolment

RTOs are responsible for ensuring students have existing skills knowledge and experience to successfully complete the course they are seeking to enrol in.

RTOs need to protect pre-paid fees by students and provide credit for prior studies.

Support and progression

RTOs are responsible for supporting their students throughout each stage of the student journey.

Self-assessment(s) – key requirements (cont.)

Training and Assessment

RTOs are responsible for having effective training and assessment strategies in place, which include delivering an appropriate ‘amount of training’.

To deliver quality training and assessment, RTOs need adequate staffing, resources and facilities.

RTOs are responsible for conducting effective assessment that meets the principles of assessment and the rules of evidence.

Completion

Only students assessed as meeting training product requirements are issued with certification.

Regulatory compliance and governance

RTOs will meet the data provision requirements, financial viability risk assessment and fit and proper person requirements and comply with all commonwealth, state and territory legislation relevant to its operations.

Financial Viability Risk Assessment (FVRA)

What are we assessing?

The assessment informs a judgement about whether the organisation has the financial resources necessary to:


- acquire assets and physical resources to deliver all qualifications on its scope of registration
- employ sufficient staff to cover the courses for which it takes enrolments
- provide appropriate levels of student services
- remain in business to ensure that each student can achieve completion
- meet the above requirements, even in an unsure environment.

Financial Viability Risk Assessment (FVRA) tool

The [Financial Viability Risk Assessment tool](#)

will guide you through the process of considering the key expenses faced by an RTO/CRICOS provider and revenue forecasts.





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Financial Viability Risk Assessment (FVRA) Tool

Introduction

The Financial Viability Risk Assessment (FVRA) tool is used by the Australian Skills Quality Authority (ASQA) to assess whether an applicant or existing RTO/CRICOS provider meets the Financial Viability Risk Assessment Requirements and/or the requirements of section 11 of the ESOS Act. The tool and supporting evidence is used to evaluate the likelihood of business continuity and capacity to achieve quality outcomes. In particular, the assessment informs a judgment about whether the organisation has the financial resources necessary to:

- acquire the requisite assets and physical resources to deliver all qualifications on its scope of registration
- employ sufficient appropriately qualified staff to cover the courses for which it takes enrolments
- provide appropriate levels of student services to students
- remain in business to ensure that each student can achieve completion
- meet the above requirements, even in an unsure environment.

A decision on financial viability will be made on the basis of both financial and non-financial metrics from data in the tool and a review of the supporting evidence. An applicant must check the results tab prior to submission of this tool, as it will advise if the applicant meets the base financial requirements and whether to proceed with the submission.

Completing the Financial Viability Risk Assessment Tool

Who needs to complete the tool

The completion of this tool is a requirement for:

- all applicants seeking initial registration as a Registered Training Organisation (RTO) or as a provider of education services to overseas students (CRICOS provider)
- any RTO seeking to change their scope of registration within the first two years of their registration.

Existing RTOs and CRICOS providers may be required to complete this tool on request.

Government agencies, and universities/schools established under Government legislation, are not required to complete the entire tool (complete only sections 1.1, 1.4 and 1.5 of the Provider Details tab and the Student Numbers and Course Fees tab).

Before you start, save the tool using the correct file format

This tool needs to be saved as a macro-enabled workbook (a .xlsm file). When you select "Save As" the file types to which you can save the Tool have been limited to (.xlsm) to help you avoid saving as the wrong file type.

How to complete the tool

Result

Introduction

Accountant's Certificate

1.Provider Details

2.Profit & Loss

3.Balance Sheet

4.Cashflow

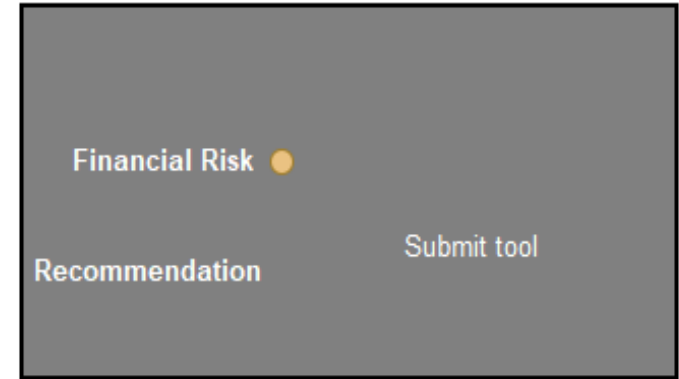
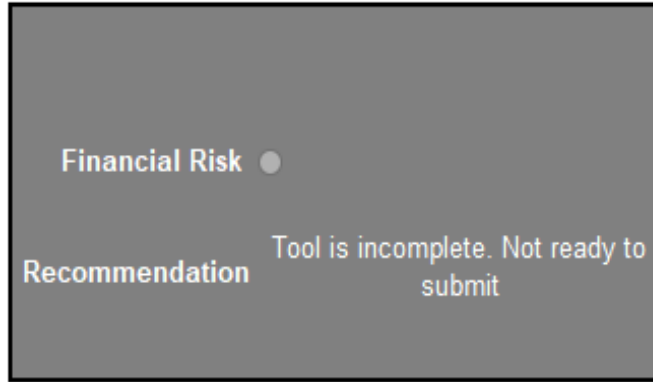
Completing the FVRA tool

Select the correct 'tool type'	<ul style="list-style-type: none">• New registration (start-up business) – trading less than 12 months• New registration (existing business) – trading more than 12 months
Engage accountant	Complete tool with assistance of a registered accountant who is external and independent to your organisation.
Provide all required attachments	<p>Attachments differ depending on the 'tool type'. They include:</p> <ul style="list-style-type: none">• Business plan• Financial statements/management accounts• Bank statements/reconciliations• ATO portal showing you are up to date with your tax obligations• Aged debtors and creditor ledger• Accountants certificate

Completing the FVRA tool (cont.)

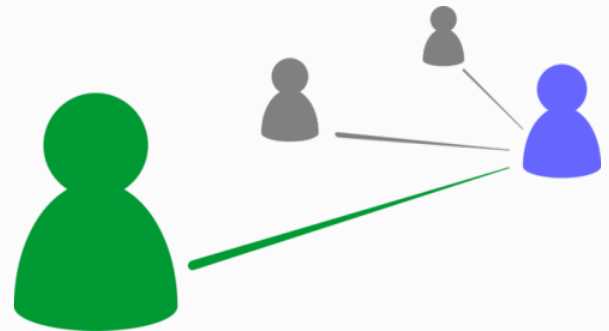
Fully complete all
tabs within the
tool

The 'Result' tab will indicate if the tool is complete and ready to submit



Fit and proper person requirements

- Disclose all owners, executive officers and high managerial agents in application for initial registration on asqanet.
- Complete [Fit and Proper Person Requirements declaration](#) for **key people**. This can be requested for any executive officers and high managerial agents.



APPLICATION ACTIONS

ASQA ACTIONS

Submit application with attachments in asqanet.

asqanet will generate an invoice for the application lodgement fee.

ASQA will only start processing your application when the invoice is paid and payment has cleared.

SUBMIT APPLICATION

COMPLETENESS CHECK

ASQA will check the application is complete.

RISK ASSESSMENT

ASQA will review your fit and proper person declarations and financial viability risk assessment tool.

An assessment fee invoice is issued if the application is complete.

ASQA will not continue processing your application until this invoice is paid in full and the payment has cleared.

ASSESSMENT FEE INVOICE ISSUED/PAID

ASSESSMENT PROCESS

An audit (which includes a desk and validation component) checks that your organisation meets all requirements for registration.

ASQA'S DECISION

ASQA will approve or reject the application.

The initial application process

The assessment process

- Two stage audit process
 1. desk component
 2. validation component.
- The application is assessed as it is submitted
- Some aspects of the application cannot be amended once submitted



ASQA's decision

- If non-compliance identified, ASQA may reject the application
- If application meets all requirements, you'll be granted a two year registration period.
- If your organisation is already an RTO and is applying for CRICOS registration, generally the CRICOS registration period will be granted to align to the RTO registration period.







ASQA will approve or reject the application.

Obligations for RTOs

- Annual registration charge
- Annual declaration on compliance
- Submit Total VET activity AVETMISS data
- Submit quality indicator data
- Pay annual registration charge for next FY
- Ensure compliance with the VET quality framework at all times
- Submit a renewal application at least 90 days prior to expiry

RTO obligations checklist 2019

Keep track of key dates for your training provider this year

ASAP	Check that ASQA can contact you in 2019 <ul style="list-style-type: none">• Do you know your asqanet login details? If you can't log in to asqanet.asqa.gov.au, email enquiries@asqa.gov.au• Make sure your Chief Executive Officer's email address is up to date at asqanet.asqa.gov.au• Provide a mobile phone number for your Chief Executive Officer so you can receive SMS reminders for urgent matters	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
 COB 28 FEB 2019	Report your RTO's Total VET Activity AVETMISS data for 2018 to NCVET—every RTO has to report, even if no training was provided. Check your requirements	<input type="checkbox"/>
 COB 31 MAR 2019	Submit your 2019 declaration on compliance with the <i>Standards for Registered Training Organisations (RTOs) 2015</i>	<input type="checkbox"/>
 COB 30 JUNE 2019	Submit your 2018 quality indicator data to qidata@asqa.gov.au	<input type="checkbox"/>
 COB 31 JULY 2019	Pay ASQA your annual registration charge	<input type="checkbox"/>
AT LEAST 90 DAYS BEFORE	Submit a complete application and pay the lodgement fee to renew your RTO registration at least 90 days before the end of your RTO's registration period (Check when your RTO registration expires at asqanet.asqa.gov.au or training.gov.au)	<input type="checkbox"/>

MORE DETAILS ►

This list is provided as a reminder only—RTOs need to meet other obligations and deadlines to comply with the requirements of ongoing registration in 2019. Visit www.asqa.gov.au for more information.



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Obligations for CRICOS providers

- ASQA Annual registration charge
- Department of Education:
 - Entry to market charge
 - Tuition Protection Service (TPS) initial levy
 - Annual Registration Charge.
- Ensure compliance with the ESOS framework at all times
- Submit a renewal application at least 90 days prior to expiry

The first two years of registration as an RTO

- Increased scrutiny applies for change to scope applications
- Not permitted to add training products from Training and Assessment (TAE) training package
- Government funding often not available for newly registered providers
- You must have delivered training and assessment to be eligible to apply for renewal of registration.

Consequence of non-compliance once registered

ASQA audits training providers on a risk basis once registered.

If non-compliance is identified at an audit, ASQA may:

- issue a written direction to rectify the non-compliances if they are minor
- reject an application to renew registration
- impose a sanction which may remove training products from scope, suspend or cancel your registration.

Useful resources

- [Application guide – Application for initial registration](#)
- [User's guide to the *Standards for Registered Training Organisations \(RTOs\)*](#)
- [Factsheets](#)
- [General directions](#)



Questions and answers

More information:

ASQA Info Line: 1300 701 801

Email: enquiries@asqa.gov.au

Website: www.asqa.gov.au



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