ASQA Training Provider Briefing Sessions 2016
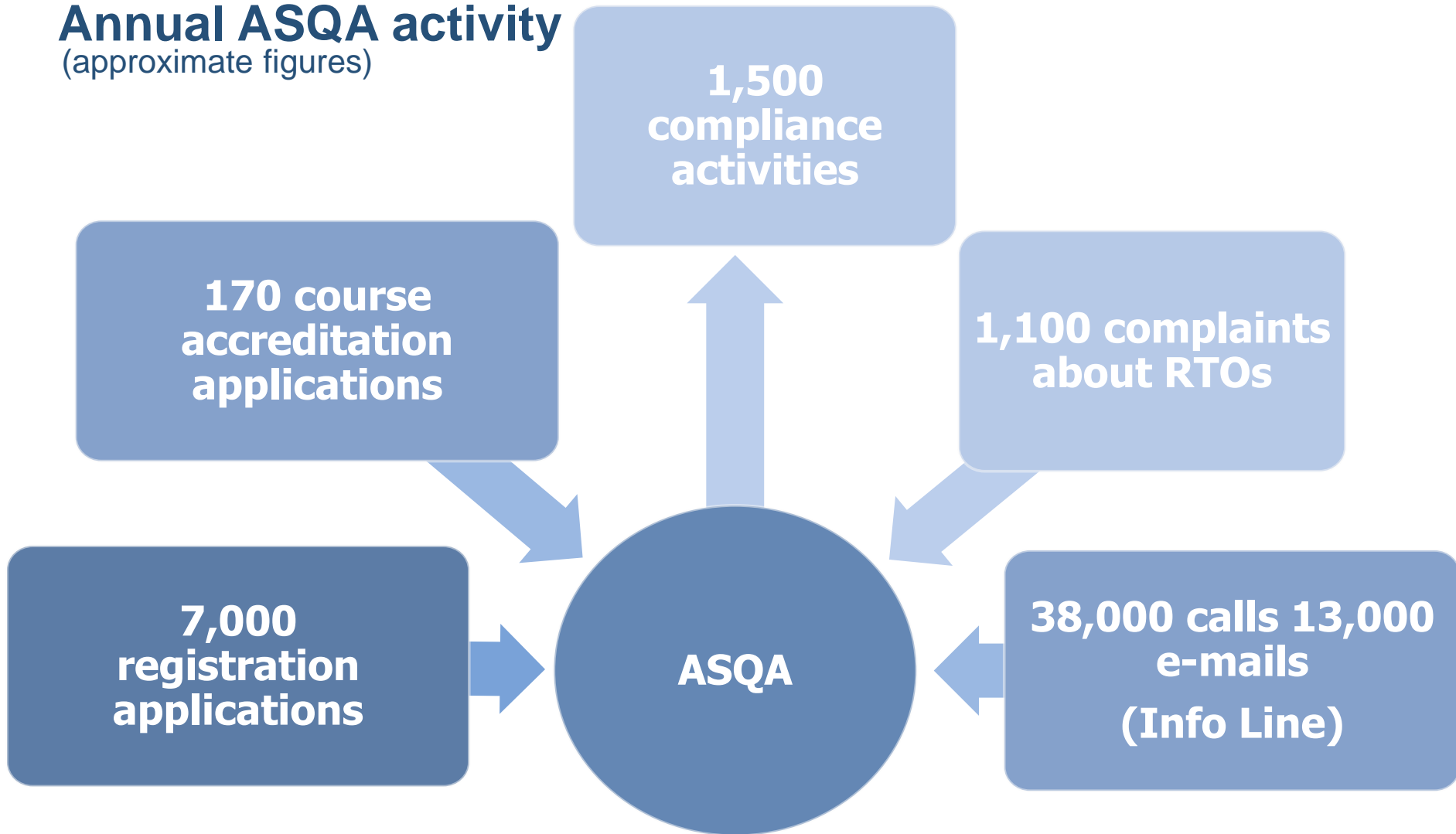
Annual ASQA activity
(approximate figures)

1,500 compliance activities

170 course accreditation applications

1,100 complaints about RTOs

7,000 registration applications

ASQA

38,000 calls 13,000 e-mails

(Info Line)

ASQA decisions
(annual averages)

3% of RTOs issued notice to cancel or suspend

7% renewal applications refused

1.5% of RTOs cancelled or suspended

~ 10,000 decisions on ~4,500 RTOs

17% initial registrations refused

30% of complaints substantiated
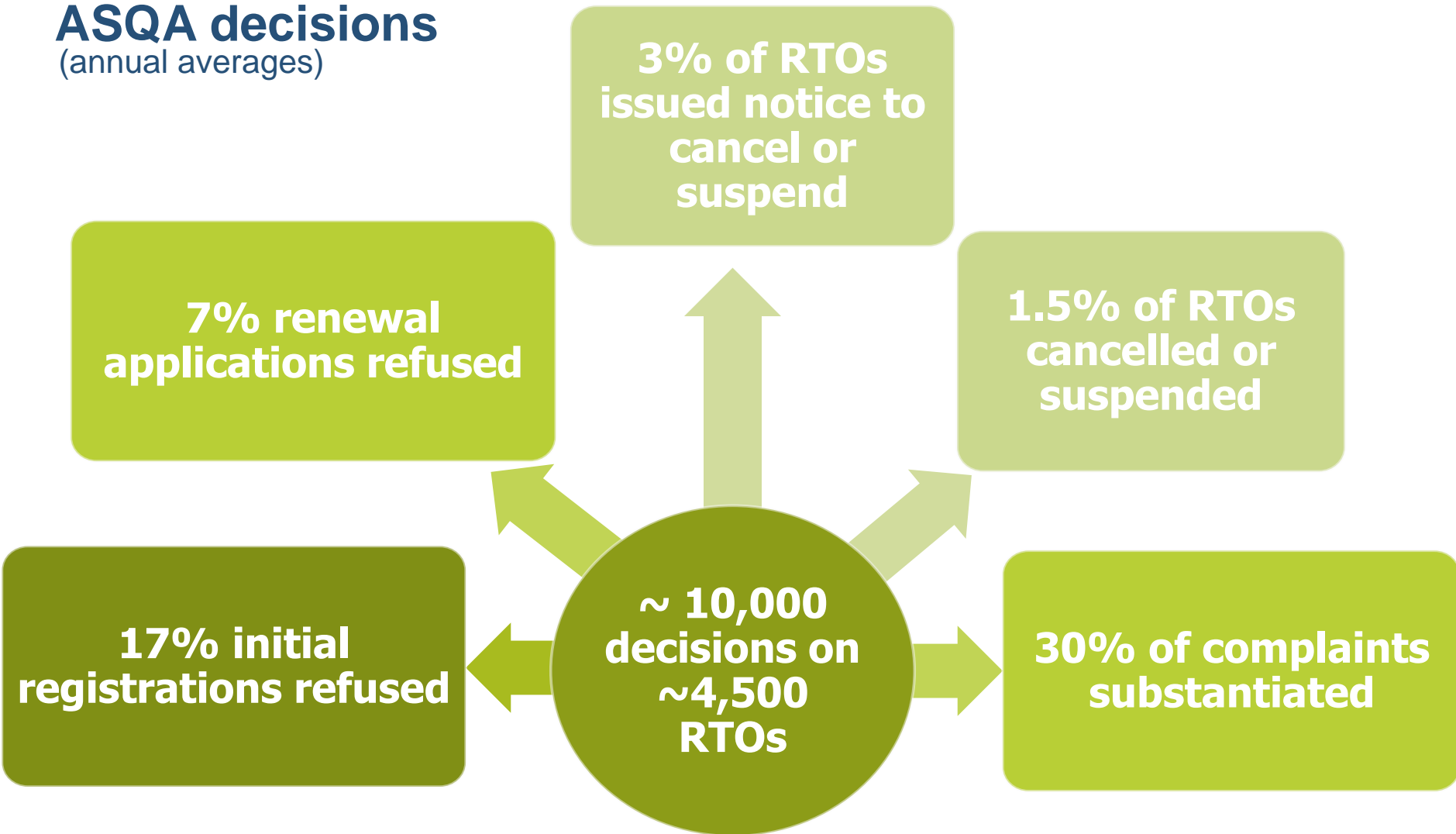
ASQA's regulatory approach

ASQA's evolving regulatory approach

- Continuing to move from a 'transactional' regulatory approach to one which identifies risk in the system and develops treatments to mitigate those risks

- Regularly scanning the environment

- Developing a wider range of regulatory tools to ensure proportional regulation is applied

- Using an approach designed to **"better identify risks and develop strategies to better address those risks"**

      - Professor Malcolm K Sparrow
         Professor of the Practice of Public Management
         John F Kennedy School of Government
         Harvard University

Identification of risk

- Annual environmental scan

- Stakeholder engagement

- Complaints and other intelligence

- Audit and investigation outcomes

These sources lead to the identification of both:

- systemic risks (pick important problems and fix them)

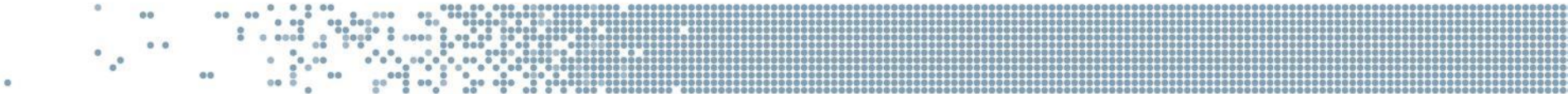- provider risks (greater regulation of high-risk, poor quality providers)

Current risk areas

Informing and protecting learners
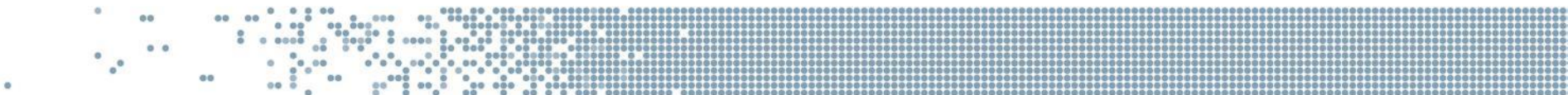
Amount of training

Capability of trainers and assessors

Informing and protecting learners

Amount of training

Capability of trainers and assessors

Informing and protecting learners—issues

- Inaccurate or incomplete information in marketing

- Misinformation regarding duration of courses and delivery modes

- Lack of consideration as to a learner's ability to successfully complete

- Lack of information regarding public funding entitlements and debts resulting from delivery under VET FEE-HELP arrangements

It is important to remember that learners are often not 'informed consumers' when it comes to the VET sector

Informing and protecting learners means:

Providing accurate information about:

- the content, location, duration and timeframes of training

- how your course best suits each learner's needs

- mandatory entry requirements (training product/your RTO/VET FEE-HELP scheme etc)

- complaints and appeals processes

- cooling-off periods, relevant census dates and withdrawal provisions

Informing and protecting learners means:

Providing accurate information about:

- all costs of the training, including refund arrangements and any liability that may be incurred by the learner

- any impact on funding entitlements

- third-party arrangements for delivery of training, assessment or support services

And by:

- not suggesting a course is 'free' or 'government funded' when a loan will be incurred

- not offering inappropriate inducements to learners

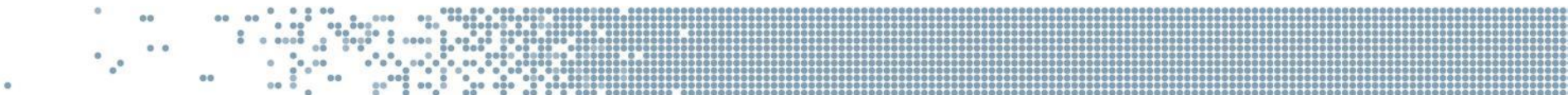- obtaining parent or guardian consent where applicable

Questions?

Informing and protecting learners

Amount of training

Capability of trainers and assessors

Amount of training

Training is the process used by an RTO, or third party delivering services on their behalf, to facilitate the learning and the acquisition of competencies in relation to the training product on the RTO's scope of registration

Amount of training – issues

- Some RTOs are delivering training products in a period of time that is not sufficient to properly train and assess learners

- Marketing of courses often provides inaccurate information about duration of training or does not align to the RTO's training and assessment strategies

- Excessively short training is closely aligned to inadequate assessment

- *Standards for RTOs 2015* and the AQF do not provide clear benchmarks for what the relevant amount of training should be across training products

Amount of training – compliance means:

- Providing an amount of training sufficient to allow learners to

    - absorb the knowledge

    - practise the skills in different contexts

    - learn to apply the skills and knowledge in varied environments before being assessed

- Ensuring the amount of training considers the existing skills and knowledge of each learner

Amount of training – compliance means:

- Taking into account the breadth and complexity of the training product being delivered, including elective units

- Complying with any amount of training requirements in training products or legislative requirements such as licensing arrangements

- Using industry engagement activities to inform training and assessment strategies and practices to inform the amount of training provided

- Where appropriate, developing and implementing multiple strategies to take into account the characteristics of different learners
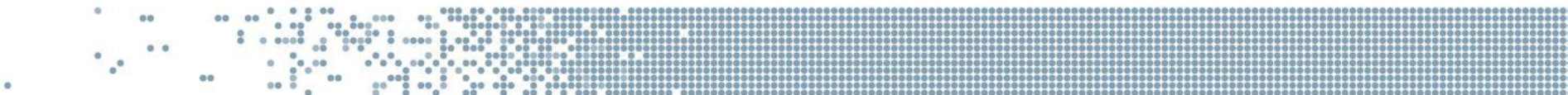
Questions?

Informing and protecting learners

Amount of training

Capability of trainers and assessors

Capability of trainers and assessors—new requirements

Clauses in Standard 1 of the *Standards for RTOs 2015* relating to qualifications required by trainers and assessors took effect from 1 January 2016 :

- Trainers must hold either *TAE40110 Certificate IV in Training and Assessment* or a diploma or higher qualification in adult education, unless a formal supervision arrangement is in place for training – trainers under supervision arrangements may not make assessment decisions

- Assessors must hold *TAESS00001 Assessor Skill Set*, *TAE40110 Certificate IV in Training and Assessment* or a diploma or higher qualification in adult education

Capability of trainers and assessors—issues

- Assessment continues to be the most common area of non-compliance at all types of audits

- RTO staff often struggle to understand how to correct issues with assessment

- Issues often relate to a failure to conduct adequate assessment against **all** of the specifications in the training product

  - the current Certificate IV in Training and Assessment does not require assessors to develop skills and knowledge in this critical area

- Trainers and assessors often have difficulty demonstrating they have current vocational competence and have maintained their skills and knowledge in VET

Capability of trainers and assessors—compliance means:

- Trainers and assessors hold the required VET competencies and maintain their skills and knowledge

- Trainers and assessors hold vocational competency and current industry skills relative to all units being delivered

- RTOs maintain accurate records of the qualifications, experience and currency of trainers and assessors
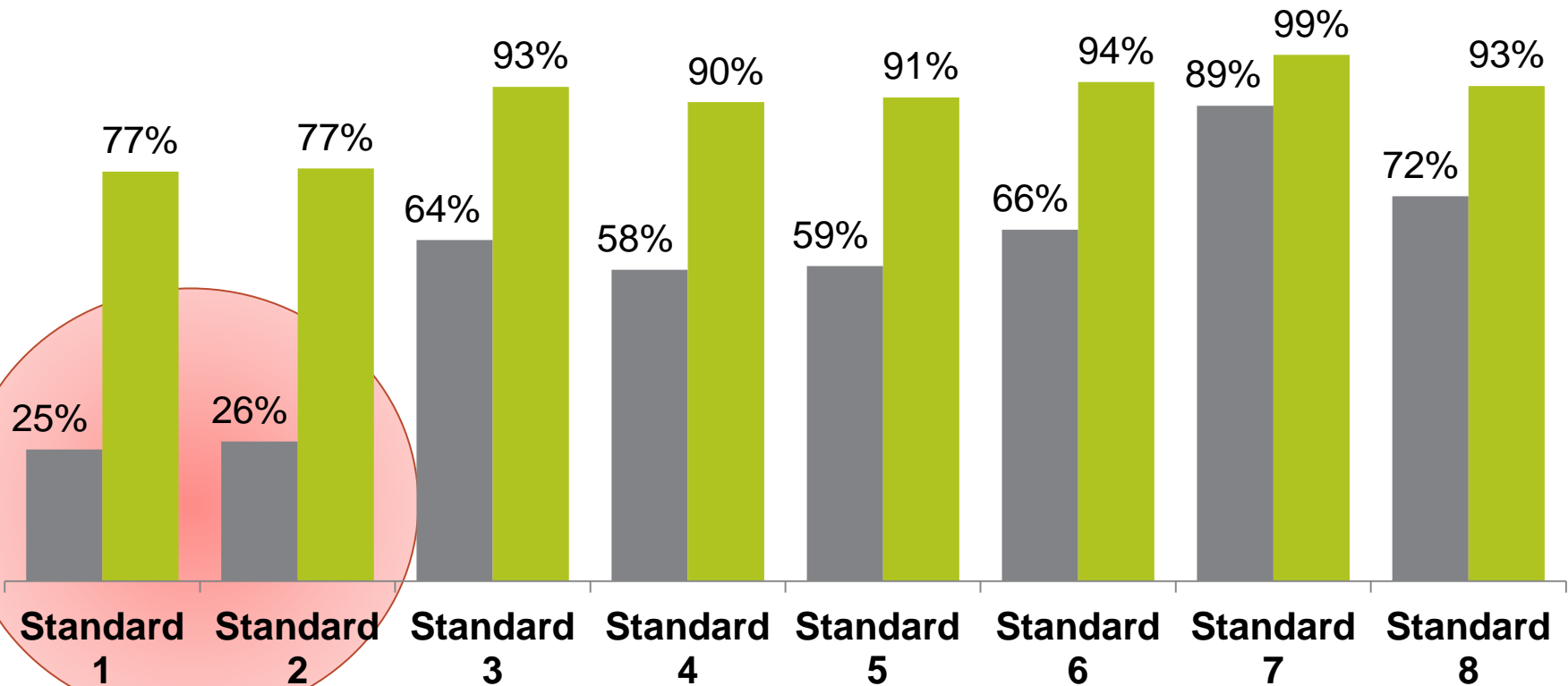
Questions?

Compliance issues - assessment

Provider compliance with Standards for RTOs

■ Percentage of providers compliant when audited

■ Percentage of providers compliant following rectification

Assessment practices—requirements

Clause 1.8

The RTO implements an assessment system that ensures assessment:

a) *complies with the assessment requirements of the relevant training package or VET accredited course, and*

b) *is conducted in accordance with the Principles of Assessment (fairness, flexibility, validity, reliability) and the Rules of Evidence (validity, sufficiency, authenticity, currency)*

Assessment practices—issues

- Assessment does not address **all** requirements of the training product

- Assessment does not gather sufficient valid assessment when conducted in a workplace

- Inadequate exposure to workplace conditions, including inappropriate 'simulated' environments

- Assessment activities conducted without using required resources

- Lack of practical assessment

- Issues relating to authenticity of assessment, particularly in distance and on-line delivery

Assessment practices - compliance

A quick refresh on the principles of assessment and rules of evidence

Principles of assessment -

- Fairness

- Flexibility

- Validity

- Reliability

Rules of evidence –

- Validity

- Sufficiency

- Authenticity

- Currency

Validation of assessment

Assessment practices—requirements

Clause 1.9 and 1.10

The RTO implements a plan for ongoing systematic validation of assessment practices and judgements that ensures each training product is validated at least once every five years, with at least 50% of products validated within the first three years, taking into account the relative risks of all of the training products on the RTO's scope of registration, including those risks identified by the VET Regulator

Validation of assessment—issues

- Validation plans often do not include details of what is going to be validated, by whom, when it will be validated and the process

- Validation plans are often not implemented

- The outcomes of the validation process are often not documented or actioned

Validation of assessment – compliance means

- Developing a plan for validation that clearly describes the process, including the what, when, and whom

- Ensuring that all training products on scope will be validated over a five-year period, with 50% of products within the first three years

- **Implementing** the plan, including taking action on any required improvements

Validation of assessment—TAE

By 1 January 2016, RTOs delivering certain TAE products must have undergone independent validation of their assessment system, tools, processes and outcomes.

This applies to:

- Assessor Skill Set

- Certificate IV in Training and Assessment

- Diploma of Vocational Education and Training

- Diploma of Training Design and Development

RTOs applying for updated TAE products must provide evidence that this has occurred with the application.

CRICOS

(Commonwealth Register of Institutions and Courses for Overseas Students)

CRICOS Fast Facts

- The Commonwealth Register of Institutions and Courses for Overseas Students is a register of Australian institutions that are permitted to recruit, enrol and teach overseas students

- Registration on CRICOS allows providers to offer courses to overseas students studying in Australia on student visas

- Only providers registered on CRICOS for a specific course can offer that course to overseas students

Provider's obligations in relation to superseded training products

- Where training products are superseded and are deemed equivalent, they will be automatically updated on an RTO's scope of registration on TGA and on CRICOS

- Where the training product is not deemed equivalent, RTOs must apply for the product to be added to both RTO and CRICOS scope of registration

ASQAnet

ASQAnet will soon allow providers to:

- Apply for CRICOS registration and changes to scope

- Change provider details on CRICOS

Providers will still need to use the Provider Registration and International Student Management system (PRISMS) to:

- Create Confirmations of Enrolments

- Report changes to student participation or issues with visa conditions

- Apply to increase course costs

- Apply to add a course to a location

CRICOS - what's new?

- Changes to the ESOS Act

- Review of *The National Code for Registration and Providers of Education and Training to Overseas Students 2007*

- Review of the National ELICOS Standards

Extension to transition period

Australian Government — Australian Skills Quality Authority

Transition periods

- Temporary increase to the period allowed to transition students to the updated training package qualifications under Standard 1.26 (a) of the Standards for RTOs 2015.

- RTOs will now have 18 months instead of 12 months from the date the superseding training product was released on the National Register (training.gov.au)

- This provision only applies for training products endorsed by the AISC from September 2015 until March 2016.

Training and Education (TAE) Training Package

Australian Government

Australian Skills Quality Authority

TAE Training Package

AISC announcement

- Australian Industry and Skills Committee (AISC) has approved an important update to the Training and Education (TAE) Training Package.

- The AISC has agreed to the inclusion of two new core units for the Certificate IV qualification.

- The AISC has recommended that the COAG Industry and Skills Council consider applying the new requirements to the existing workforce.

- Full details of the training package approved for implementation will be available shortly on the National Register for VET at training.gov.au.

TAE Training Package

ASQA's response

- ASQA has been advocating for enhanced training and assessment practices in the VET sector for a number of years.

- All RTOs will need to apply to ASQA should they wish to offer

  - Cert IV

  - the two Diploma-level qualifications and

  - assessor skill sets

- All applications will undergo enhanced scrutiny by ASQA

- More advice on how to apply for registration for the new Cert IV TAE will be published on the ASQA website shortly.

Just finally …

Australian Government

Australian Skills Quality Authority

Data reporting requirements

What are your requirements?

1. AVETMISS (VET Management Information Statistical Standard)

    - What do you need to collect and report?

2. Quality Indicator

    - How do you collect and report data?

3. Annual Compliance Declaration

    - Why does ASQA gather this information?

    - What is its purpose?

    - Have you submitted yours?

New asqanet portal is coming soon

Offering more services and catering to more stakeholders' needs

- Not limited to VET application services

- Lodge CRICOS, course accreditation applications, online payments

- Form submission

- Access provider and course owner information

- Update organisation details, CRICOS registration, accredited course details

- Receive and respond to notifications relating to application processing and ASQA's regulatory functions.

Questions?

Need more information?

- Visit the ASQA website – asqa.gov.au
- Call the ASQA Info line – 1300 701 801
- Send an email – enquiries@asqa.gov.au
- Subscribe to the ASQA Update