ASFA RTO protocols & qualifications 2016
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ASFA RTO Protocols and the issuing of qualifications

ASFA is a Registered Training Organisation (RTO) under the Standards for Registered Training Organisation and is registered from 13 June 2013 to 12 June 2018 to deliver training, conduct assessment and issue qualifications.

The Certificate of Registration was issued by the Australian Skills Quality Authority, dated 13th June 2013. ASFA’s training.gov.au Number is 90755. ASFA’s Registration Number with NSW DET is 338134.

ASFA is registered to provide the following qualifications:

From current Financial Services Training Package – FNS release 2.0

- FNS30115 - Certificate III in Financial Services
- FNS41815 - Certificate IV in Financial Services
- FNS40915 – Certificate IV In Superannuation
- FNS50615 - Diploma of Financial Planning
- FNS50715 - Diploma of Superannuation
- FNS60515 - Advanced Diploma of Superannuation

From current Business Services Training package - BSB release 2.0

- BSB30215 - Certificate III in Customer Engagement

This is known as ASFA’s “scope of registration”. This means that if ASFA wishes to offer additional qualifications (from nationally endorsed Training Packages and accredited courses), ASFA must apply to ASQA for an addition to ASFA’s “scope of registration”.

In an event of cancellation and suspension

If The Association of Superannuation Funds of Australia, Limited (ASFA) has its registration with Australian Skills and Quality Authority (ASQA) cancelled or suspended, ASFA will get to know this through their ASQA’s third party audit and will be notified of a possibility of a cancelation or suspension. If this happens the RTO Compliance Manager (or in his absence Assistant RTO Compliance manager) will notify all state based Department of Education of the suspension/cancellation and plan for the possible transfer of students to another RTO in consultation with the member organisation/employer. ASFA will provide a database of all existing and past students to ASQA and other state based Departments of Education, including their completed qualifications, units of competencies and where application printed statement of attainments and certificates will be provided to ASQA and the candidate to facilitate a smooth transition into another RTO.

ASFA will provide a list of RTO’s who have the same scope as ASFA’s in order for the students to choose their own provider to complete their qualifications. ASFA will work with the Enterprise to move all their students into these RTO’s as per the partnership agreement.
An ASQA suspension or cancelation will be updated on the training.gov.au website, and the RTO Compliance manager will be notified of any changes that may take place on the website.

**General direction: Transition & teach-out**

**Transitioning for Certificate IV in Superannuation**

FNS40911 to FNS40915 Certificate IV in Superannuation, there are three changes as provided below:

- There’s been a replacement in unit of competency FNSINC402 Develop and maintain in-depth knowledge of products and services used by an organisation or sector has been replaced by FNSSUP508 Provide effective information to members
- Instead of third party supervisor report, there is another assignment 6 that needs to be finished to fulfil the requirements of the third party observation report.
- Post retirement skill set has been added as part of the elective units for this qualification.

**Transitioning for Diploma of Superannuation**

FNS50711 to FNS50715 Diploma of Superannuation:

The qualification has remained equivalent the previous version, except a unit of competency has been removed from the Super Admin: Accumulation subject to make sure that there are only 12 units of competencies in the qualification instead of 13. All course notes have been updated with relevant tax and superannuation updates in the past two years (since 2013).

**Transitioning for Certificate III in Customer Contact to Customer Engagement**

BSB30211 to BSB30215 Certificate III in Customer Contact to Certificate III in Customer Engagement.

Although it does not affect our customised qualifications, the off the shelf qualification that is being widely used by AMP staff has changed from 6 smaller assessments to 3 bigger assessments in order to streamline the assessments. There have been changes to many units of competencies mainly to reflect the change in qualification name.

**AQF**

ASFA must only issue Australian Qualifications Framework (AQF) qualifications and Statements of Attainment that are within its scope of registration, and that certify the achievement of:

i. Qualifications from nationally endorsed Training Packages (in ASFA’s case, the ones listed above); or

ii. Qualifications, competency standards or modules specified in accredited courses (currently irrelevant to ASFA).

The Australian Qualifications Framework (AQF) is a comprehensive policy framework defining all qualifications recognised nationally in vocational education and training within Australia.

These qualifications are competency-based - that is, they involve the specification of knowledge and skill, and the application of that knowledge and skill to the standards of performance required in the workplace.
The competency standards involved are expressed in outcome terms, and have a standard format comprising Unit Title, Unit Descriptor, Elements of Competency and skills and knowledge requirement. A copy of this guide is provided at the following link. http://www.aqf.edu.au/

Standards for Registered Training Organisation
The Standards for Registered Training Organisation is aimed at achieving greater national consistency in the way providers are registered and monitored and in how standards in the vocational education and training (VET) sector are enforced.

The Standards for Registered Training Organisation comprises:
- the New Standards for Registered Training Organisation 2015
- the Fit and Proper Person Requirements
- the Financial Viability Risk Assessment Requirements
- the Data Provision Requirements, and
- the Australian Qualifications Framework.

National VET Regulation
The National Vocational Education and Training Regulator Act 2011 has established a new approach to national regulation of the vocational education and training (VET) sector in Australia.

While the approach is new, most of the regulatory requirements have not changed at all.

Part of the new approach is the creation of a national regulator, the Australian Skills Quality Authority (ASQA), which is responsible for registering training organisations and accrediting courses.

If a training organisation operates (or intends to operate) in a participating jurisdiction, or otherwise qualifies under the national scheme, ASQA will now be the body responsible for that organisation’s registration and for accrediting its courses.

Read more about ASQA:

ASQA will undertake its role by assessing relevant organisations against the conditions of registration found in the new national legislation, the National Vocational Education and Training Regulator Act 2011 (in Part 2, Division 1, sections 21–30).

One of the core conditions of registration is that relevant applicants and RTOs comply with the requirements set out in the new Standards for Registered Training Organisation.

Training.gov.au

There is a National Register for recording information about RTOs, Training Packages and accredited courses. This is the training.gov.au website. Information held on the training.gov.au is searchable and publicly accessible via the Internet – www.training.gov.au. ASFA’s National Code Number is 90755.

Assess, record and report qualification completion
In terms of customised qualifications there are two scenarios that take place.
Scenario 1: Manual assessment (Cert III level qualifications)
The member organisation does all the training and sends the evidence guides and workplace assessments (Only for traineeships) to ASFA
- In this scenario, an e-mail with evidence guides and workplace assessment (Only for traineeships) being sent is sent to ASFA’s compliance manager.
- The compliance manager manually closes the assessments on the CRM and checks to confirm that all evidence is supplied to close them off as competent.
- This is done within 48 hours of when the assessments are received.
- Once the assessments have been entered the system changes the outcome/reported outcomes for the competencies from Not yet available or continuing enrolment to competency achieved.
- The compliance manager has one more opportunity in terms of traineeship to make sure that all the workplace assessments have been marked off as competent.
- Finally the compliance manager to complete the qualification by approving automatically for fee for service and manually for traineeship candidates.

Scenario 2: Automatic assessment (Cert IV level qualification)
- The workshops are conducted by ASFA’s trainers and all evidence guides and assessments are done on-line.
- Once all the evidence is submitted on-line the system automatically ticks off the completion process and the system records, assesses and creates a qualification completion once all the assessments have been completed.
- All this happens on the same day or maximum within 24 hours if there has been an issue with the on-line LMS.
- A certificate is sent out to the employer to conduct the graduation ceremony (provided USI is provided by the student).

Issuing AQF qualifications and Statements of Attainment
ASFA must issue, record and report AQF qualifications and Statements of Attainment that:
- i. meet the requirements in the current AQF Implementation Handbook, including the national codes (eg Advanced Diploma of Superannuation – FNS60515)
- ii. Identify the units of competency from Training Packages, or competencies or modules from accredited courses, that the client has attained (eg Liaise with and support trustees - FNSUP601); and
- iii. Identify the RTO by its national provider number (also known as its National Code) as listed on the training.gov.au web-site (in ASFA’s case - 90755)
- iv. If the qualification is attained through traineeship has the following statement written on the qualification/SOA.
  “This qualification is Achieved Through Australian Apprenticeship”

(Within the framework, there are six VET qualifications available: Certificates I, II, III and IV; Diploma and Advanced Diploma.)

Retaining results:
ASFA will as a part of its disaster recovery plan have all its data backed up. It will and has retained the results for every candidate for the past 30 years. Information enough to re-issue a lost certificate or transcript, it also archives its hard copy evidence of assessments (For Corporate clients and Traineeships) for a period of 5 years. The on-line qualification records are available for the life of the Registered Training Organisation.
Printing and sending the certificates and/or Statement of Attainment:

- Unless the USI is not available (in which case the certificates or/and statement of attainment will not be sent to the student)
- In situations where they are off the shelf fee for service students their certificates or/and statement of attainments are send to them within 30 days of them completing their qualifications. The exception to this is enrolments before 2010, where the students had to apply for their qualification/SOA certificates once they had finished their assessments.
- If a student has completed the qualification as part of the bulk enrolment through the employer. The employer is sent the qualification certificates directly for them to conduct the graduation ceremony for their staffs.

The Use of national and State logos

ASFA must use the Nationally Recognised Training (NRT) logo:
1. on AQF qualifications and Statements of Attainment issued within its scope of registration, and
2. in accordance with the Nationally Recognised Training Logo Specifications.

ASFA can use the NRT logo in advertisements only where it complies with the requirements of the above, and of the undermentioned ethical marketing and advertising standard.

ASFA can use any of the following statements in advertisements only in respect of training and/or assessment within its scope of registration:
1. “Nationally Recognised Training”;
2. Registered by (the recognition authority - in ASFA’s case – Australian Skills Quality Authority) to issue the following qualifications…”

ASFA can use the AQF logo only in accordance with the AQF’s conditions of use.

Ethical marketing and advertising

ASFA’s marketing material must be accurate and approved by a duly authorised member of ASFA’s staff.

ASFA must obtain prior permission from any person or organisation for use of any marketing or advertising material which refers to that person or organisation, and must abide by any conditions of that permission.

ASFA must accurately represent to prospective clients training products and services that lead to AQF qualifications or Statements of Attainment, and ensure that advertised outcomes are consistent with these qualifications.
ASFA must advertise AQF qualifications only if they are included in the RTO’s scope of registration and must not state or imply that services are within that scope if they are not.

ASFA’s marketing and advertising material must identify training and assessment services leading to AQF qualifications and/or Statements of attainment separately from any other training/assessment services.

ASFA’s current products from the AQF

ASFA currently offers:

- Certificate III in Financial Services (Customised only)
- Certificate III in Customer Engagement (Customised only)
- Certificate IV in Financial Services (Customised only)
- Certificate IV in Superannuation
- Diploma of Superannuation;
- Advanced Diploma of Superannuation
- Diploma of Financial Planning
- Statements of Attainment for relevant Units required for the undermentioned RG146 compliance.

Product Alignment - ASIC RG146 requirements

ASFA has also aligned its Diploma Unit – RG146 Superannuation, to ASIC requirements for financial advisers who provide advice on superannuation.

RG146 has been included on the Register of ASIC Compliant Training for financial advisers providing general specialist advice on superannuation.

In addition, ASFA has the two Diploma qualifications listed on the ASIC training register.

From 21st Sep 2012 Learning Advisory Services Australia has ceased their operations and ASIC will come up with their own requirements to be listed on the Training Register for Registered Training Organisations.

The ASIC Training Register for Compliant Training can be found on the ASIC Website – www.asic.gov.au. Follow “Financial Services” to “Training” to “ASIC Training Register”.

Recognition of qualifications and Statements of Attainment issued by other RTOs

As part of the Standards for Registered Training Organisation, ASFA agrees to recognise the AQF qualifications and Statements of Attainment issued by other RTOs based in any State or Territory of Australia. This can include a Statement of Attainment for specific modules or units of competency, or it may be a complete qualification such as a Certificate or Diploma.

ASFA has a policy of not providing more than 50% of the qualification as CT due to some qualifications being a pre-requisite for future qualifications, unless this qualification is derived by ASFA for one of their customised qualifications for their member organisation.
ASFA Statement on Recognition of other RTO’s Qualifications and Statements of Attainment and the Standards for Registered Training Organisation

Recognition of the qualifications and statements of attainment issued by other RTOs is critical to the operation of a nationally consistent vocational education and training system, and is a key principle underlying the Standards for Registered Training Organisation.

The key objective of the Standards for Registered Training Organisation is to provide the basis for a nationally consistent, high quality vocational education and training system. The Standards for Registered Training Organisation does this by setting standards for both Registered Training Organisations (RTOs) and for ASQA.

As an RTO registered with ASQA, ASFA meets the above standards, and endorses the principles of the Standards for Registered Training Organisation, including those of recognition of the qualifications and statements of attainment issued by other RTOs.

This recognition ensures that decisions in relation to vocational education and training have national effect.

Under this recognition, each State and Territory has agreed to recognise the decision of all other States and Territories in registering training organisations and in accrediting courses. This means that ASFA, as an RTO, can operate in all States and Territories without a further recognition process.

As part of the Standards for Registered Training Organisation, ASFA agrees to recognise the AQF qualifications and Statements of Attainment issued by other RTOs based in any State or Territory of Australia. This can include a Statement of Attainment for specific modules or units of competency, or it may be a complete qualification such as a certificate or diploma. The credit transfer will not be provided for more than 50% of the qualification unless all pre-requisite requirements for a qualification have been complied with.

As part of this recognition, ASFA will verify the organisation’s registration status on the training.gov.au website.

This assures the mutual acceptance throughout Australia of AQF qualifications and Statements of Attainment.