

Ensuring Your Administration Processes are Compliant

The Australian Skills Quality Authority (ASQA) undertakes performance assessments (audits) to ensure compliance and credibility of training providers and the value of the qualifications they offer, fostering trust among stakeholders. These assessments serve as a reliable measure of compliance, providing students with the assurance that their investment in education is worthwhile. The method used is to ensure that RTOs are meeting all their obligations as outlined in the standards and legislation.

To help streamline administration processes for performance assessment readiness, the following sections consider what ASQA assesses and how to prepare.

What ASQA Assesses

ASQA assesses the performance of Registered Training Organisations (RTOs), providers registered on CRICOs, and ELICOS providers against specific standards and legislation:

Standards:

- Standards for Registered Training Organisations (RTOs) 2015
- National Code of Practice for Providers of Education and Training to Overseas Students 2018
- ELICOS Standards 2018

Legislation:

- For RTOs: National Vocational Education and Training Regulator Act 2011
- For CRICOs or ELICOS providers: Education Services for Overseas Students Act 2000 (ESOS Act)

ASQA adopts a sampling approach to performance assessments. This includes sampling evidence across training products and assessing certain clauses known as the 'scope' of the assessment.

When ASQA Conducts a Performance Assessment

ASQA may conduct a performance assessment:

- if you've made an application to be a provider, change your scope or renew your registration
- if there is data or information that indicates you may be at risk of not meeting each of your regulatory obligations
- as part of a monitoring process to sample random providers.

How ASQA Scopes Your Performance Assessment

ASQA decides the scope of your performance assessment by reviewing factors such as enrolment and completion data, compliance history, current and past complaints, intelligence from other regulators, and applications that will be considered as part of the performance assessment.

What Determines the RTO's Compliance History

The following factors are used to determine the RTO's compliance history:

- Audit history
- Complaint history
- Compliance with data provision requirements
- Payments to ASQA of fees and charges
- Submission of the annual declaration on compliance

The ASQA Performance Assessment Process

The performance assessment process has five key steps:

1. Initial contact and planning
2. Compliance testing through evidence collection and analysis
3. Closing meeting to explain findings
4. Writing a performance assessment report
5. Sharing findings and outlining next steps

Evidence of Compliance

Auditors look for evidence of compliance in several ways, including examining training and assessment records, researching other intelligence like websites and social media, interviewing students, trainers, and assessors, and contacting relevant third parties.

ASQA's performance assessments are customised for each training provider, informed by the RTO's compliance history and risk intelligence. They revolve around five key phases of the student experience: marketing and recruitment; enrolment; support and progression; training and assessment; and completion.

Non-compliance Consequences

RTOs are usually given 20 working days to rectify non-compliance. If non-compliance persists, ASQA takes a decision based on the RTO's history of compliance and the risks associated with the non-compliance. Actions might include applying a sanction or condition to your registration, and/or rejecting your application.

RTOs can usually request a reconsideration through the Australian Appeals Tribunal if they remain non-compliant after the reassessment of decision with ASQA.

How to be Performance Assessment Ready

To ensure performance assessment readiness:

- Understand the standards and the evidence required
- Establish and adhere to a continuous improvement schedule
- Get management and team backing for the continuous improvement schedule
- Regularly communicate necessary information to all relevant staff
- Centrally store information and systematically arrange in well-defined folders
- Educate and prepare the team effectively

Note: This VET Fact Sheet provides general information and should not be considered as legal advice.