

# ASQA PERFORMANCE FRAMEWORK

Our approach	Performance criteria	Evidence of performance/asures
<p><b>1</b> Risk-based approach</p>	<p><b>Identify</b> and <b>develop understanding</b> of the risks to VET and <b>take regulatory action</b> to address the most serious identified risks.</p>	<ul style="list-style-type: none"> <li>• Qualitative information on the strategies/strategic reviews undertaken, with supporting statistics on the related regulatory outcomes achieved.</li> <li>• Production of regulatory strategy to address key risks.</li> <li>• Publication of regulatory risk framework.</li> </ul>
<p><b>2</b> Risk-based regulation—supporting quality</p>	<p>Effectively manage risk-based <b>registration</b> of quality RTOs and <b>accreditation</b> of courses that meet Australia’s vocational education needs.</p>	<ul style="list-style-type: none"> <li>• Qualitative information on use of risk-based approach to assessing applications.</li> <li>• Quantitative information on regulatory management of:               <ul style="list-style-type: none"> <li>◊ initial registration applications</li> <li>◊ renewal of registration applications</li> <li>◊ change of scope applications</li> <li>◊ course accreditation and amendment applications.</li> </ul> </li> <li>• Qualitative information on other initiatives we undertake to support quality in VET.</li> </ul> <p><b>Service standards:</b></p> <ul style="list-style-type: none"> <li>• Initial registration applications finalised within 130 working days (six months).</li> <li>• Renewal of registration applications finalised prior to expiry date.</li> <li>• Change of scope applications finalised within 130 working days (six months).</li> <li>• Course accreditation applications finalised within 130 working days (six months).</li> <li>• Course amendment applications finalised within 20 working days.</li> </ul>
<p><b>3</b> Risk-based regulation—compliance and enforcement</p>	<p>Deliver standards-based <b>auditing</b> based on risk and apply appropriate and proportionate <b>regulatory decisions</b>.</p>	<ul style="list-style-type: none"> <li>• Qualitative information about adjustments made to our regulatory approach based on our understanding of risks.</li> <li>• Quantitative information on our risk-based audit activities (trends over time) and levels of compliance detected, with qualitative information on the risk context.</li> <li>• Quantitative and qualitative information on regulatory processes<sup>2</sup>, sanctions, enforcement activities, conditions applied and outcomes of contested sanctions.</li> <li>• Provider survey results on our proportionate application of sanctions (more than 70 per cent satisfaction).</li> </ul> <p><b>Service standards:</b></p> <ul style="list-style-type: none"> <li>• Audit reports provided within 20 working days of last day of audit.</li> <li>• When we have accepted additional evidence from a provider after an audit we will provide the decision within 30 working days.</li> <li>• Reconsideration applications finalised within 65 working days (three months).</li> </ul>

<sup>2</sup> Regulatory processes include 'Notices of Intent' to apply sanctions and 'Reconsideration' processes that may result in rectification with the provider becoming compliant and avoiding sanction.

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<p><b>4</b></p> <p>Stakeholder engagement about risks</p>	<p>Effectively seek information to inform our <b>understanding of risks</b> in the VET sector.</p>	<ul style="list-style-type: none"> <li>• Qualitative information on our engagement with stakeholders to gather information on regulatory risks.</li> <li>• Quantitative information on complaints/reports that allege provider non-compliance.</li> </ul>
<p><b>Service standards:</b></p> <ul style="list-style-type: none"> <li>• Complaints about training providers are finalised/referred for regulatory activity within 85 working days (four months).</li> </ul>		
<p><b>5</b></p> <p>Engagement supporting stakeholders' understanding of VET sector compliance.</p>	<p>Provide clear, targeted and effective <b>information and support</b> to stakeholders about the VET sector and compliance with standards.</p>	<ul style="list-style-type: none"> <li>• Qualitative and quantitative information on our efforts to provide clear and accurate information about VET sector compliance to stakeholders.</li> <li>• Qualitative and quantitative information about the support provided to the regulated community to improve compliance with standards and quality VET provision.</li> <li>• Quantitative information about the support provided to the sector to collect and manage student records when RTOs close down.</li> <li>• Provider survey results (more than 70 per cent satisfaction) with: <ul style="list-style-type: none"> <li>◊ our engagement activities</li> <li>◊ provider briefing sessions</li> <li>◊ ASQA web usability</li> <li>◊ Info Line assistance</li> </ul> </li> </ul>
<p><b>Service standards:</b></p> <ul style="list-style-type: none"> <li>• Simple procedural email queries responded to within two working days.</li> <li>• Complex telephone queries escalated within two working days (with likely resolution time, if applicable).</li> <li>• Complex email queries responded to within 10 working days.</li> </ul>		
<p><b>6</b></p> <p>Engagement to strengthen regulation and VET.</p>	<p>Provide input and <b>advice</b> on strategies to improve VET regulation and the VET sector.</p>	<ul style="list-style-type: none"> <li>• Qualitative instances of providing input and advice to initiatives/reviews to strengthen VET regulation and improve the VET sector.</li> <li>• Stakeholder survey results about our performance in this area (more than 70 per cent satisfaction).</li> </ul>