



Australian Government
Australian Skills Quality Authority

ASQA

ASQA Corporate Plan 2022–23

Quality outcomes for Australia's vocational education and training sector

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Chief Executive Officer's message and statement of preparation

As the Chief Executive Officer (CEO) and Accountable Authority of the Australian Skills Quality Authority (ASQA), I am pleased to present ASQA's Corporate Plan 2022–23.

ASQA's Corporate Plan 2022–23 has been shaped by the expectations of the Australian Government and following advice on the performance of our functions from the recently established National Vocational Education and Training (VET) Regulator Advisory Council. It outlines our purpose, how we will achieve this purpose and how government, our stakeholders and the community will know that we have achieved these outcomes as we undertake our critical role in what can only be described as a transformational period for VET in Australia.

As the national regulator of VET, ASQA's job has never been more important. The Australian community is seeking assurance that VET is delivered to a quality standard that is reflective of the critical role the sector plays in supporting Australia's recovery from the pandemic and ongoing growth and productivity. ASQA is essential to providing such assurance, instilling public confidence and trust in the VET sector, and delivering the improvements and quality outcomes that government and the community expects. Expectations of our performance remain high – and our resolve and commitment to ensuring the integrity of national qualifications issued by training providers is unwavering.

In 2021–22, ASQA set about embedding changes made during our transitional year of reform, focusing on supporting the shift in our regulatory approach towards provider self-assurance and excellence in training outcomes, enhancing our educative approach and engagement with the VET sector, and driving the organisational and cultural change required to ensure sustained improvements over the longer term. We continued with implementation of our reforms, maturing, in partnership with our stakeholders, our approach to identifying regulatory risk and using an appropriate mix of our educative, compliance and

enforcement tools and approaches to prevent and manage realised risk. These areas of reform focus, and the Rapid Review¹ more generally, form the fundamental basis of ASQA's Corporate Plan 2022–23, which is and remains, a maturity journey not just for ASQA as the regulator but for the VET sector as a whole.

2021–22 saw us introduce a refreshed performance framework, which more closely aligned with our purpose and enabled us to track progress against our strategic objectives and more meaningfully report on outcomes. In accordance with our commitment to continuous improvement and working in partnership with our stakeholders to enhance the quality, relevance and timeliness of information about our performance and the performance of the sector, ASQA's Corporate Plan 2022–23 presents a further refined performance framework which sets out the key actions and accountabilities that will support us to deliver on our priorities between 2022–26. The next reporting period is intended to deliver significant shifts in performance across the sector and within ASQA, and our Corporate Plan 2022–23 reflects this ambitious program.

ASQA is committed to taking a whole-of-system approach to supporting the maturing of the capability and capacity of the VET sector over the next 4 years. For example, by continuing to work with the sector to co-design a model of self-assurance which will support providers to deliver quality outcomes and to work with peak sector and industry bodies to continue to build the capability of the sector to deliver quality outcomes across areas of high skills demand and risk.

¹ 'Rapid Review' refers to Rapid Review of the Australian Skills Quality Authority's Regulatory Practices and Processes, April 2020, <https://www.dese.gov.au/australian-education-act-2013/resources/asqa-rapid-review-final-report>.

ASQA will continue to ensure our regulatory expertise and knowledge is considered in policy decisions and proposed changes to the regulatory framework, engaging early with relevant government departments, as shared stewards of the VET sector, to ensure that the regulatory framework for which we have operational responsibility remains fit-for-purpose. These efforts will support the priorities of government and broader VET sector initiatives, which aim to ensure the VET system is delivering for students and employers and equipping Australians with the skills they need for emerging jobs.

ASQA's Corporate Plan 2022–23 sets out our readiness to respond to the ever-changing operational environment – including new government priorities. Over the next 4 years we will continue to build organisational capacity for change and embed risk-based, responsive and outcomes focussed regulatory culture and practices to fully realise our strategic objectives.

Our forward plan of work also outlines how we will enhance our organisational governance and improve our efficiency and effectiveness, ensuring we provide value for money through our regulation. We will fulfil the Australian Government's requirement for ASQA to implement full cost recovery and utilise the cost recovery model as a key tool to minimise costs to business and taxpayers while improving quality outcomes and maintaining safeguards for quality VET.

I thank our sector and government partners for their continued support. I also acknowledge the significant ongoing efforts of ASQA staff and thank them for their dedication, professionalism and unwavering dedication to continuous improvement.

Using this plan as our strategic foundation, ASQA will deliver on its important purpose and promote confidence and trust in Australia's VET system as one that delivers quality training outcomes for all.

Statement of preparation

I, Saxon Rice, as the accountable authority of the Australian Skills Quality Authority (ASQA), present our Corporate Plan 2022–23, which covers the period 1 July 2022 to 30 June 2026, as required under section 35(1) (b) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act).

This plan is prepared in accordance with the Public Governance, Performance and Accountability Rule 2014. This plan also meets the corporate plan requirements of sections 218(1) of the *National Vocational Education and Training Regulator Act 2011* (NVR Act).



Saxon Rice
Chief Executive Officer
30 June 2022

ASQA's purpose

Our purpose is to ensure quality vocational education and training so that students, employers, governments, and the community have confidence in the integrity of national qualifications issued by training providers.

Our role

ASQA is the national VET regulator.

We ensure quality VET through regulation of:

- providers that deliver VET qualifications and courses to students in Australia or offer Australian qualifications internationally
- providers that deliver VET courses to overseas students – providers need to be approved on the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS) to teach overseas students on student visas in Australia
- certain providers that deliver English Language Intensive Courses for Overseas Students (ELICOS).

We accredit VET courses to make sure nationally approved standards are met, based on established industry, enterprise, education, legislative and/or community need.

We support confidence in the integrity of national qualifications issued by training providers by:

- ensuring our education, monitoring, compliance and enforcement activities make full use of intelligence and data so that the community can be confident that our activities are based on analysis of risk

- using broad reaching education as a primary regulatory tool and providing feedback enabling regulated entities to take responsibility for their own compliance, aiming to increase their levels of capability and commitment. This promotes provider capability for self-assurance to mitigate risk and continuously improve VET outcomes
- maintaining essential safeguards by responding adeptly to provider non-compliance and taking effective action applying a range of compliance and enforcement activities proportionate to the level of harm.

Our legislation

We operate within a framework of wider VET legislation, including the requirements for training packages that define the skills and knowledge learners need to perform jobs.

Our legislative framework includes the:

- legislation establishing ASQA as the national VET regulator
- VET Quality Framework of standards and requirements of providers
- *Standards for VET Accredited Courses 2021*
- legislation relating to education services for overseas students (ESOS).

A full listing of ASQA's legislation and instruments is provided at [Appendix B](#).

Strategic objectives to achieve our purpose

We have worked with our key stakeholders to identify the strategic objectives we need to pursue over the forward years to achieve our purpose.

This year ASQA has further developed our program of work around our strategic objectives and engaged with our key stakeholders to develop and enhance our performance framework so we can track our achievements and the achievements of the sector.

Our purpose is to ensure quality vocational education and training so that students, employers, governments, and the community have confidence in the integrity of national qualifications issued by training providers.

STRATEGIC OBJECTIVES KEY PERFORMANCE INDICATORS (KPIs)

<p>1. Our regulatory approach promotes a culture of self-assurance and continuous improvement</p>	<p>ASQA delivers improved provider self-assurance capability and continuous quality improvement</p> <ul style="list-style-type: none"> • Our regulatory tools and practices support providers to self-assure quality VET outcomes and continuously improve • Our published insights about risks and the outcomes of our risk treatments support providers to self-assure their own operations
<p>2. Our regulatory approach is best practice, integrated, risk-based and proportionate</p>	<p>ASQA regulation is best practice, integrated, risk-based and proportionate</p> <ul style="list-style-type: none"> • Our regulation focuses on the greatest risk of harm to the integrity of qualifications and achievement of quality outcomes • Our education and communication with the sector supports regulatory outcomes • We manage risks proportionately and maintain essential safeguards utilising the full suite of our regulatory tools • We implement better practice improvements in how we exercise our regulatory functions
<p>3. Our regulatory approach is transparent and accountable</p>	<p>ASQA is transparent in the performance of its regulatory functions and its responsibilities, including compliance with the <i>Standards for VET Regulators 2015</i>, and publishes information about the performance of the sector to support transparency and accountability</p> <ul style="list-style-type: none"> • Stakeholders can access information about our regulatory approach • Stakeholders can access information about our regulatory activity and performance • The Australian community can access information about our regulatory decisions • The Australian community can access information about sector-wide performance • We report on implementation of ASQA's regulatory reform
<p>4. We engage, consult and partner with stakeholders to improve regulatory outcomes</p>	<p>ASQA's engagement and partnerships provide clarity of the role of the national regulator and improve regulatory impact</p> <ul style="list-style-type: none"> • Our partnerships and engagement inform and enhance our regulatory approach • We are proactive in our engagement to ensure that the regulatory system for which we have operational responsibility remains fit-for-purpose over the long term
<p>5. We add value and are efficient, effective, and continuously improve</p>	<p>ASQA is efficient, effective and continuously improves</p> <ul style="list-style-type: none"> • We use our cost recovery model as a key tool to understand and improve the efficiency of our operations and inform the alignment of our resources to regulatory priorities • We share information about our assurance and quality control activities • We share information about evaluation of our regulatory operations • We progressively implement digital enhancements that improve the efficiency of our operations

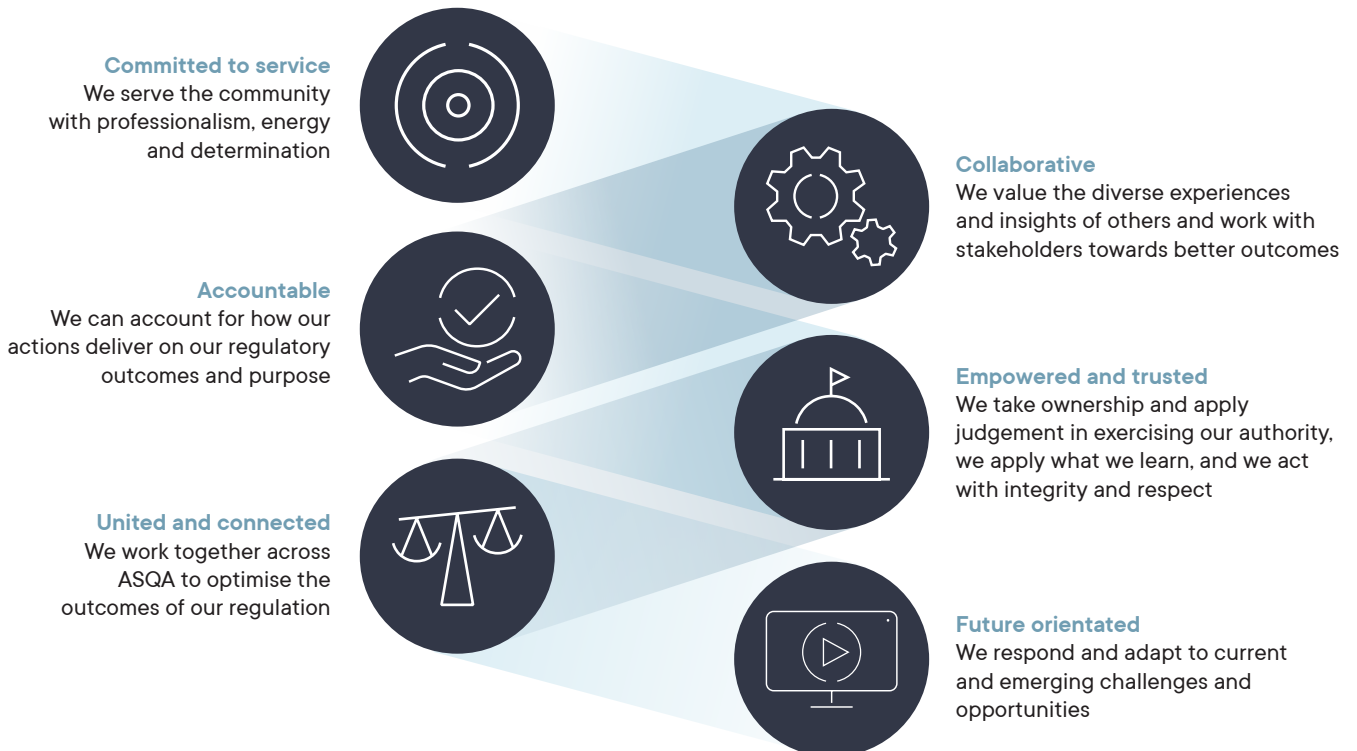


Our values

As a regulator committed to continuous improvement and building trust in its regulatory settings, ASQA has recently articulated and is working on embedding our organisational values that will support our strategic objectives.

These values:

- support us in achieving our purpose as a regulator
- clarify our mindset and motivations
- guide us in how we operate
- help ensure we are doing the right things in the right way
- describe what the regulated community can expect of us
- describe how we operate to our stakeholders.



Our operating environment

Government priorities

The Australian Government is focused on ensuring the VET system is delivering for students and employers and equipping Australians with the skills needed for emerging jobs and to drive Australia's future economic growth.

Government priorities include:

- strengthening workforce planning to identify and address areas of current and forecast skills shortages – particularly those areas that have significant impacts on Australia's post-pandemic economic recovery. This includes establishing an independent body to partner with industry and the sector to undertake and inform workforce planning
- targeting identified skills gaps in critical workforces, including by supporting students to study in industries identified with skills shortages through the provision of fee-free public VET places and investing in apprenticeships and traineeships.

ASQA's regulation of the sector will play a critical role in supporting government's response in these priority areas.

Government initiatives to target skills gaps through stimulation of VET growth in international markets will inevitably be an area of focus for effective regulation of those markets. ASQA will continue to work in partnership with other ESOS agencies to drive improvements in the administration of the ESOS Framework, including the *Education Services for Overseas Students Act 2000* (ESOS Act), National Code of Practice for Providers of Education and Training to Overseas Students 2018 (National Code) and the *ELICOS Standards 2018*. ASQA will also give further consideration to arrangements to support engagement with international regulators to mitigate risks to quality outcomes in offshore delivery and reputational risks for the Australian VET sector.

We regularly engage with the relevant portfolio government departments – the Department of Education (DE) and Department of Employment and Workplace Relations (DEWR) – to ensure ASQA's regulatory approaches and our staged implementation of reforms to regulatory culture and practices support the intent of the Heads of Agreement for Skills Reform, published in August 2020. In particular, this includes supporting reforms to strengthen quality standards, planning for forward implementation and transition to revised standards, and supporting provider capacity and capability for continuous improvement.

Market risk

In a rapidly changing sector ASQA has an important role in early identification and response to emerging risks. These may arise due to changes in environmental settings such as the COVID-19 pandemic, natural disasters, market responses, increased government funding, policy or regulatory settings and any number of other factors including technical change, new business models for industry participants, and changes in consumer preferences or behaviours (such as the shift to online delivery seen during the pandemic).

ASQA will continue to take a proactive approach to monitoring market settings and provider behaviour, including through:

- using established forums to support strategic engagement with stakeholders and providers and identify environmental risks
- ongoing scanning of the environment using regulatory data, intelligence and insights from our partners to enable early detection of and proportionate responses to identified risks
- undertaking a range of monitoring activities of providers such as those delivering in areas of government funded training where there is an assessed level of risk
- implementation of targeted education campaigns to share risk insights and support providers to manage risks.

ASQA will continue to be cognisant of the impact of natural events and, as it has most recently in responding to the pandemic and floods on the east coast of Australia, seek to understand and respond to the opportunities and risks such events afford, ensuring our regulatory approach and strategies remain fit-for-purpose, proportionate, and effective in managing risks in the evolving environment.

New training product assurance function

Consistent with the National Vocational Education and Training Regulator (Other Functions) Instrument 2022, ASQA is expected to, from 1 January 2023, undertake a training product assurance function that will:

- assess training products for compliance against standards and policies set by Skills Ministers and
- work with Industry Clusters to build their capacity and provide guidance on risk and the requirements for the development of training products.

More detail on the exercise of this function will be updated in ASQA's Corporate Plan 2022–23 prior to 1 January 2023.

How we regulate

Regulatory best practice approach

As a Commonwealth regulator, ASQA is committed to meeting the expectations outlined in the Regulator Performance Guide (the Guide) released in July 2021.

The Guide applies to Commonwealth entities that perform regulatory functions and sets out expectations for regulator performance and reporting, which are underpinned by the following 3 principles of regulator best practice:

Principles of regulator best practice

1. **Continuous improvement and building trust:** regulators adopt a whole-of-system perspective, continuously improving their performance, capability and culture to build trust and confidence in Australia's regulatory settings.
2. **Risk-based and data-driven:** regulators manage risks proportionately and maintain essential safeguards while minimising regulatory burden, and leveraging data and digital technology to support those they regulate to comply and grow.
3. **Collaboration and engagement:** regulators are transparent and responsive communicators, implementing regulations in a modern and collaborative way.

Consistent with the principles of best practice regulation, ASQA's regulatory approach adopts a whole-of-system perspective, continuously improving our performance, capability and culture, to build trust and confidence in our regulatory settings, including the transparency of our operation as the national regulator of VET.

Our performance against our 5 strategic objectives will be measured using the performance framework detailed in this plan, which aligns with the principles set out in the Guide as follows:

1. Continuous improvement and building trust (strategic objectives 1, 3 and 5)
2. Risk-based and data-driven (strategic objective 2)
3. Collaboration and engagement (strategic objective 4).

Our approach to regulation is set out in our Regulatory Risk Framework, which communicates our management of sector and provider risk. The framework describes how our regulatory functions are applied through ASQA's Regulatory Operating Model. We take a responsive, proportionate and risk-based approach to the regulation of the VET sector that focuses on:

- promoting a culture and system of self-assurance and continuous improvement by building and supporting systemic provider capability for self-assurance
- treating the most significant risks to the integrity of qualifications issued by training providers and the achievement of quality VET outcomes
- analysing intelligence to gain insights into provider and sector behaviour – and designing regulatory activities that make use of these insights and respond to specific regulatory risks
- engaging strategically with providers and stakeholders about risk – sharing information to support a better understanding of risk and raise awareness of our risk priorities, and providing feedback to support providers to self-assure and continuously improve in these areas

- applying risk-based, proportionate and fit-for-purpose responses through foundational risk treatments including education, registration and approvals, course accreditation, routine sector monitoring, performance assessment, compliance management and internal review of decisions
- using insights and outcomes from our regulatory operations to report on provider and sector performance, understand the impact and effectiveness of our regulatory activities, including having regard to the diversity of the sector we regulate, and continuously improving our regulatory design and approach.

Taking a risk-based approach to regulation

We apply risk-based and data-driven approaches to allocate regulatory effort, manage risks proportionately and minimise regulatory burden. In doing so, we make the best use of a range of regulatory approaches to ensure compliance and support providers to understand risks to quality outcomes.

Risk management is integral to our regulatory practice, including how we:

- focus on addressing greatest potential for harms
- innovate in key areas of regulatory practice
- engage and partner with our stakeholders
- drive self-assurance and continuous improvement across the sector
- are accountable for effective allocation of regulatory resources.

ASQA identifies and publishes Regulatory Risk Priorities. These areas are informed by data, information and gathered intelligence to ensure we are responding to the most significant risks in the sector. Regular scanning of the environment and engagement with our stakeholders enables us to review and update priorities and communicate with the sector about risks.

Areas of focus in 2022–23 include aged care and disability support, international, market performance and economic factors.

A key focus of ASQA's Regulatory Operating Model is ensuring we apply integrated, contemporary, tailored approaches to address risk. We address risks through:

- the design of regulatory activities with a range of education, engagement, monitoring, assessment and compliance activities, used individually or in combination to respond to particular risks
- the scope, frequency and types of monitoring and assessment activities we undertake
- the nature of our regulatory response in relation to findings of provider non-compliance.

Where we find that a provider does not meet the requirements of the legislation and/or the standards, we will respond to non-compliance proportionate to the level of risk and a range of matters, to determine the most appropriate response is being taken to be an effective deterrent against non-compliance (for the non-compliant provider and more broadly). When we respond, we will use a range of regulatory tools, which aim to ensure the provider addresses the non-compliance and has systems to monitor and ensure ongoing compliance.

The range of regulatory tools to encourage, assist, or enforce compliance with the legislation, are used individually or in combination to respond to non-compliance in a way that is appropriate for the circumstances and proportionate to the harm. ASQA's graduated approach applies a range of escalating regulatory tools to promote and ensure compliance including:

- education and encouragement
- directing compliance and imposing conditions on registration
- enforceable undertakings
- sanctions and infringement notices
- suspensions
- cancellation
- court actions and civil penalties.

We may also refer criminal prosecutions to the Commonwealth Director of Public Prosecutions if we have evidence that an offence provision has been breached.

In 2022–23, ASQA will implement our enhanced data and analytics strategy and build improved understanding of the diversity and characteristics of the market in order to better target our services and interactions with regulated entities. We will also continue to collaborate with our stakeholders to understand and address sector and individual provider risks in the context of changes in our shared operating environment.

Our risk-based Regulatory Operating Model and self-assurance approach provides further opportunity for ASQA to refresh our commitment to diversity and inclusion and the reconciliation between Aboriginal and Torres Strait Islander peoples and non-Indigenous Australians through a proportionate approach, having regard for the circumstances that providers delivering to such cohorts are operating within, and seeking to understand how they are delivering quality VET outcomes.

Education

Our broad-based education and engagement functions have sector-wide reach and are available to all providers. Where we find patterns of non-compliance across multiple providers, we provide education and advice that assists providers to understand the requirements, assure themselves that they are managing the risks, and take action to address any areas identified as not compliant.

In 2022–23, ASQA is focused on further improving the information and guidance it offers to support providers to understand and meet their regulatory requirements. Communication and engagement is a key regulatory function in our Regulatory Operating Model. We educate in the following ways:

- We actively promote and support a provider culture and systems for self-assurance and continuous improvement – where we find patterns of non-compliance across multiple providers, we focus our guidance to assist the sector to understand the risk and legislative requirements; this supports self-assurance by enabling providers to identify, and address early, any deficiencies in their operations to limit or prevent harm to students or the sector.

- When we interact with providers, we use multiple levers to support education and behaviour change – including partnering with stakeholders, funding authorities and other regulators on regulatory priorities to enhance outcomes.
- When we identify a provider is not complying, we clearly communicate this information in a way that supports them to understand what is required. While it is not our role to tell providers how to rectify non-compliance, we explain the requirements of the relevant legislation and applicable standards, and why we consider the provider has fallen short.

In 2022–23, ASQA will implement a dedicated platform to complement the existing knowledge environment relating to the regulation of providers on ASQA's website, in the form of a new Engagement and Education Management System (EEMS). As new content and initiatives are developed, the EEMS will support and enable expansion of core information through an interactive online learning experience, and delivery of targeted self-paced training programs to support providers to understand and meet their conditions of registration and support regulatory outcomes in areas of sector risk.

Provider self-assurance

Students, industry, the community, governments and ASQA expect providers to comply with their obligations and to have mechanisms in place to ensure that they are meeting relevant standards at all times. This is a core part of a provider's best business practice and is central to maintaining and improving quality VET. Self-assurance is a cornerstone of achieving ASQA's purpose, improving market performance and the role of regulation in enhancing confidence in Australia's VET sector.

Self-assurance refers to how providers manage their operations to ensure a focus on quality, continuous improvement and ongoing compliance with the *Standards for Registered Training Organisations (RTOs) 2015 (Standards for RTOs 2015)*. Self-assurance involves providers having systems in place to critically examine their performance against the standards and training outcomes, on an ongoing basis, to meet obligations and identify ways to continuously improve.

Self-assurance enables providers to identify and address any deficiencies in their compliance early to limit or prevent harm to students, or the sector. The types and frequency of the measures implemented will vary from provider to provider based on their characteristics and the risk of non-compliance.

Importantly, self-assurance is not the same as self-regulation and it does not replace or diminish the role of the regulator. It is complementary to the efforts of the regulator and will enable the sector to build its capacity for managing risks to quality, continuous improvement and excellence in training outcomes.

In 2022–23, ASQA will continue its engagement with the sector on self-assurance to promote and build sector-wide understanding and capability for self-assurance as a key driver of quality outcomes. We will use our data, and regulatory insights and knowledge to identify common areas of non-compliance and develop consistent guidance to support providers to self-assure their operations and continuously improve performance against the standards.

We will also develop regulatory approaches that promote self-assurance including co-designed self-assessment tools and pilot new approaches to the annual declaration on compliance. We will provide feedback to support provider self-assurance practices and build a shared understanding over time of the level of maturity in the sector. This will help us to better differentiate the nature of our engagement and interactions with regulated entities.

This change will be further supported by continued enhancements to the way ASQA engages with the sector on risk, including using education as a key regulatory tool (as outlined above).

Engagement and collaboration

Engagement supports our regulatory objectives and government priorities for quality VET outcomes and continuous improvement of the regulatory framework.

Our focus is on:

- partnerships that result in a national approach to the regulation of the VET sector – continuously improving our partnership and engagement on matters relevant to ASQA's role as the national regulator of VET and building a common understanding and alignment of our role and regulatory approach to evolving government expectations of ASQA
- feedback loops that inform broader VET sector reforms and improve regulatory policy and regulatory outcomes. For example, providing ongoing input to the reforms to the VET Quality Framework and the review of the *Standards for RTOs 2015*
- building a common understanding of ASQA's role and regulatory approach, what stakeholders can and cannot expect of us and areas of shared stakeholder responsibility – recognising that our regulatory operations intersect with other parts of the VET system with many influences on provider quality – and partnering with other entities to address risks, enhance quality outcomes and reduce regulatory burden for providers
- partnerships and strategic engagements that improve regulatory outcomes – collaborating to identify regulatory risks and designing regulatory approaches and strategies that are well-informed and take account of the current and emerging environment in which we are operating. This means clarifying expectations, sharing information with stakeholders to better understand risk, and raising awareness and providing clear feedback and support for providers to self-assure and continuously improve. This includes working together with our partners to develop education tools and guidance material which support self-assurance capability for providers.

In 2022–23 ASQA will work with governments and stakeholders to support reforms to strengthen quality standards, planning for forward implementation and transition to the revised standards. Our strategic engagement will also focus on partnerships to support government initiatives to target skills gaps including through renewed focus on growth in international markets.

Key activities and performance measurement

Across all our activities, and deploying the full suite of our regulatory tools as required, we will focus on self-assurance and excellence in training outcomes, enabled by improved engagement with all stakeholders and expanded use of education and information.

This includes education, information, administrative actions and enforceable actions. ASQA's key activities detailed below reflect how we will use the full range of risk-based regulatory tools to understand provider performance, promote and monitor compliance, and address non-compliance.

Our 5 strategic objectives align with the performance criteria in our Portfolio Budget Statement (PBS) 2022–23. For each strategic objective, we have identified key activities, key performance indicators (KPIs), measures and targets to assess our performance. Our planned activities also incorporate ongoing implementation of Rapid Review recommendations.

As part of delivering best practice regulation for Australia's VET sector, we will enhance our performance framework, year-by-year, to improve the quality, relevance and timeliness of information about our performance, and the performance of the sector we regulate.



Strategic objective 1: Our regulatory approach promotes a culture of self-assurance and continuous improvement



Strategic objective 1: Our regulatory approach promotes a culture of self-assurance and continuous improvement				
PBS performance criteria: ASQA delivers improved provider self-assurance and continuous quality improvement				
Key activities				
<ul style="list-style-type: none"> • Draw on research and the body of knowledge established in Australia and elsewhere to enhance ASQA's and the sector's understanding of approaches to self-assurance • Use our data, and regulatory insights and knowledge to identify common areas of non-compliance and develop consistent guidance to support providers to self-assure their operations and continuously improve performance against the standards • Develop regulatory approaches that promote self-assurance including co-designed self-assessment tools and new approaches to the annual declaration on compliance • Build ASQA's understanding of provider self-assurance practices and maturity in order to better differentiate the nature of our engagement with regulated entities 				
KPI	Performance measure	Year	Target	
1.1 ASQA's regulatory tools and practices support providers to self-assure quality VET outcomes and continuously improve	1.1a) Percentage of providers that agree that our regulatory tools and practices support them to self-assure and continuously improve	2022-23	75%	
		2023-24	Upward trend	
		2024-25	Upward trend	
		2025-26	80%	
1.2 Our published insights about risks and the outcomes of our risk treatments support providers to self-assure their own operations	1.2a) Percentage of providers that agree that our published insights about risks and the outcomes of our risk treatments support providers to self-assure their own operations	2022-23	75%	
		2023-24	Upward trend	
		2024-25	Upward trend	
		2025-26	80%	

Strategic objective 2: Our regulatory approach is best practice, integrated, risk-based and proportionate



Strategic objective 2: Our regulatory approach is best practice, integrated, risk-based and proportionate			
PBS performance criteria: ASQA's regulation is best practice, integrated, risk-based, data-driven, and proportionate			
Key activities:			
<ul style="list-style-type: none"> • Implement our enhanced data and analytics strategy and build improved understanding of the diversity and characteristics of the market in order to better target our services and interactions with regulated entities • Collaborate with our stakeholders to understand and address sector and individual provider risks in the context of changes in our shared operating environment • Work with key stakeholders and providers to continuously improve our risk-based and proportionate regulatory practice • Improve our reporting on outcomes from our regulatory activities including sharing the insights from these activities with the sector • Implement an Engagement and Education Management System (EEMS) to support providers to understand and meet their conditions of registration and support regulatory outcomes in areas of sector risk • Build and maintain collaborative relationships with other regulators and consider best practice examples from other jurisdictions and regulatory systems 			
KPI	Performance measure	Year	Target
2.1 Our regulation focuses on the greatest risk of harm to the integrity of qualifications and achievement of quality outcomes	2.1a) ASQA draws on intelligence and data from a broad range of inputs to determine the most significant risks and publishes Regulatory Risk Priorities	2022-26	2 per year
	2.1b) ASQA reports on outcomes of our delivery of planned, integrated regulatory treatments and how they address our Regulatory Risk Priorities	2022-26	Annually
	2.1c) ASQA implements and reports on our ASQA Data Strategy and Roadmap 2021-24 to embed the use of data, analytics and insights through our decision making	2022-24	Annually

Strategic objective 2: Our regulatory approach is best practice, integrated, risk-based and proportionate			
PBS performance criteria: ASQA's regulation is best practice, integrated, risk-based, data-driven, and proportionate			
KPI	Performance measure	Year	Target
2.2 Our education and communication with the sector supports regulatory outcomes	2.2a) ASQA publishes information and guidance to support providers to understand and meet their regulatory obligations	2022–26	Aligned to our Regulatory Risk Priorities, or when risks, obligations, or expectations change
	2.2b) Percentage of providers that report ASQA's feedback is clear and supports an improved understanding of their performance	2022–23	75%
		2023–24	Upward trend
		2024–25	Upward trend
		2025–26	80%
	2.2c) Percentage of applicants that report ASQA's feedback is clear and supports an improved understanding of requirements	2022–23	75%
		2023–24	Upward trend
		2024–25	Upward trend
		2025–26	80%
	2.3 We manage risks proportionately and maintain essential safeguards	2.3a) ASQA demonstrates proportionality by reporting on the broad range of regulatory tools applied at market entry and in promoting and monitoring compliance in accordance with our regulatory Regulatory Risk Framework	2022–26
2.3b) ASQA demonstrates proportionality by reporting on the broad range of regulatory tools applied in responding to findings of non-compliance in accordance with our Regulatory Risk Framework		2022–26	Annually
2.4 We implement better practice improvements in how we exercise our regulatory functions	2.4a) Number of improved regulatory processes implemented in consultation with key stakeholders	2022–26	2 per year
	2.4b) We publish evidence of ASQA's active participation in regulatory communities of practice	2022–26	Annually

Week 11 Brief of evidence PowerPoint

The Informant and the Informant statement

- The informant is the person (a Police Officer) that brings forth the charges against a person. They give evidence in court against that person (Victoria Legal Act, 2020)
- The informant statement includes a description of information about how the informant believes the alleged accused broke the law (Victoria Legal Act, 2020).



Strategic objective 3: Our regulatory approach is transparent and accountable



Strategic objective 3: Our regulatory approach is transparent and accountable

PBS performance criteria:

- ASQA is transparent in the performance of our regulatory functions and responsibilities as a regulator, including compliance with the *Standards for VET Regulators 2015*
- ASQA publishes information about performance of the sector to support transparency and accountability

Key activities:

- Continue to systematically improve the quality, relevance, and timeliness of the information we release publicly including about:
 - how our risk-based regulatory model works
 - our performance and evaluation
 - the continuous improvements we make, including our implementation of the Rapid Review recommendations
 - our regulatory decisions
- Continue to systematically improve the quality, relevance, and timeliness of:
 - the information we share with other government entities to improve the broader efficacy of regulatory practice and impact
 - the information, including in relation to our decisions, that we make available to providers and the community

KPI	Performance measure	Year	Target
3.1 Stakeholders can access information about our regulatory approach	3.1 a) We publish our Regulatory Risk Framework and Regulatory Operating Model	2022-26	Annually
3.2 Stakeholders can access information about our regulatory activity and performance	3.2a) We report on our performance against ASQA Service Standards	2022-26	Annually
	3.2b) We report on our performance against the <i>Standards for VET Regulators 2015</i>	2022-26	Annually
3.3 The Australian community can access information about our regulatory decisions	3.3a) We publish information about provider performance to enable students and employers to differentiate between providers	2022-26	Annually
3.4 The Australian community can access information about sector-wide performance	3.4a) We publish a summary of our findings regarding all providers' performance against the standards	2022-23	Annually
	3.4b) We analyse and report on trends in relation to complaints received about registered training providers	2022-26	Annually
3.5 We report on implementation of ASQA's regulatory reform	3.5a) We report on the number of Rapid Review recommendations implemented	2022-26	Annually

Strategic objective 4: We engage, consult and partner with stakeholders to improve regulatory outcomes



Strategic objective 4: We engage, consult and partner with stakeholders to improve regulatory outcomes

PBS performance criteria: ASQA’s engagement and partnerships provide clarity regarding the role of the national regulator and improve regulatory outcomes

- Key activities:**
- Build on work to continuously improve our partnership and engagement on matters relevant to our role and regulatory approach and align these to evolving government expectations of ASQA. In particular, we will focus on:
 - partnerships that result in a national approach to the regulation of the VET sector
 - partnerships and strategic engagements that improve regulatory outcomes
 - feedback loops that inform broader VET reforms and improve regulatory policy and regulatory outcomes
 - engagement that continues to build a common understanding of our role and regulatory approach, what stakeholders can and cannot expect of us, and areas of shared stakeholder responsibility
 - Support skills reforms to strengthen quality standards for registered training organisations, planning for forward implementation and transition to revised standards
 - Support government initiatives, including through renewed focus on growth in international markets

KPI	Performance measure	Year	Target
4.1 Our partnerships and engagement inform and enhance our regulatory approach	4.1a) We constructively engage with peak bodies of the regulated community to inform and improve our regulatory approach and support timely communication with the sector	2022-26	Quarterly
	4.1b) We implement our protocols to engage and collaborate with government entities, other regulators, industry, students and the consumer protection network to support regulatory outcomes	2022-26	Annually
4.2 We are proactive in our engagement to ensure that the regulatory system for which we have operational responsibility remains fit-for-purpose over the long term	4.2a) ASQA reports its contribution to improvement of regulatory settings and the broader VET framework	2022-26	Annually

Strategic objective 5: We add value and are efficient, effective, and continuously improve



Strategic objective 5: We add value and are efficient, effective, and continuously improve

PBS performance criteria: ASQA is efficient, effective, and continuously improves

- Key activities:**
- Build organisational capacity for change and embed risk-based and outcomes focussed regulatory culture and practices to fully realise our strategic objectives
 - Implement government decisions in relation to cost recovery and continued engagement with stakeholders on cost recovery
 - Use our assurance practices to test the efficacy and quality of what we do and engage with stakeholders to identify and implement continuous improvements to our regulatory operations
 - Implement revised ASQA Service Standards in collaboration with key stakeholders
 - Progressively implement digital enhancements to improve the efficiency and quality of our interactions with regulated entities and applicants
 - Continue to implement a program of evaluation progressively across our Regulatory Operating Model, co-designed with stakeholders to:
 - drive continuous improvement of our performance and the performance of the sector in line with standards and a focus on provider self-assurance
 - confirm our implementation of the recommendations of the Rapid Review
 - support understanding of our efficiency and effectiveness and inform the allocation of resources under the Regulatory Operating Model

KPI	Performance measure	Year	Target
5.1 We use our cost recovery model as a key tool to understand and improve the efficiency of our operations and inform the alignment of our resources to regulatory priorities	5.1a) Our published Cost Recovery Implementation Statement demonstrates how regulatory activities generate costs and the achievement of a minimum efficient cost for those activities	2022-26	Annually
5.2 We share information about our assurance and quality control activities	5.2a) Key stakeholders receive information about our assurance activities and continuous improvement of processes and systems	2022-26	Annually
5.3 We share information about evaluation of our regulatory operations	5.3a) We publish iterative evaluation of our regulatory operations	2022-26	Annually
5.4 We progressively implement digital enhancements that improve the efficiency of our operations	5.4a) We report on the implementation of ASQA's Digital Transformation Project and measure benefits and efficiencies	2022-26	Annually

Capability

ASQA's people, workspaces, organisational structure and information and communication technology (ICT) capabilities are vital to ASQA undertaking its key activities and achieving our purpose.

People and capability

The success of ASQA is dependent on our people. ASQA focuses on attracting, retaining, and developing a highly skilled and engaged workforce, supported by strong leadership capability, within a values-driven organisational culture. Over the next 4 years we will prioritise our organisational capacity for change and embed risk-based and outcomes focussed culture and practices to fully realise our strategic objectives.

Our people strategies align with our values and have been developed to ensure that ASQA has the right people with the right skills at the right time to achieve our purpose. Our geographically dispersed workforce comprises around 200 staff. We are fostering a contemporary, high performing, and inclusive culture and workforce that:

- exemplifies our organisational and Australian Public Service (APS) values
- builds competencies to manage change as we respond to our operating environment
- invests in regulatory skill sets to continue to ensure quality VET outcomes
- is clear about the outcomes to be achieved, supported to succeed including through a range of opportunities for formal and informal professional development
- is recognised for their contributions
- focuses on productivity through adopting modern, flexible work practices
- embraces and celebrates diversity and inclusion, and actively promotes and supports staff health (including mental health) and wellbeing.

Our people and culture priorities will continue to be embedded throughout the forward period of this plan along with other key deliverables including a refreshed ASQA Workforce Strategy.

Full cost recovery

ASQA operates within the Australian Government annual cycle of budgeting, planning and reporting, enabling a high degree of transparency and accountability to all stakeholders about ASQA's program of regulatory activity and therefore its costs, which are then recovered in part through fees and charges. The Australian Government requires all cost recovery agencies to publish a Cost Recovery Implementation Statement (CRIS). The CRIS provides key information on how ASQA calculates and implements charges for specific regulatory activities.

Stakeholder engagement in the identification, prioritisation, planning of regulatory actions to treat and control the risks, and implementation of those actions, enables stakeholders to:

- understand and influence the program of work
- be confident that the work is purposeful, appropriately targeted and the costs are necessary to the achievement of quality VET.

ASQA began operating as a full cost recovery agency on 1 July 2022. This has involved changes to ASQA's cost recovery arrangements, including fees and charges. ASQA's 2022–23 CRIS explains how these fees and charges, together with the strategic use of ASQA's cost recovery model, align with our four-year program of planned improvements to our operations as outlined in this Corporate Plan.

Full cost recovery does not equate to 100 percent of costs being recovered from providers and course owners. A thriving VET sector, where risks to quality VET are managed by ASQA, benefits all Australians and, in recognition of this, the costs of some aspects of ASQA's functions (including, but not limited to, expanding ASQA's educative role to ensure training providers are aware of, and supported to, understand regulatory requirements, strategic reviews, court and tribunal functions). Of the approximately \$45.8 million of ASQA's budgeted expenses, some \$40.5 million is recoverable. Under a full cost recovery model, the percentage recovered from providers and course owners increases from around 60 percent to around 85 percent of ASQA's total budget allocation.

Enhancing ASQA's transparency and accountability to stakeholders for ASQA's planned program of regulatory work, the impact of that work, and the cost of undertaking it, will contribute strongly to building trust and confidence in the national regulator.

In 2022–23 and beyond, ASQA will engage with stakeholders to:

- enhance the cost consciousness of both ASQA and providers and improve the efficient, effective, transparent and accountable conduct of ASQA's regulatory activity
- minimise costs to business and taxpayers while improving quality outcomes and maintaining safeguards. For example, considering the high-volume applications (such as change of scope applications) where more cost-efficient risk management and systems can be developed.

We will also implement quality assurance strategies for the conduct of ASQA's regulatory activity against key indicators of cost and embed ASQA's strategic approach to cost recovery, which is key to continuing to build confidence and trust in ASQA as a best practice, cost efficient regulator.

Organisational design for efficient, responsive regulation

ASQA aligns its organisational design with the outcomes it is seeking to achieve – ensuring we are best placed to successfully implement the next phase of our reform journey and continue to evolve and mature as a best practice regulator.

In 2022–23, ASQA will continue to refine its organisational design so that it is reflective not only of our current context and the existing VET landscape but also of our future direction as outlined in this plan, ensuring our regulation continues to reflect community and government attitudes and expectations. In particular, our design going forward provides for greater delineation of the management of risks associated with market entry and ongoing market performance, as well as a more integrated approach to the use of intelligence and risk-based insights, and education, across ASQA's Regulatory Operating Model.

Digital transformation

ASQA is investing in its digital capabilities to enable best-practice regulation and the ability to deliver customer-centred products efficiently and effectively in a cost recovery setting.

The foundations of our digital transformation journey were established in the 2021–22 financial year, with an extensive focus on:

- aligning our digital transformation with best practice and the existing whole-of-government approach to digital transformation, including sourcing external expertise from the Digital Transformation Agency (including as a member of ASQA's Technology Committee) to inform the development of our Digital Transformation Program
- aligning our digital transformation to maximise efficiency and minimise cost within a cost recovery setting

- aligning our digital transformation to ASQA’s Regulatory Operating Model to ensure our best practice regulation is backed by capable technology
- establishing agile ways of working to increase our ability to adapt and respond to technological change quicker and more efficiently
- partnering with other APS agencies and the private sector to ensure we have the right capabilities in place to deliver on our digital transformation commitments during 2022–23 and beyond
- understanding the journey and experiences of our staff and our provider network when interacting with ASQA, through a comprehensive Customer Experience Research activity.

With our digital foundations established, ASQA will begin delivering a range of contemporary digital products and services that meet the needs of our staff, our provider network, VET consumers, and government commencing in 2022–23.

Our digital transformation will:

- put people at the centre of our transformation by ensuring the products we build meet the needs of our staff, providers and students, and improve on our service delivery capabilities
- enhance our data capture, storage, and analytical capabilities to give ASQA greater visibility of provider information and allow us to implement data-driven and risk-based regulatory approaches based on a contemporary understanding of the performance of the sector and individual providers, including their capability for self-assurance
- ensure ASQA’s ICT architecture is contemporary, cost effective and seamless for providers and other users, delivering more streamlined regulatory interactions between ASQA and providers and supporting efficient and effective regulatory outcomes.

Diversity and inclusion

Diversity Strategy

ASQA will continue to deliver on our Diversity Strategy, launched in November 2019. We are committed to embedding a culture of diversity and inclusion across ASQA and raising awareness around the 5 identified diversity areas outlined in the strategy. We have established a Diversity Champion at the Executive Director level and through our Diversity Working Group (DWG) we will continue to develop and implement a range of strategies, including:

- aligning future ASQA initiatives to the deliverables in the Australian Public Service Disability Employment Strategy 2020–2025, this includes the actions we take to ensure that no discrimination or disadvantage occurs with respect to any ASQA employee on the basis of any aspect relating to their gender, gender identity or sexual orientation
- promoting awareness and increasing line manager knowledge and understanding of positive mental health practices, minimising or eliminating risks to mental health, and supporting employees who are experiencing mental health problems
- commemorating significant diversity and inclusion occasions.

Reconciliation Action Plan

ASQA’s first Reconciliation Action Plan (RAP) was launched in November 2020. The purpose of the RAP is to demonstrate ASQA’s commitment to promoting diversity and inclusion and the reconciliation between Aboriginal and Torres Strait Islander peoples and non-Indigenous Australians throughout our sphere of influence.

In 2022–23, we will continue to review opportunities, through our role as an employer and as the national VET regulator, to further deliver on:

- ensuring our engagements and interactions are appropriate, innovative and accessible to our diverse range of external stakeholders
- engagement with Reconciliation Australia on strategies to increase Indigenous representation and participation, exploring participation in Indigenous Graduate Program and cultural immersion activities.

Enterprise risk oversight and management

Effective, integrated management of risk continues to be critical to the achievement of our purpose. Effective risk management helps us to:

- guard against the possibility that by act, oversight or omission, our ability to achieve our purpose is compromised
- make sound evidence-based decisions in relation to our strategic objectives, management approaches and day-to-day operations
- build our capacity to innovate
- engender confidence in our stakeholders.

Our system of risk oversight, management and internal controls is aligned with section 16 of the PGPA Act 2013 and the Commonwealth Risk Management Policy.

We will continue to strengthen our risk maturity, ensuring risk management is:

- integral to all our activities, functions and processes including how we innovate in key areas such as self-assurance, how we engage and partner with our stakeholders, and, ultimately, how we meet our obligations to our stakeholders
- a key element of good governance and our best practice regulatory decision-making
- pivotal to our management practices at all levels, including accountability and transparency
- part of the day-to-day work of everyone in ASQA as we build individual capability to engage with risk.

We accept that, despite best efforts and robust risk management practices, things may still go wrong. A positive risk culture is inherent in our approach to regulation and key to our continuous improvement – we review the reasons for failure, and use our learnings to further strengthen our systems, processes and controls, reducing the likelihood of reoccurrence.²

Types of risk defined

Strategic risk	Strategic risks are risks that affect ASQA as a whole and on our ability to achieve our strategic objectives and operate effectively. ASQA's leadership team takes direct responsibility for managing strategic risks.
Operational risk	Operational risks are those which could impact on a business area or on our ability to achieve operational deliverables. Operational risks are generally the responsibility of managers of ASQA's business units.

² Please note that our Regulatory Risk Priorities are published on our website. A summary of our research and consideration is provided to key stakeholders as an ASQA Environmental Scan.



Summary of strategic enterprise risks

Strategic risk	Controls summary
Risk that ASQA does not respond efficiently and effectively to changes in government priorities	<ul style="list-style-type: none"> • Networks and key relationships in place • Formalised engagement through standing arrangements, memoranda of understanding, etc. • Evaluation and planning frameworks • Functional redesign is being undertaken to enhance agility • Allocation of resources against priorities in cost recovery model
Risk that ASQA’s system of governance does not ensure we meet our performance and compliance obligations	<ul style="list-style-type: none"> • ASQA’s Performance Framework • Budgetary framework, financial performance management, and reporting • Corporate Plan • System of Governance and supporting control documents e.g. risk, fraud control, assurance and compliance frameworks, accountable authority instructions and delegations
Risk that ASQA does not meet its work health and safety (WHS) responsibilities	<ul style="list-style-type: none"> • Strategic Leadership Committee governance and oversight • Incident and hazard reporting and management process • WHS Committee governance and input to quarterly review of WHS Risk Register • Training and support for line managers to exercise WHS responsibilities • WHS Risk Register • Additional WHS controls to support change management implementation
Risk that ASQA does not lead and model a cultural shift to self-assurance and continuous improvement	<ul style="list-style-type: none"> • Significant internal and external investment co-designing a model and tools to support the shift to self-assurance • Realignment of strategic objectives to support self-assurance approach • ASQA’s input to new standards for RTOs to further embed self-assurance approach
Risk that ASQA’s Regulatory Risk Framework and Operating Model do not address risks to quality VET	<ul style="list-style-type: none"> • Cyclical review and evaluation to support improvements to Regulatory Risk Framework and Operating Model • National Vocational Education and Training Regulator Advisory Council • ASQA’s Performance Framework • Internal assurance activities • Technical systems design aligned to support effective operations of Regulatory Risk Framework and Operating Model

Appendix A – List of requirements

This corporate plan has been prepared in accordance with the requirements of:

- subsection 35(1) of the PGPA Act; and
- subsection 16E(2) of the PGPA Rule 2014.

The table details the requirements met by ASQA's Corporate Plan and the page reference(s) for each requirement.

Requirements	Page(s)
Introduction	
• Statement of preparation	2
• The reporting period for which the plan is prepared	2
• The reporting periods covered by the plan	2
Purposes	3
Key activities	12-26
Operating context	
• Environment	6
• Cooperation	13
• Capability	26
• Regulatory functions	8
• Risk oversight and management, including key risks and their management	29
Performance	
• Performance measures	14-19
• Targets for each performance measures (if reasonably practicable to set a target)	14-19

Appendix B – Key legislation

Acts

National Vocational Education and Training Regulator Act 2011 (NVR Act)

Education Services for Overseas Students Act 2000 (ESOS Act)

Education Services for Overseas Students (Registration Charges Act 1997 (ESOS Registration Charges Act)

National Vocational Education and Training Regulator (Charges) Act 2012 (NVR Charges Act)

Public Governance, Performance and Accountability Act 2013 (PGPA Act)

Instruments

ASQA Authorised Officer Requirements 2012 (s 89(2A) NVR Act)

Australian Skills Quality Authority Instrument Fixing Fees Amendment Declaration (No 1) 2018 (s 232 of the NVR Act)

Australian Skills Quality Authority Instrument fixing fees No 1 of 2013 (ss 232(1) and 232(5) of the NVR Act)

ELICOS (English Language Intensive Courses for Overseas Students) Standards 2018 (s 176B(1) of the ESOS Act)

Financial Viability Risk Assessment Requirements 2021 (s 158 of the NVR Act)

Fit and Proper Person Requirements 2011 (s 186 of the NVR Act)

National Vocational Education and Training Regulator (Charges) Determination 2013 (No 1) (ss 6B(1), 9(2), 12(2) and 13 of the NVR Act)

National Vocational Education and Training Regulator (Data Provision Requirements) (s 187 of the NVR Act)

National Vocational Education and Training Regulator Regulations 2011 (s 235 NVR Act)

Standards for NVR Registered Training Organisations (RTOs) 2015 (s 185 of the NVR Act)

Standards for VET Accredited Courses 2021 (s 188 of the NVR Act)

Standards for VET Regulators 2015 (s 189 of the NVR Act)

National Code of Practice for Providers of Education and Training to Overseas Students 2018 (s 33(1) of the ESOS Act)



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