

Mr Christopher Robinson  
Chief Commissioner

Australian Skills Quality  
Authority

ASQA & Skills Tasmania  
10, 11 & 12 September 2013  
Devonport, Launceston & Hobart



Australian Government

Australian Skills Quality Authority

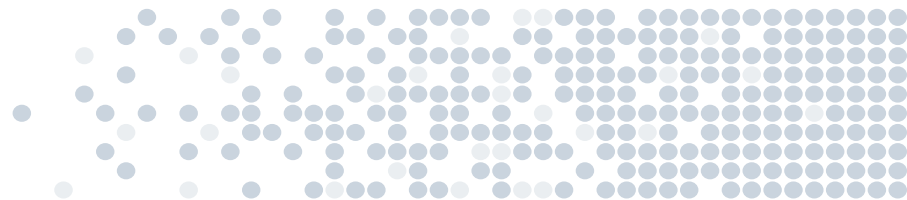
# The Australian Skills Quality Authority (ASQA)

- established on 1 July 2011 by *the National Vocational Education and Training Regulator Act 2011*
- ASQA regulates training courses and providers to ensure nationally approved quality standards are met
- ASQA is also the regulatory authority for many of Australia's providers of English Language Intensive Courses for Overseas Students (ELICOS)
- ASQA regulates approx 4000 of the over 4800 training providers across Australia, including 90 in Tasmania

# The Australian Skills Quality Authority (ASQA)

## National VET regulation

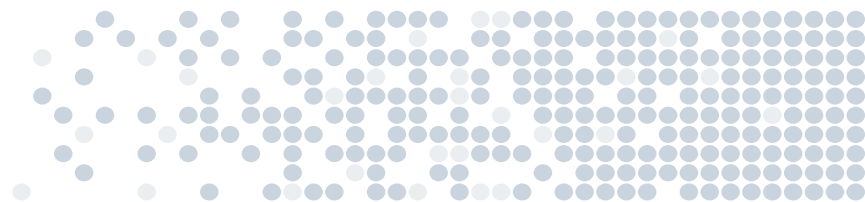
- streamline regulation of vocational education and training (VET)
- increase consistency across the states and territories
- address emerging quality concerns



# The Australian Skills Quality Authority (ASQA)

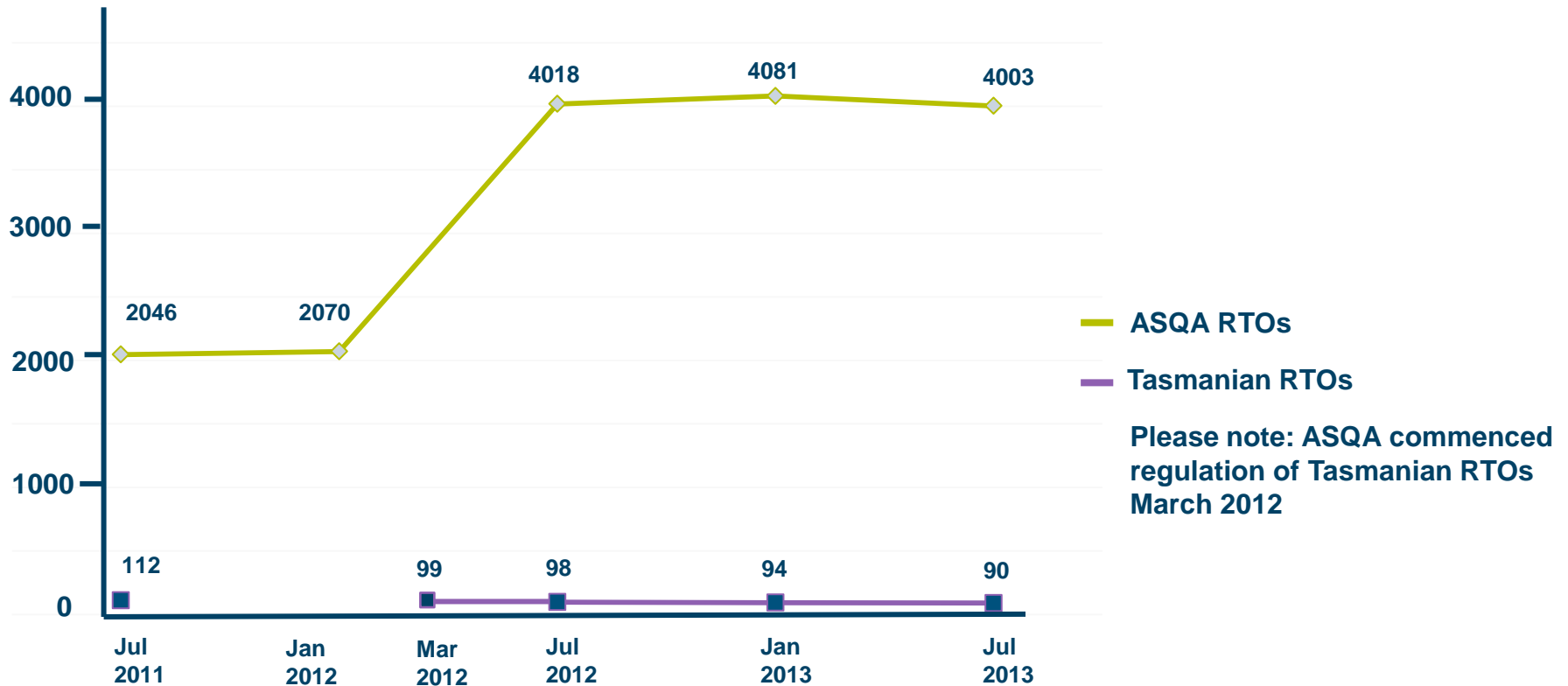
## Our mission

- Effective regulation by ASQA contributes to students, employers, industry, government and the community having full confidence in the quality of training and assessment delivered by Australia's vocational education and training and English language providers.



# The Australian Skills Quality Authority (ASQA)

## The first two years – number of RTOs



# ASQA's progress to date – the first two years

## Applications received 1 July 2011 – 30 June 2013

Application type	National Number	National %	Tasmania Number	Tasmania %
Initial registration as a new provider	679	5.0	12	3.1
Renewal of registration as a provider	1385	10.3	20	5.2
Change scope of registration	11187	83.3	345	89.6
Withdrawal registration as a provider	233	1.7	8	2.1
<b>TOTAL</b>	<b>13484</b>	<b>100%</b>	<b>385</b>	<b>100%</b>

- *737 applications relating to course accreditation also received*

# ASQA's progress to date – the first two years

Applications completed 1 July 2011 – 30 June 2013

	National Number	Tasmania Number
Number of applications received	13484	385
Number of applications completed	11693	347
<b>% completed</b>	<b>86.7%</b>	<b>90.1%</b>

# ASQA's progress to date

## Decisions taken to refuse provider registration applications

1 July 2011 – 30 June 2013

Application type	No. received	No. completed	Refused No.	Refused %
<b>National</b>				
Initial registration as a new provider	679	435	90	20.7
Renewal of registration as a provider	1385	896	91	10.2
Change of scope of registration	11187	10177	277	2.7
Notification of registration not continuing	233	185	0	0.0
<b>Total</b>	<b>13484</b>	<b>11693</b>	<b>458</b>	<b>3.9</b>



# ASQA's progress to date

## Decisions taken to refuse provider registration applications

Tasmania 1 July 2011 – 30 June 2013

Application type	No. received	No. completed	Refused No.	Refused %
<b>National</b>				
Initial registration as a new provider	12	6	2	33.3
Renewal of registration as a provider	20	9	1	11.1
Change of scope of registration	345	325	1	0.3
Notification of registration not continuing	8	7	0	0.0
<b>Total</b>	<b>385</b>	<b>347</b>	<b>4</b>	<b>1.15%</b>

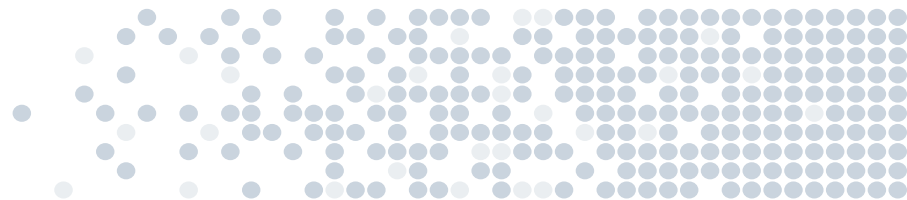
# Regulatory decisions for existing RTOs

1 July 2011 – 30 June 2013

- 91 applications for renewal of registration refused
- **ASQA has taken the decision to cancel/suspend the registration or to refuse the reregistration of 165 individual existing RTOs**

# Audits undertaken in the 12 months to 30 June 2013

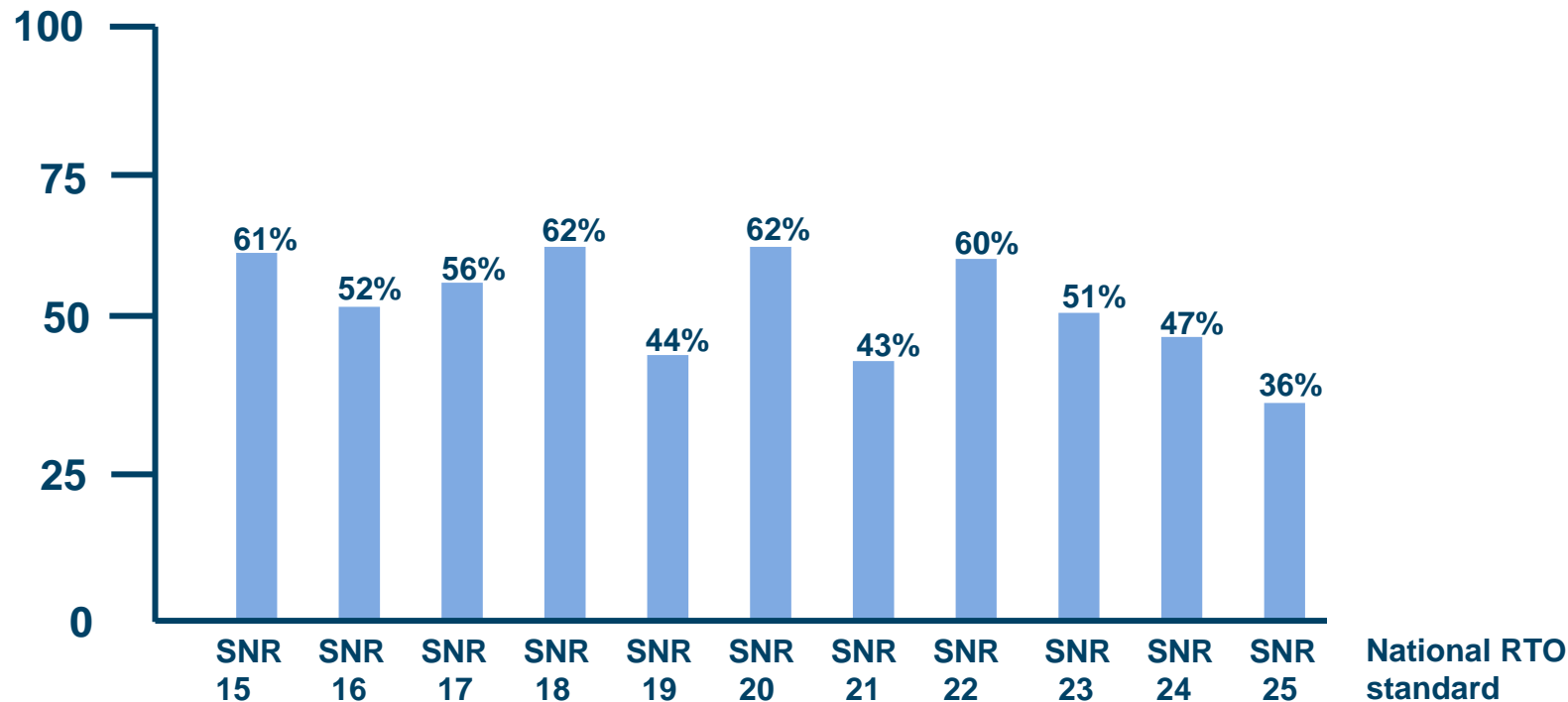
- fully compliant RTOs 23.5% at initial audit
- RTOs with at least one non-compliance identified at initial audit 76.5%



# Compliance with RTO standards

## Initial audit results of RTOs seeking reregistration 2012/2013

% compliant at initial audit



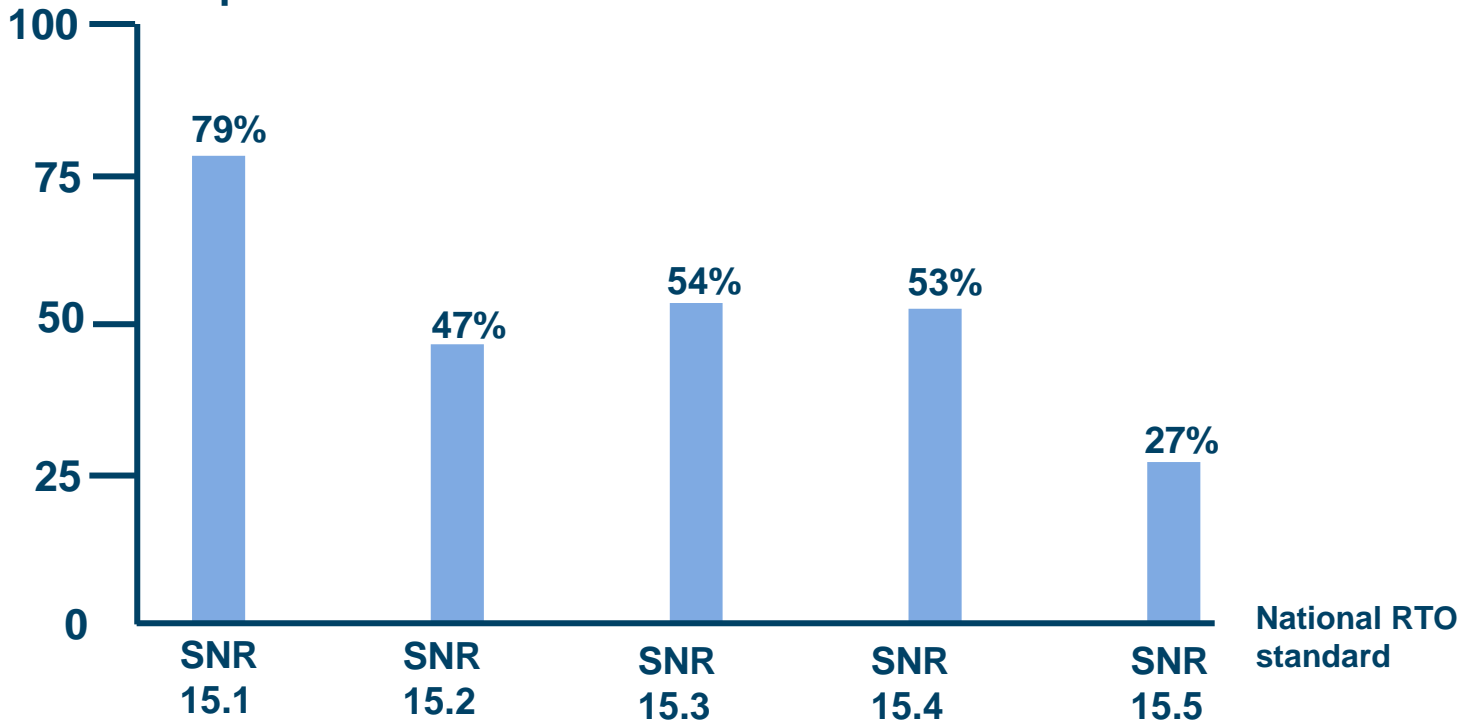
- SNR 15** Quality training and assessment
- SNR 16** Training according to access and equity principles
- SNR 17** RTO is responsive to clients and stakeholders
- SNR 18** Governance
- SNR 19** Cooperation with the regulator
- SNR 20** Compliance with legislation

- SNR 21** Insurance
- SNR 22** Financial management
- SNR 23** Proper certification and issuance
- SNR 24** Accurate and ethical marketing
- SNR 25** Transition from superseded courses

# Compliance with Standard 15 – Quality training and assessment

## Audits of existing RTOs 1 July 2012 – 30 June 2013

% of audits compliant



**SNR 15.1** Continuous improvement of training and assessment

**SNR 15.2** Training meets requirements of Training Package

**SNR 15.3** Required staff, facilities, equipment and materials

**SNR 15.4** Qualified and competent trainers and assessors

**SNR 15.5** Assessment done properly

# Assessment issues in VET

**(NCVER 2013 Halliday Wynes & Misko)**

- trainers and assessors lack the skills and expertise to conduct valid assessments
- RTOs not providing repeated practice needed to demonstrate competence
- lack of work placements
- inadequate rigour in assessment process
- unclear role for industry/employers
- lack of systematic validation and moderation

# ASQA audit surveys

- conducted four times a year
- providers who have had a site audit finalised invited to participate in a survey about the audit process
- ASQA uses the findings and feedback from the survey to further enhance its audit processes
- latest survey of providers that had a site audit finalised during the period 1 December 2012 to 28 February 2013
- 125 responses received, including 4 Tasmanian providers

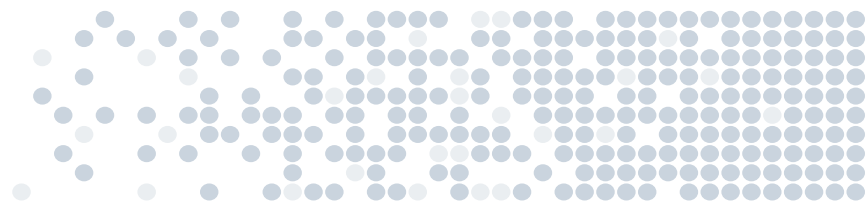
# ASQA audit surveys – results

Question	Nat response % yes	Tas response % yes
It was clear : why the audit was being conducted	98.1	100
which standards were to be audited	93.5	100
the members of the audit team	96.2	100
the audit duration and process	92.5	100
At the site visit		
• opening meeting: audit process, scope & process discussed	98.5	100
• kept informed of any change to audit plan and reasons	51.8 *44.1 no change	100
Given the opportunity to provide information about their organisation's business operation	96.6	100
Given sufficient opportunity to provide evidence during audit	94.0	100
Informed of compliance issues as they were identified during audit	77.9 *17.5 no non compliances	100
Exit meeting: auditor outlined main observations and audit findings	95.4	100
Audit report clear and sufficiently detailed to enable understanding of any gaps (non-compliances) and rectification requirements	68.3 *22.0 no non compliances	100
It was clear when further evidence of compliance was due and how to provide it	69.0	100



# ASQA audit surveys – results

Question	Nat response % Strongly agree/agree	Tas response % Strongly agree/agree
Audit team: objective	92.1	100
knowledgeable	93.8	75
well organised	93.0	100
professional	92.6	100
	National response % Very satisfied/satisfied	Tasmania response % Very satisfied/satisfied
How satisfied was you organisation with the fairness and transparency of the audit process?	89.7	75

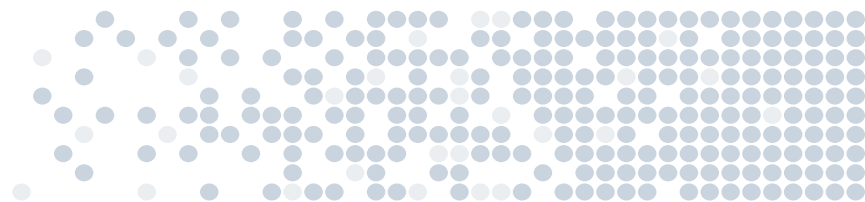


# ASQA stakeholder and provider surveys

- 4017 providers and 198 stakeholders invited to participate in July 2013
- participation not compulsory and responses confidential
- 2581 providers (64%) and 90 stakeholders (45%) completed the survey

## Conclusions:

- overall ASQA is seen as an effective regulator
- the courtesy of ASQA's staff and its published information are strengths
- an area where there is room for improvement is the timeliness of ASQA's response to applications made by providers



# ASQA provider survey

Tasmanian providers - top rating items	Rating
ASQA's Info line: courtesy of staff answering	4.4
Speech: timely/not dated information	4.2
ASQA's Info line: speed of answering	4.1
Paying a fee or charge: ease of making a payment	4.1
RTO/ELICOS information sessions: usefulness	4.1

Tasmanian providers – lowest rating items	Rating
Provides sufficient contact information so that I or my organisation can contact/recontact an ASQA staff member if necessary	3.3
Paying a fee or charge: any follow-up assistance that was required	3.3
Updating business details: any follow-up assistance that was required	3.1
Change scope RTO registration: the time ASQA took to act on the application	3.1
Minimises the effort to get an answer to a question	3.1

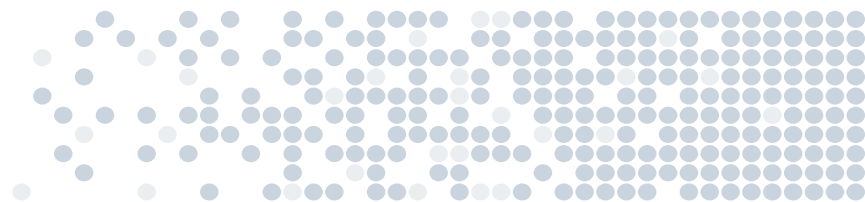
Rating scale: 5 = excellent, 3 = fair, 1 = very poor

# ASQA provider survey

All providers - top rating items	Rating
ASQAnet: ease of access	4.1
Paying a fee or charge: ease of making a payment	4.1
Fact sheets and FAQs: helpful information	4.0
Info line: courtesy of staff	4.0
Fact sheets and FAQs: timely information	4.0

All providers - lowest rating items	Rating
Other application: follow-up assistance	3.3
Other application: time taken to act	3.0
Initial RTO registration: time taken to act	3.0
Initial CRICOS registration: follow-up assistance	3.0
Decision reconsidered: helpfulness of information on ASQA website	2.9

Rating scale: 5 = excellent, 3 = fair, 1 = very poor



# Moving towards full cost recovery - fees and charges

- ASQA applies fees and charges to certain regulatory activities to recover cost
- ASQA's cost recovery fees and charges comply with the Australian Government Cost Recovery Guidelines

## 2013 review of fees and charges

- a revised schedule of fees and charges developed and published for consultation as part of the *2013 Cost Recovery Impact Statement (CRIS)*.- *Exposure Draft*
- 110 written submissions received from training providers and VET sector stakeholders. ASQA made several changes in response to feedback
- other changes made due to further information on VET activity levels
- the revised fees and charges received approval from: Ministerial Standing Council on Tertiary Education, Skills and Employment (SCOTESE), the Australian Government and the Minister for Skills and Training

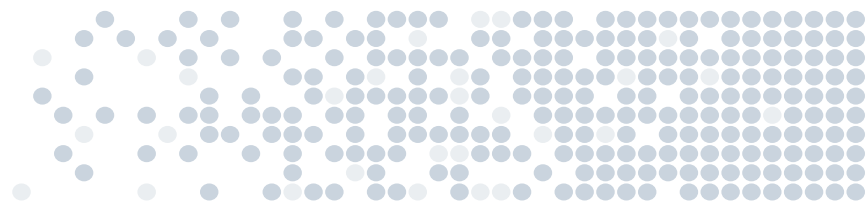
# Moving towards full cost recovery - fees and charges

## Compliance audits

- subject to a charge rather than a fee
- compliance audits scheduled by ASQA to proactively manage risk and may be triggered by different ASQA business processes such as:
  - a risk assessment
  - the receipt of a serious complaint or complaints against a provider
  - a recommendation by a Regional Compliance Manager, for example based on the outcome of a finalised registration audit
- because the scope of each compliance audit will vary depending on size and complexity, ASQA is not able to cap charges
- ASQA will make every reasonable effort to minimise costs of conducting compliance audits. Audits will be undertaken as efficiently as possible. Provider can contribute by thoroughly preparing for audit.

# Introduction of fees and charges

- the annual registration fee will usually be payable on 1 July each financial year for that year of registration
- in 2013 ASQA will make a number of adjustments for the introduction of the annual fee to give providers additional time to prepare payment of these fees
  - invoicing delayed until 1 September 2013, with registration fees calculated based on a provider's scope of registration as at 1 September 2013
  - for this year only, the annual registration fee will be calculated pro rata for eleven months from 1 August 2013 till 30 June 2014
  - payment terms for the annual registration fee will be extended to sixty days following date of invoice
- any applications lodged before the commencement of ASQA's revised schedule of fees are subject to ASQA's previous schedule of fees



## More information

- ASQA website – [www.asqa.gov.au](http://www.asqa.gov.au)
- Call the ASQA Info line – **1300 701 801**
- Email to – [enquiries@asqa.gov.au](mailto:enquiries@asqa.gov.au)
- Subscribe to the **ASQA Update**
- Online applications and payment of fees – **ASQAnet**

