

# Australian Skills Quality Authority

## Provider Information Sessions

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Deputy Chief Commissioner &  
Commissioner Compliance

27 November 2013, Darwin

28 November 2013, Alice Springs



**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 58 from the Northern Territory

# ASQA

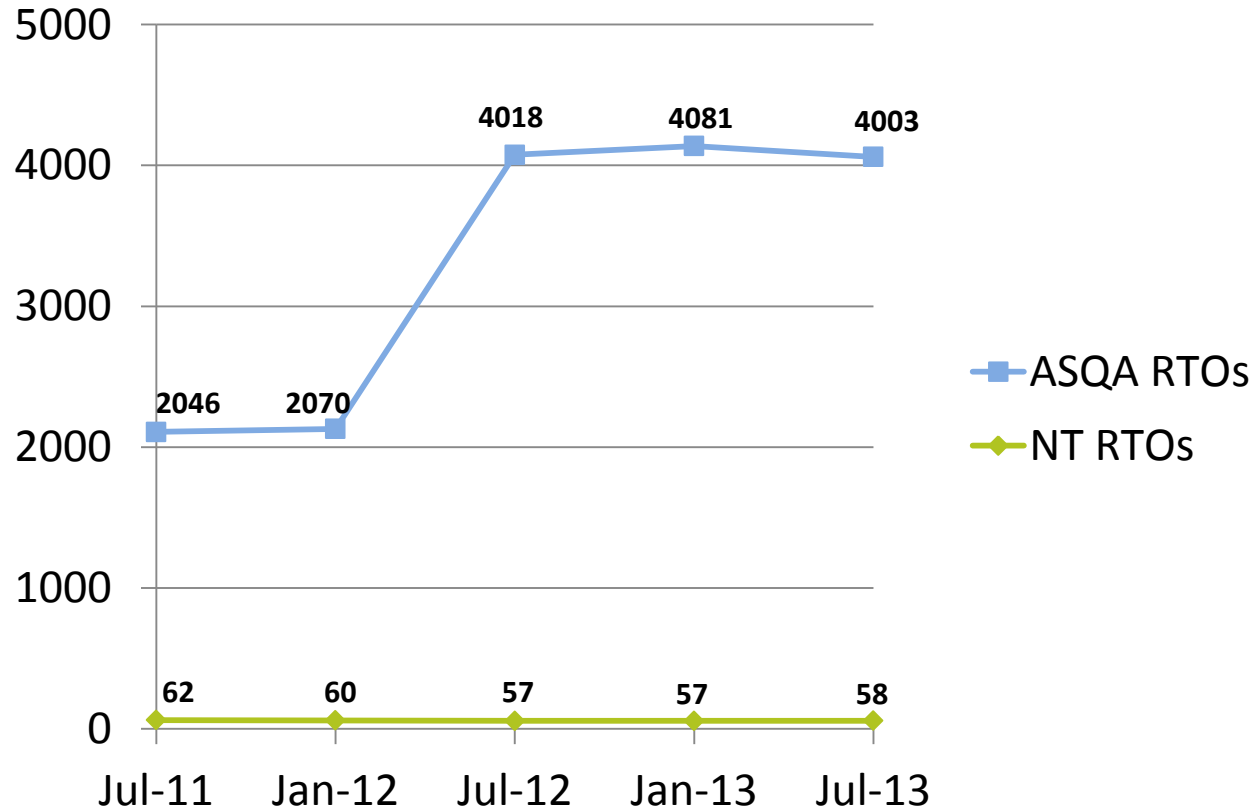
## Our mission

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.



# ASQA

The first two years – RTO numbers



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

Applications received 1 July 2011 – 30 June 2013

Application type	National number	National %	NT number	NT %
Initial registration as a new provider	679	5.0	10	3.5
Renewal of registration as a provider	1385	10.3	29	10.1
Change of scope of registration	11187	83.3	244	84.7
Withdrawal registration as a provider	233	1.7	5	1.7
TOTAL	13484	100%	288	100%

- 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	NT number
Number of applications received	13484	288
Number of applications completed	11693	259
% completed	86.7%	89.9%

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

Decisions taken to refuse provider registration applications

1 July 2011 – 30 June 2013

National applications	Number received	Number completed	Number refused	% refused
Initial registration as a new provider	679	435	90	20.7
Renewal of registration as a provider	1385	896	91	10.1
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 – the first two years

Decisions taken to refuse provider registration applications

1 July 2011 – 30 June 2013

Northern Territory applications	Number received	Number completed	Number refused	% refused
Initial registration as a new provider	10	10	2	20.0
Renewal of registration as a provider	29	20	1	5.0
Change of scope of registration	244	224	0	0.0
Notification of registration not continuing	5	5	0	0.0
<b>TOTAL</b>	<b>288</b>	<b>259</b>	<b>3</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 registration of 165 individual existing RTOs**



# ASQA's model of cooperative compliance

## Compliance posture

Deliberately “game” the system to maximise profit at the expense of quality training outcomes

Do not fully understand or accept their obligations and often fail to meet them

Prepared to run a good training business and strive to deliver quality education outcomes, but sometimes fail to meet their obligations in some areas

Willing and able to run a good training business delivering quality outcomes. Always meet their obligations.

## Compliance strategies and response

Detect and bring to account

Deter by detection and taking appropriate action

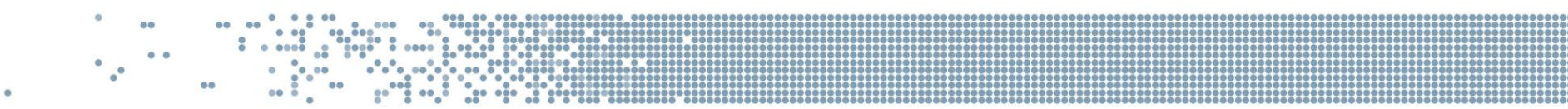
- infringement notices
- enforceable undertakings
- remove privileges of registration (cancellation, suspension, amendment)

- Provide appropriate information and education
- Remove privileges of registration if compliance is trending in the wrong direction (amend scope, issue directions)

Make it easy to comply  
Minimise compliance costs (e.g. approvals without audit, grant delegations)

High risk

Lowest risk



# Audits undertaken by ASQA 1 July 2012 – 30 June 2013

- 1062 audits of existing RTOs
- 216 audits of those wanting to set up a new RTO
- total of 1278

# Audits of existing RTOs in the 12 months to 30 June 2013

## Initial audit

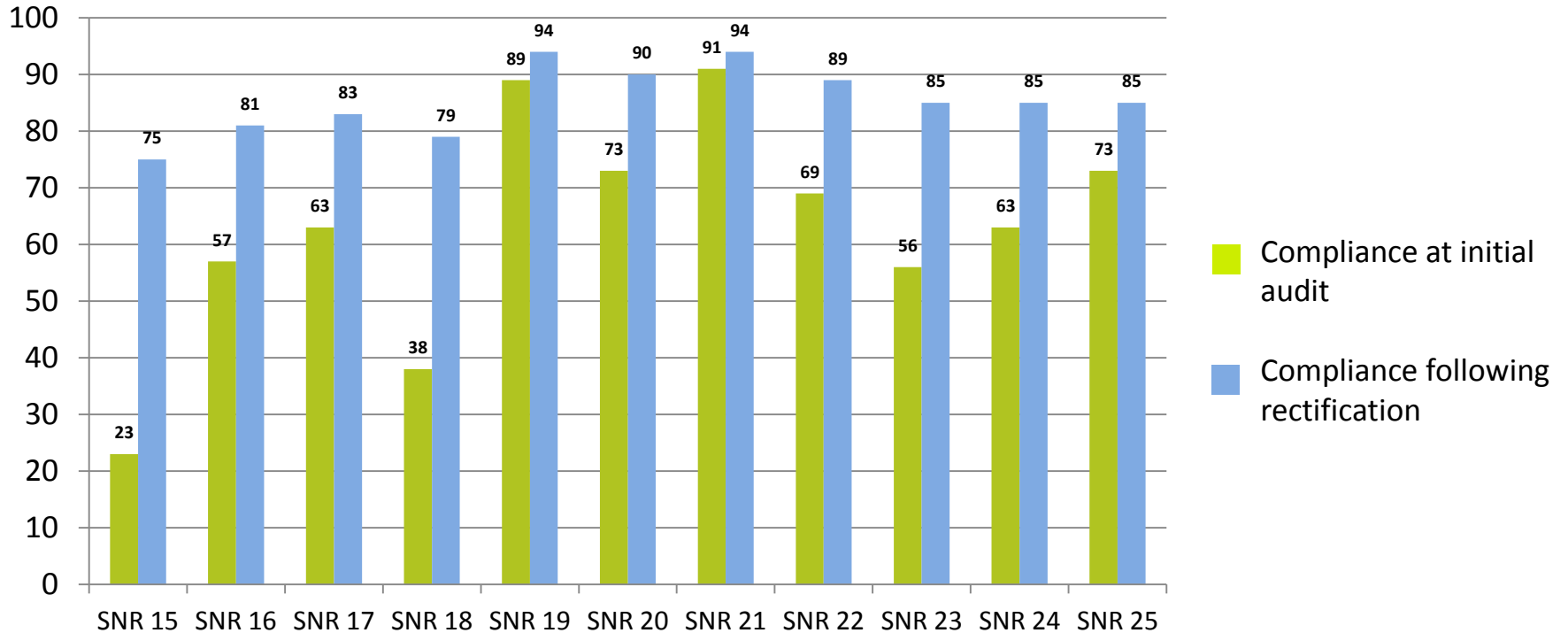
- 19.6% fully compliant at the initial audit
- 80.4% have at least one non-compliance at the initial audit

## After rectification

- 72.9% fully compliant
- 27.1% have at least one non-compliance following rectification

# Compliance with standards by existing RTOs

Audits of existing RTOs 1 July 2012 – 30 June 2013



- SNR 15** Quality training and assessment
- SNR 16** Training and student information meeting student needs
- SNR 17** RTO is responsive to clients and stakeholders

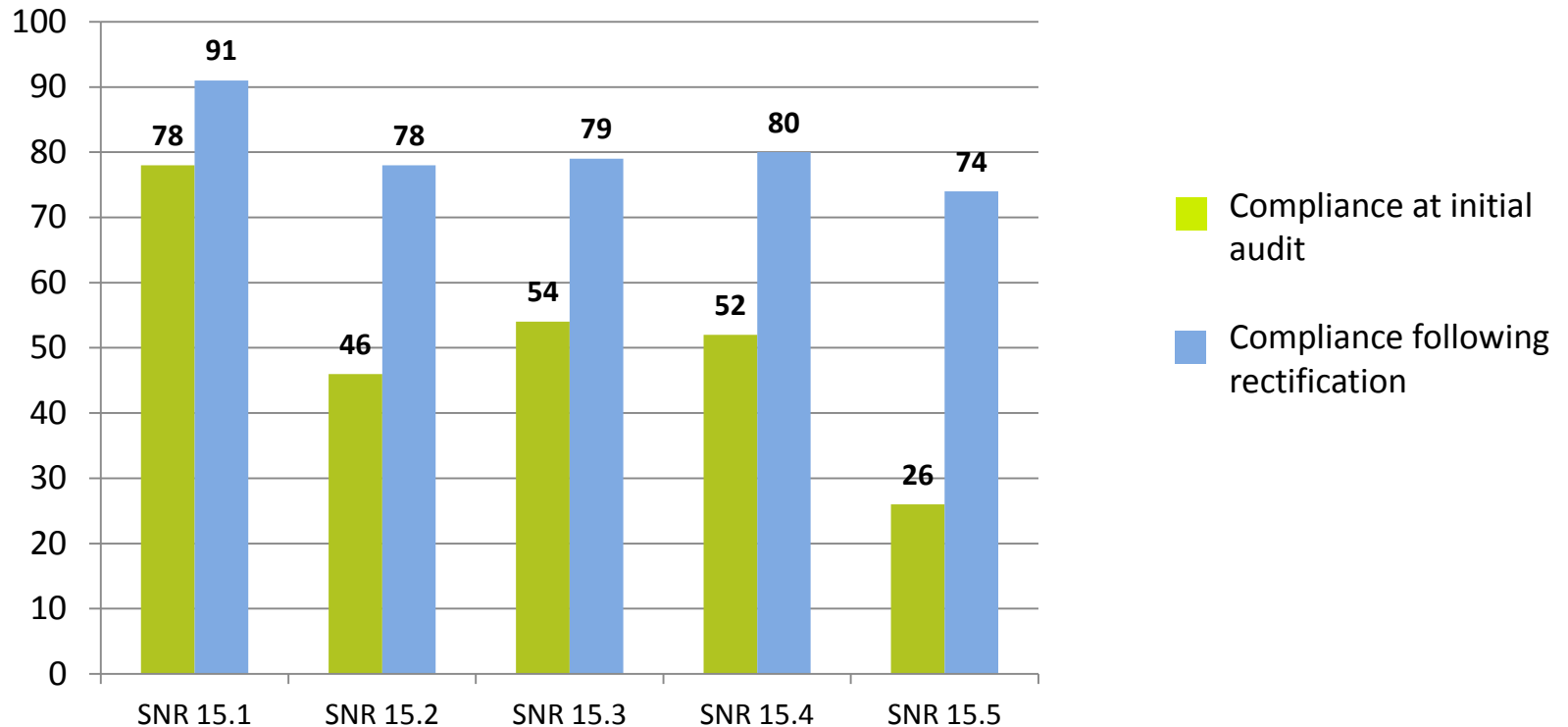
- SNR 18** Governance
- SNR 19** Cooperative with regulator
- SNR 20** Compliance with legislation
- SNR 21** Insurance

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



# Compliance with Standard 15 – Quality training & assessment

Audits of existing RTOs 1 July 2012 – 30 June 2013



**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

(NCFE 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 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

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	4.0

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

# ASQA provider survey

NT providers – top rating items	Rating
ASQA’s Info line: courtesy of staff answering	4.2
ASQA’s email service: courtesy of staff answering	4.1
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
NT providers – lowest rating items	Rating
Renew RTO registration: the time ASQA took to act on the application	2.9
Initial RTO registration: the time ASQA took to act on the application	2.8
Initial RTO registration: helpfulness of information about making applications on ASQA’s website	2.8
Renew RTO registration: any follow-up assistance that was required	2.5
Initial RTO registration: any follow-up assistance that was required	2.3

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



# 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 June to 31 August 2013
- 139 responses received, including three from the Northern Territory

# ASQA audit survey – results

Question	National response % yes	NT response % yes
It was clear: why the audit was being conducted	97.8	100
which standards were to be audited	96.4	100
the members of the audit team	100.0	100
the audit duration and process	94.2	100
At the site visit:		
Opening meeting: audit process, scope & process discussed	97.8	100
Kept informed of any change to audit plan and reasons	50.3 *45.3 no change	100 *100 no change
Given the opportunity to provide information about their organisation's business operation	97.8	100
Given sufficient opportunity to provide evidence during audit	94.9	100
Informed of compliance issues as they were identified during audit	74.1 *20.1 no non-compliances	100
Exit meeting: auditor outlined main observations & audit findings	95.6	100
Audit report clear and sufficiently detailed to enable understanding of any gaps (non-compliances) and rectification requirements	71.2 *19.4 no non-compliances	100
It was clear when further evidence of compliance was due and how to provide it	72.6 *21.5 further evidence not required	100

# ASQA audit survey – results

Question	National response % Strongly agree/agree	NT response % Strongly agree/agree
Audit team:		
• objective	92.0	100
• knowledgeable	92.8	100
• well organised	94.9	100
• professional	94.9	100

Question	National response % Very satisfied/satisfied	NT response % Very satisfied/satisfied
How satisfied was your organisation with the fairness and transparency of the audit process?	91.3	100
Satisfaction of audit status – finalised not compliant	60.0	100

# ASQA's strategic approach to VET regulation

## Strategic industry reviews

Three reviews completed July 2013

- the entry-level occupational and safety training required to work on construction sites in Australia, commonly known as the 'White Card'
- the aged community care sector
- inappropriate practices and marketing by RTOs



# Moving towards full cost recovery – fees and charges

- ASQA applies fees and charges to certain regulatory activities to recover the 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 was 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 former Minister for Skills and Training



# More information

- ASQA website – [asqa.gov.au](http://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**

