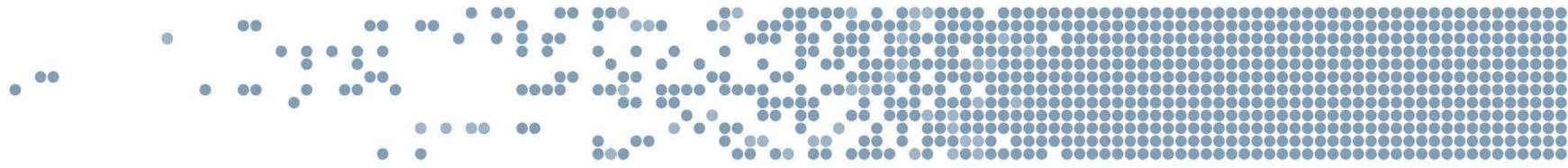


Regulator Performance Framework: ASQA Measures

| KPI 1 – Regulators do not unnecessarily impede the efficient operation of regulated entities | |
|--|---|
| Measures of good performance | ASQA Measure |
| <ol style="list-style-type: none"> 1. Regulators demonstrate an understanding of the operating environment of the industry or organisation, or the circumstances of individuals and the current and emerging issues that affect the sector. 2. Regulators take actions to minimise the potential for unintended negative impacts of regulatory activities on regulated entities or affected supplier industries and supply chains. 3. Regulators implement continuous improvement strategies to reduce the costs of compliance for those they regulate. | <p>Narrative: Detail the mechanisms for regulated entities and stakeholders to provide feedback and input ASQA on policies and practices to identify emerging issues, such as the Provider Roundtables, Reference Groups, Industry Groups, etc.</p> <p>Narrative: Outline ASQA’s work program to reduce compliance costs for regulated entities.</p> <p>Metric: Proportion of the regulated community reporting high satisfaction with their engagement with ASQA.</p> <p>Narrative: Summarise ASQA’s annual environmental scanning activities and the outcomes of Strategic Reviews.</p> |



KPI 2 – Communication with regulated entities is clear, targeted and effective

Measures of good performance

1. Regulators provide guidance and information that is up to date, clear, accessible and concise through media appropriate to the target audience.
2. Regulators consider the impact on regulated entities and engage with industry groups and representatives of the affected stakeholders before changing policies, practices or service standards.
3. Regulators' decisions and advice are provided in a timely manner, clearly articulating expectations and the underlying reasons for decisions.
4. Regulators' advice is consistent and supports predictable outcomes.

ASQA Measure

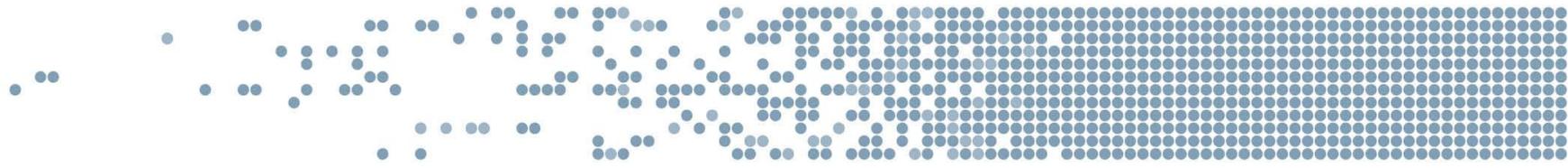
Metric: Proportion of providers reporting that ASQA's information systems and service channels are accurate, helpful and timely.

Metric: Assessment of ASQA's response times against its targets (proportion of initial registration applications/renewals/registration applications completed within targeted timeframe).

Metric: Satisfaction rate of the:

- knowledge of staff answering calls and emails
- completeness of answers provided

Narrative: Detail the outcomes of the audit moderation process to demonstrate consistency in decision making.



KPI 3 – Actions undertaken by regulators are proportionate to the regulatory risk being managed

Measures of good performance

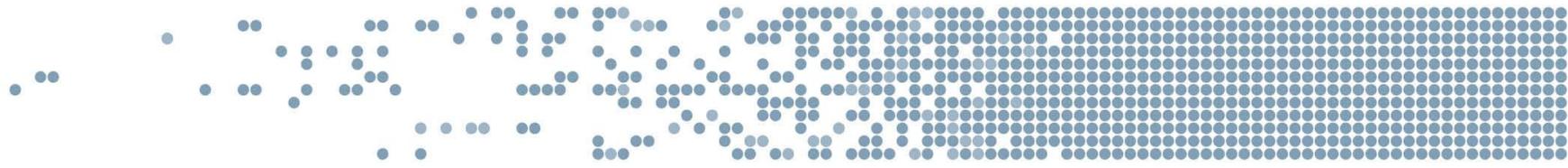
1. Regulators apply a risk-based, proportionate approach to compliance obligations, engagement and regulatory enforcement actions.
2. Regulators’ preferred approach to regulatory risk is regularly reassessed. Strategies, activities and enforcement actions are amended to reflect changing priorities that result from new and evolving regulatory threats, without diminishing regulatory certainty or impact.
3. Regulators recognise the compliance record of regulated entities, including using earned autonomy where this is appropriate. All available and relevant data on compliance, including evidence of relevant external verification is considered.

ASQA Measure

Narrative: Demonstrate how the compliance record of regulated entities is considered as part of the risk assessment process, including description of ASQA’s processes for reviewing its risk model.

Metric: Total number of providers that take up an offer of a delegation.

Narrative: Discuss how the evolution of ASQA’s risk model has led to a more comprehensive and nuanced understanding of provider risk.



KPI 4 – Compliance and monitoring approaches are streamlined and coordinated

Measures of good performance

1. Regulators’ information requests are tailored and only made when necessary to secure regulatory objectives, and only then in a way that minimises impact.
2. Regulators’ frequency of information collection is minimised and coordinated with similar processes including those of other regulators so that, as far as possible, information is only requested once.
3. Regulators utilise existing information to limit the reliance on requests from regulated entities and share the information among other regulators where possible.
4. Regulators base monitoring and inspection approaches on risk and, where possible, take into account the circumstances and operational needs of the regulated entity.

ASQA Measure

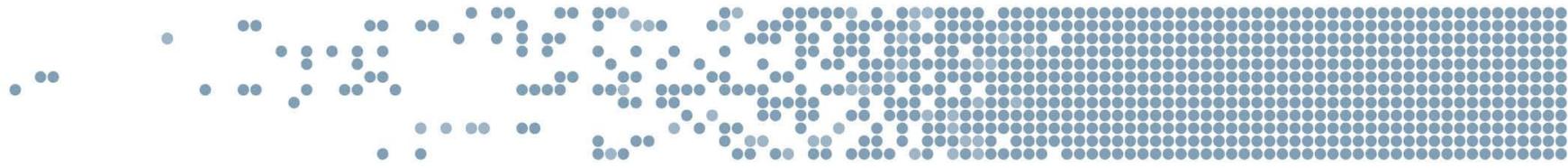
Narrative: description of ASQA’s formal agreements with other regulators and how they are used to minimise the burden on regulated entities (for example, the MOUs with TEQSA and the VRQA).

Metric: ASQA uses a range of appropriate enforcement tools, proportionate to the seriousness of breaches:

- Number of written directions made
- Number of written enforceable undertakings agreed with providers
- Number of suspensions
- Number of cancellations

Metric: the proportion of audits that are not part of an application assessment, and the proportion of these that are non-compliant.

Narrative: Demonstrate how ASQA seeks to minimise and tailor information requests of regulated entities.



KPI 5 – Regulators are open and transparent in their dealings with regulated entities

Measures of good performance

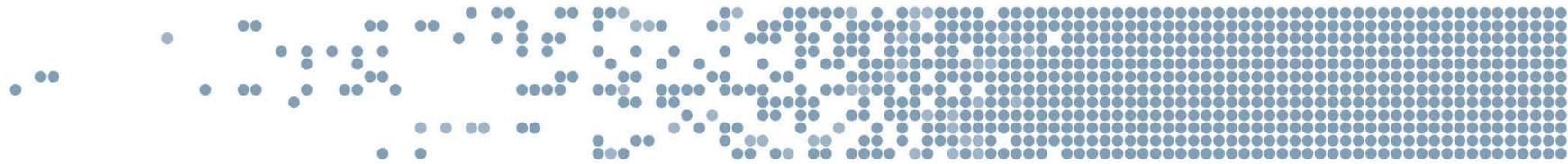
1. Regulators' risk-based frameworks are publicly available in a format which is clear, understandable and accessible.
2. Regulators are open and responsive to requests from regulated entities regarding the operation of the regulatory framework, and approaches implemented by regulators.
3. Regulators' performance measurement results are published in a timely manner to ensure accountability to the public.

ASQA Measure

Metric: Proportion of requests for information from regulated entities that ASQA has responded to within the specified timeframe. Such requests may include calls to the Info-line and emails.

Metric: The proportion of complaints about ASQA that are responded to within targeted timeframe.

Narrative: ASQA's implementation of the Risk Assessment Framework is published and effectively communicated.



KPI 6 – Regulators actively contribute to the continuous improvement of regulatory frameworks

Measures of good performance

1. Regulators establish cooperative and collaborative relationships with stakeholders to promote trust and improve the efficiency and effectiveness of the regulatory framework.
2. Regulators engage stakeholders in the development of options to reduce compliance costs. This could include industry self-regulation, changes to the overarching regulatory framework, or other strategies to streamline monitoring and compliance approaches.
3. Regulators regularly share feedback from stakeholders and performance information (including from inspections) with policy departments to improve the operation of the regulatory framework and administrative processes.

ASQA Measure

Narrative: Description of ASQA’s strategy to communicate with stakeholders such the use of webinars, information and feedback sessions, provider forums, etc.

Metric: Stakeholders express confidence in ASQA’s regulatory work in contributing to the quality of Australia’s VET and ELICOS providers.

Narrative: Summary of key interactions with the Minister, Council of Australian Governments and the Department in relation to improving ASQA’s regulatory performance, such as reports to the Ministerial Council, quarterly reports to the Minister, etc.