



Australian Government

Australian Skills Quality Authority

Fact Sheet: Provider risk—Compliance History

Introduction—provider profiling

ASQA has established a range of mechanisms for identifying and assessing the risks posed by providers.

For each provider, ASQA maintains a **provider profile**. Each provider's profile is nuanced and dynamic, reflecting a range of data sources and information and does not translate into a single score or rating. Rather, this system allows a detailed profile for each provider, which includes a set of risk indicators.

ASQA uses a broad range of indicators to identify providers of concern.

These indicators enable ASQA to:

- identify providers who present greatest risk to the vocational education and training sector, the international education sector, students and the community, and
- make sound judgements as to the proportionate and most effective response to risks.

One key indicator used in each provider's profile is **Compliance History**.

How is a provider's Compliance History assigned?

This indicator is solely a reflection of a provider's recent record of compliance in meeting its core regulatory obligations.

A provider's **Compliance History** is drawn from the following information:

- audit history
- complaint history
- compliance with data provision requirements
- payments to ASQA of fees and charges, and
- submission of the annual declaration on compliance.

Does every provider have a Compliance History?

If a provider is newly registered they will not be assigned a Compliance History.

Once ASQA has a sufficient amount of data about a provider, they will be assigned a Compliance History.

What does the Compliance History indicator mean?

ASQA assigns one of six Compliance History categories to each provider.

Compliance History	What it means
Demonstrated consistently compliant	The provider has an ongoing history of meeting their regulatory obligations.
Presumed compliant	The provider appears to be meeting their regulatory obligations, but has not been recently tested, say through an audit.
Generally compliant	The provider occasionally fails to meet their regulatory obligations but has been able to rectify when required.
Demonstrated rarely compliant	The provider has a repeated history of failing to meet their regulatory obligations
Restrictions	The provider has a current condition, sanction, suspension or part rejection imposed on their registration
Untested	Providers who have been registered for less than one year and have not been audited or received a complaint.

Each provider's Compliance History is updated regularly and may change as a result of new information.

How does ASQA use my provider's Compliance History?

ASQA uses Compliance History, along with a range of other indicators, to assess risks presented by a provider and the circumstances under review'. For more information, see ASQA's [Regulatory Risk Framework](#).

A provider whose Compliance History is '**demonstrated rarely compliant**' is more likely to receive a stronger regulatory response than a provider that is '**demonstrated consistently compliant**'.



How can I find out my provider's Compliance History

You can find out your Compliance History category by emailing enquiries@asqa.gov.au. The enquiry must be sent by one of your organisation's registered email contacts, as listed on training.gov.au.

For privacy reasons, ASQA is unable to provide information on your organisation's Compliance History over the phone.

More information?

Contact the ASQA Infoline on 1300 701 801 or enquiries@asqa.gov.au, Monday to Friday, 9.00 am to 7.00 pm AEST.