

# COMPLIANCE CORNER

## ASQA Performance Audit - 'What do we expect?'

### Hi Team, Welcome to another Compliance Corner!

During the Audit Performance Assessment ASQA will:

- explain the assessment process and scope
- ask you for a range information
- interview your trainers, assessors, students or others.

**Key stages of your performance assessment** - There are typically 5 stages in a performance assessment

#### 1. Initial contact

When ASQA start a performance assessment the ASQA Assessor will call the RTO (CEO and Head of Training and Compliance) to discuss:

- the reasons for the performance assessment and the process
- the performance assessment process
- dates for the opening meeting and interview days
- where your interview will take place: Onsite or video conferencing.

ASQA will email the RTO these details as well as their first request for information, which may include:

- student contact information to interview your students
- up to date information on student enrolment and completion numbers.

#### 2. Opening meeting

This meeting is between the RTO and the ASQA Assessor who conducts the performance assessment.

#### 3. Evidence collection

The ASQA Assessor will collect evidence by reviewing documents, conducting interviews and making observations. They will clarify and validate this evidence with the RTO during the interviews.

## 1. Evidence collection via information requests

After the opening meeting, the ASQA Assessor will request more information from the RTO.

Evidence requested will vary depending on the scope of the performance assessment, but may include:

- policies and procedures, and training and assessment strategies
- photographs of the premises
- student files, including enrolment forms and completed student assessments
- trainer or assessor records
- other documents and evidence relevant to the scope of your performance assessment.

## 2. Evidence collection via interview

The RTO interview may be held at the premises or by video conference. Depending on the scope of the performance assessment, the RTO may have more than one interview.

The interview process helps ASQA to:

- understand how the RTO operates
- clarify the information the RTO has provided
- explore the RTO's performance against the standards.

ASQA may also interview:

- management
- trainers and assessors
- students over 18.

**Closing meeting:** ASQA will hold a closing meeting as part of the interview process. During this meeting ASQA will discuss any issues identified during the performance assessment to date.

After the closing meeting the ASQA Assessor will:

1. review any additional evidence
2. prepare the RTO assessment report
3. make recommendations to ASQA.

**Next steps:** ASQA will consider the Assessor's recommendations.

Further Information Webinar : [ASQA Understanding Performance Assessment](#)

Feel free to reach out to me directly if you would like any compliance support.

**Karen Powell**  
*Compliance Manager*