

| KPI 1 – REGULATORS DO NOT UNNECESSARILY IMPEDE THE EFFICIENT OPERATION OF REGULATED ENTITIES                                                                                                   |                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Measure                                                                                                                                                                                        | Output                                                                                                                                                                                                                                                                                                                                            | Evidence for Self-Assessment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 1.1 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. | 1.1.1 Maintain a knowledge base of providers, their environment and issues impacting on their regulatory role.<br><br>1.1.2 Mechanisms are in place for regular communication with registered schools, designated authorities (DAs) and other relevant regulators to share knowledge and understanding of current and emerging issues.            | <ul style="list-style-type: none"> <li>• Maintained and updated providers' profiles annually.</li> <li>• Undertaken regular environmental scanning at least annually by staff (including review of international best practice.)</li> <li>• Regularly met with State DAs (before or after compliance monitoring visits)</li> <li>• Shared information with all relevant stakeholders where possible (including meetings with the multi-sector working group)</li> </ul>                                                |
| 1.2 Take actions to minimise the potential for unintended negative impacts of regulatory activities on schools.                                                                                | 1.2.1 Conduct workshops with providers that give information on legislative requirements and opportunities for feedback from the sector on regulatory impact of activity.<br><br>1.2.2 Apply a risk based scaled approach to non-compliance issues as appropriate to minimise potential for unintended negative impacts of regulatory activities. | <ul style="list-style-type: none"> <li>• Delivered workshops across all States and Territories every two years</li> <li>• Recorded feedback and addressed issues identified by stakeholders</li> <li>• Looked at providing an on-line workshop component for access by providers in regional areas</li> <li>• Regularly examined approaches taken to identify and ensure rectification of non-compliance issues</li> <li>• Released bulk uploading functions in the past year and reduced costs as a result</li> </ul> |
| 1.3 Implement continuous improvement strategies to reduce the costs of compliance for schools.                                                                                                 | 1.3.1 Implement streamlined registration processes, application forms and reporting requirements.<br><br>1.3.2 Use feedback processes to identify and implement new areas for improvement.                                                                                                                                                        | <ul style="list-style-type: none"> <li>• Reported annually on system/process improvements and reductions in time and costs for providers</li> </ul>                                                                                                                                                                                                                                                                                                                                                                    |

| <b>KPI 2 – COMMUNICATION WITH REGULATED ENTITIES IS CLEAR, TARGETED AND EFFECTIVE</b>                                                                                         |                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Measure</b>                                                                                                                                                                | <b>Output</b>                                                                                                                                                                                                                                                         | <b>Evidence for Self-Assessment</b>                                                                                                                                                                                                                                                                                                                                                                                              |
| 2.1 Provide guidance and information that is up to date, clear, accessible and concise through media appropriate to the target audience.                                      | 2.1.1 Guidance material and information is accessible to providers through a number of mechanisms including: the website, mailbox, induction manual, national code compliance FAQs.<br><br>2.1.2 Seek feedback from stakeholders on the guidance and advice provided. | <ul style="list-style-type: none"> <li>• Sought feedback on the information, guidance and advice given to the providers via                             <ul style="list-style-type: none"> <li>- help desks (and Call Centre)</li> <li>- workshops</li> <li>- internationaleducation.gov.au website</li> <li>- other educational materials on ESOS or CRICOS prepared by the ESOS Regulator (for Schools)</li> </ul> </li> </ul> |
| 2.2 Consider the impact on schools and engage with industry groups and representatives of the affected stakeholders before changing policies, practices or service standards. | 2.2.1 Consult State DAs, peak bodies and schools about proposed changes to legislation, the National Code and reporting processes.                                                                                                                                    | <ul style="list-style-type: none"> <li>• Recorded consultation activities and outcomes</li> </ul>                                                                                                                                                                                                                                                                                                                                |
| 2.3 Decide and advise on issues in a timely manner, and clearly articulate reasons for decisions and expectations.                                                            | 2.3.1 Finalise registration and renewal processes in a timely manner.<br><br>2.3.2 Provide detailed explanations for rejections.                                                                                                                                      | <ul style="list-style-type: none"> <li>• Completed registration/renewal process within an average timeframe of three weeks</li> <li>• Notified the school when a recommendation from a State DA was received by the department, and provided detailed explanations for rejections</li> </ul>                                                                                                                                     |
| 2.4 Provide advice that is consistent and supports predictable outcomes.                                                                                                      | 2.4.1 Staff interacting with stakeholders only use approved procedures                                                                                                                                                                                                | <ul style="list-style-type: none"> <li>• Reviewed and updated Call Centre scripts and templates in a timely manner</li> <li>• All compliance case managers applied relevant procedures and templates consistently and correctly</li> </ul>                                                                                                                                                                                       |

| <b>KPI 3 – ACTIONS UNDERTAKEN BY REGULATORS ARE PROPORTIONATE TO THE REGULATORY RISK BEING MANAGED</b>                                                                                                                                                             |                                                                                                                               |                                                                                                                                                                                                                                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Measure</b>                                                                                                                                                                                                                                                     | <b>Output</b>                                                                                                                 | <b>Evidence for Self-Assessment</b>                                                                                                                                                                                                    |
| 3.1 Apply a risk-based and proportionate approach to compliance obligations, engagement and regulatory enforcement actions.                                                                                                                                        | 3.1.1 Implement internal procedures for selecting schools for monitoring visits and desktop audits based on risk assessments. | <ul style="list-style-type: none"> <li>Selected schools for monitoring visits and desktop audits based on risk assessments</li> </ul>                                                                                                  |
| 3.2 Reassess the regulator’s preferred approach to regulatory risks. Amend strategies, activities and enforcement actions to reflect changing priorities that result from new and evolving regulatory threats, without diminishing regulatory certainty or impact. | 3.2.1 Regularly review and update the PRISMS Risk Matrix.                                                                     | <ul style="list-style-type: none"> <li>Annually reviewed risk data (PRISMS Risk Matrix)</li> <li>Reviewed internal process biannually</li> </ul>                                                                                       |
| 3.3 Recognise the compliance record of schools, including use of earned autonomy where this is appropriate. Consider all available and relevant data on compliance, including evidence of relevant external verification.                                          | 3.3.1 Recognise the compliance record of schools and consider all available data/evidence when assessing risks.               | <ul style="list-style-type: none"> <li>Compared risk factors for a provider over a specified historical period</li> <li>Exchanged information with State DAs regularly re schools of concern and schools with best practice</li> </ul> |

| <b>KPI 4 – COMPLIANCE AND MONITORING APPROACHES ARE STREAMLINED AND COORDINATED</b>                                                                                                                                       |                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                        |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Measure</b>                                                                                                                                                                                                            | <b>Output</b>                                                                                                                                                                                                         | <b>Evidence for Self-Assessment</b>                                                                                                                                                                                                                                                                    |
| 4.1 Ensure that information requests are tailored and only made when necessary to secure regulatory objectives, and in a way that minimises impact.                                                                       | 4.1.1 Tailor requests for information and only make requests when necessary.<br><br>4.1.2 Improve support to providers' compliance through education and discussion of identified issues                              | <ul style="list-style-type: none"> <li>• Only requested information in relation to high risk factors, and focused on providers with serious compliance issues</li> <li>• Shared quarterly PRISMS Risk Matrix information with relevant regulators (i.e. State DAs) when it became available</li> </ul> |
| 4.2 Ensure that the frequency of information collection is minimised and coordinated with similar processes including those of other regulators, so that, as far as possible, similar information is only requested once. | 4.2.1 Conduct its compliance monitoring visits in conjunction with State DAs, and also invite ASQA and/or TEQSA if the regulated entity is a dual or multi sector provider.                                           | <ul style="list-style-type: none"> <li>• Had meetings/teleconferences with State DAs and ASQA (and/or TEQSA for multi-sector providers) before any monitoring visits to ensure a streamlined approach</li> <li>• Shared relevant information with DIBP where possible</li> </ul>                       |
| 4.3 Base monitoring and inspection approaches on risks. Where possible, take into account the circumstance and operational needs of the relevant school.                                                                  | 4.3.1 Only visit, or conduct desk top audit on, providers identified as having serious (or large number or proportion of) non-compliance issues; or in response to referrals received from other relevant regulators. | <ul style="list-style-type: none"> <li>• Liaised with State DAs and peak bodies on a regular basis</li> <li>• Had a multi-sector working group meeting at least once a year – to review multi-sector providers' compliance and monitoring approaches.</li> </ul>                                       |

| <b>KPI 5 – REGULATORS ARE OPEN AND TRANSPARENT IN THEIR DEALINGS WITH REGULATED ENTITIES</b>                            |                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Measure</b>                                                                                                          | <b>Output</b>                                                                                                                        | <b>Evidence for Self-Assessment</b>                                                                                                                                                                                                                                                                                                                                                                                                          |
| 5.1 Make the regulator’s risk-based framework publicly available and in a format that is current, clear and accessible. | 5.1.1 Publish the risk-based framework on the Internet by 1 July 2015                                                                | <ul style="list-style-type: none"> <li>Assessed performance publicly available on the <a href="http://internationaleducation.gov.au">internationaleducation.gov.au</a> website by 1 July 2015</li> <li>Updated the information in a timely manner to reflect legislative or administrative changes</li> <li>Developed a streamlined information webpage relating to CRICOS registration, renewal, fees and compliance for schools</li> </ul> |
| 5.2 Publish the regulator’s performance measurement results in a timely manner to ensure accountability to the public.  | 5.2.1 Publish relevant measurement results against the KPIs for each financial year as soon as practicable after each financial year | <ul style="list-style-type: none"> <li>Performance results published on the <a href="http://internationaleducation.gov.au">internationaleducation.gov.au</a> website annually and in a timely manner</li> </ul>                                                                                                                                                                                                                              |

| PI 6 - REGULATORS ACTIVELY CONTRIBUTE TO THE CONTINUOUS IMPROVEMENT OF REGULATORY FRAMEWORKS                                                                                                                                                              |                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Measure                                                                                                                                                                                                                                                   | Output                                                                                                                                                                                                                                | Evidence for Self-Assessment                                                                                                                                                                                                                                                                                                                                                                       |
| 6.1 Establish cooperative and collaborative relationships with stakeholders to promote trust and improve the efficiency and effectiveness of the regulatory framework.                                                                                    | 6.1.1 Have an open, friendly and professional relationship and liaise with all relevant regulators on a regular basis.<br>6.1.2 Create a growth of awareness among providers regarding compliance with the ESOS legislative framework | <ul style="list-style-type: none"> <li>• Had meetings/teleconferences with all relevant regulators prior to any visits</li> <li>• Increased the number of joint visits</li> <li>• The majority of schools had decreased risk scores compared to the previous year</li> <li>• Released relevant information on the Internet</li> <li>• Had joint workshops on ESOS compliance as planned</li> </ul> |
| 6.2 Engage stakeholders in the development of options to reduce compliance costs (which could include industry self-regulation, changes to the overarching regulatory framework, or other strategies to streamline monitoring and compliance approaches). | 6.2.1 Liaise with stakeholders to avoid duplication of RFIs (requests for information) and coordinate joint visits/workshops                                                                                                          | <ul style="list-style-type: none"> <li>• Visited all States and provided workshops in all States within two years</li> <li>• Received positive feedback from schools about the consultations and the compliance approaches</li> <li>• Had a multi-sector regulators working group face-to-face meeting at least once a year</li> </ul>                                                             |
| 6.3 Regularly share feedback from stakeholders about consultations, legislative requirements and regulators' performance with relevant policy areas to improve the operation of the regulatory framework and administrative processes.                    | 6.3.1 Liaise regularly with the ESOS policy and legislation section of the department and provide feedback.                                                                                                                           | <ul style="list-style-type: none"> <li>• Liaised with policy area on a regular basis regarding feedback from schools</li> <li>• Engaged the ESOS policy and legislation section of the department in multi-sector regulator working group meetings.</li> </ul>                                                                                                                                     |

Note: "State DAs" referred to in this document also include designated authorities in the ACT and the NT.