



Australian Government

Aged Care Quality and Safety Commission

Risk-based regulation in Aged Care

Date: 21 April 2026





Acknowledgement of Country

Artwork by Dreamtime Creative



Speakers

Host

- Liz Hefren-Webb, Aged Care Quality and Safety Commissioner (Chair)

Presenters and Q&A

- Piet Powell, Assistant Commissioner, Risk Intake and Inspectorate
- Rob Ghali, Assistant Commissioner, Compliance and Enforcement





Overview

- 1 What is risk-based regulation?
- 2 How do we identify and assess risk?
- 3 How do we manage non-compliance?
- 4 Questions



**We welcome your engagement,
questions and feedback**



Regulatory Strategy

Our Regulatory Purpose



Our regulatory functions

- Safeguard the rights of older people, and protect and enhance their safety, health, wellbeing and quality of life.
- Build the capability of the sector through engagement and education.
- Manage who enters the funded aged care market and how they participate.
- Manage complaints

Expectations of the Commission

- We are a data-driven, rights-based, risk led regulator.
- The Statement of Principles shapes how we perform our functions.

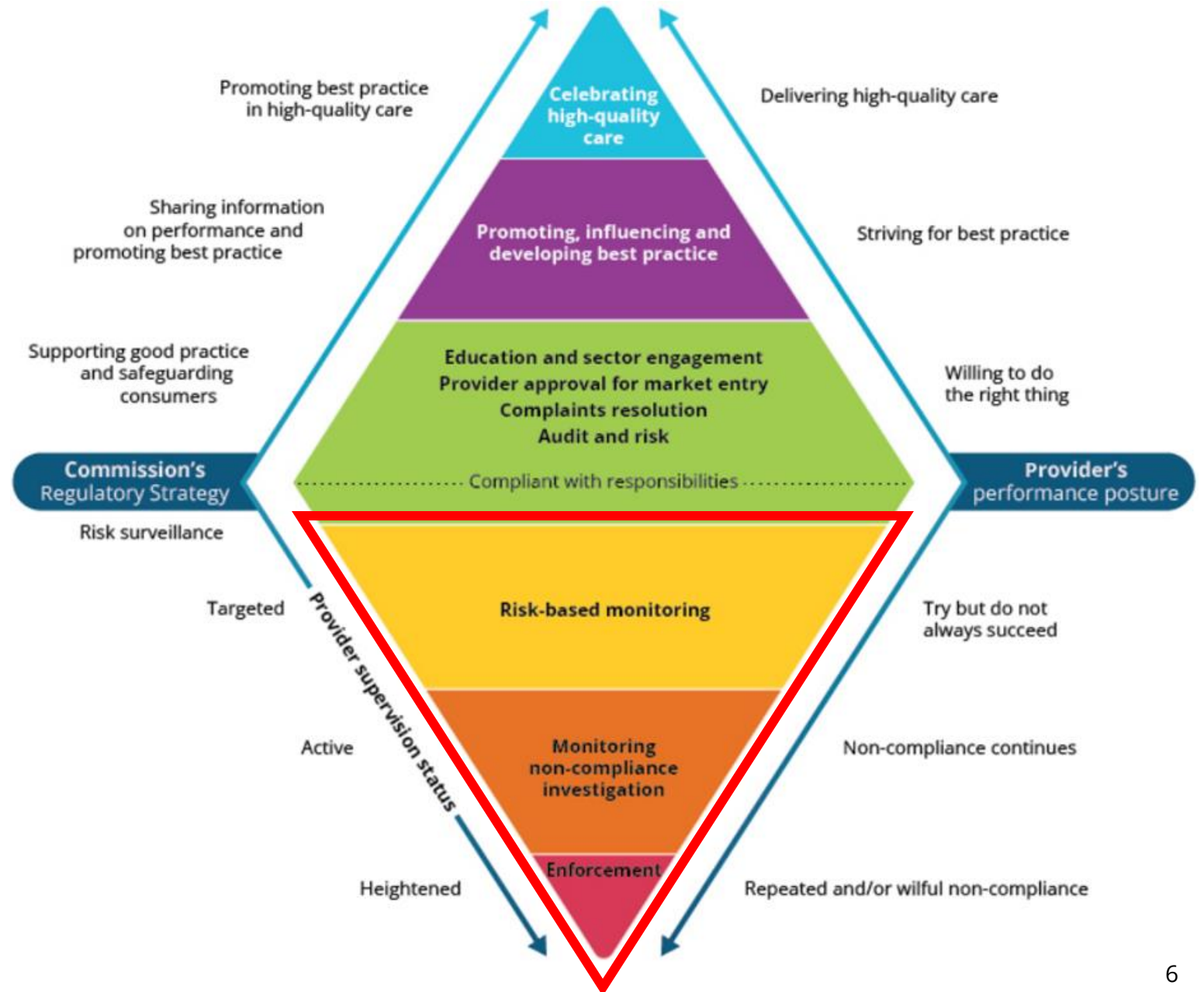
Expectations of the sector

- Comply with your obligations under the *Aged Care Act 2024*.
- Listen and empower older people to assert their rights.
- Develop a skilled and dedicated workforce.
- Continuously aim to deliver high-quality care
- When things go wrong: remedy, restore and prevent!



Regulatory Strategy

Regulatory Diamond





Supervision Model

Four key principles



Proportionate



**Risk and
intelligence
based**



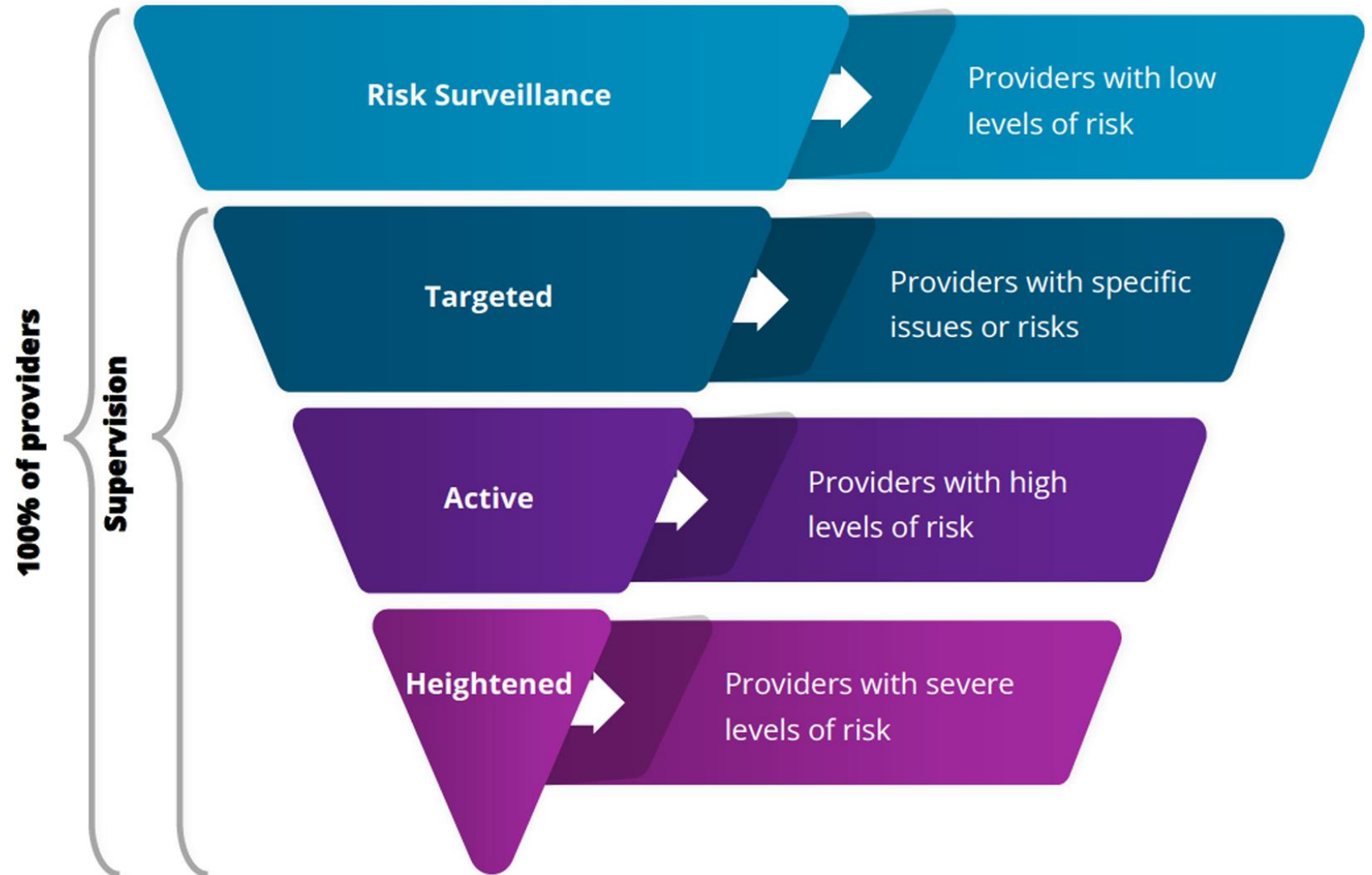
**Outcomes
focused**



Collaborative



Supervision Statuses





Data and intelligence

Daily

- Enquiries and feedback
- Complaints
- Worker concerns
- Reportable incidents
- Media

Annually

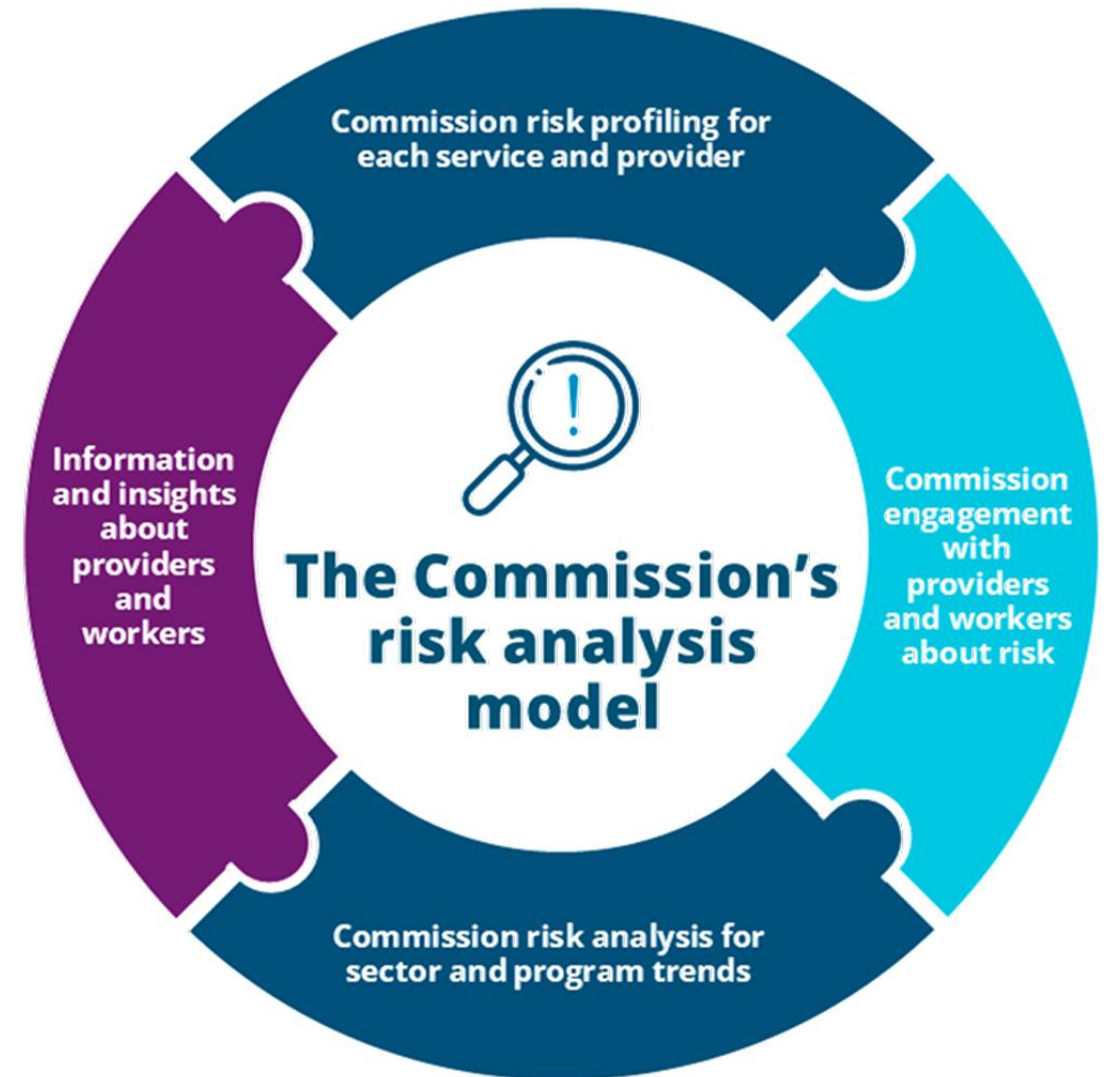
- Financial statements
- Prudential compliance statement
- Consumer experience interviews
- Provider governance and operations information
- Provider governing body statement

Quarterly

- Financial
- Staffing
- Food and nutrition
- Quality indicators

As required

- Site audits
- Risk-based monitoring
- Material changes
- Referrals from other agencies
- Research and publications



Inspections

Officers hold an **entry meeting** to explain what to expect and give you an **opportunity to ask questions**

Officers **collect information.**

Officers **work with you** to make sure you are managing risks and have systems to reduce ongoing risks

We will send you a **report** telling you what we found and what happens next. You will have an **opportunity to respond**

Authorised Commission Officers conduct inspections with the consent of the occupier, or under warrant or Commissioner certificate

Officers **assess** areas found to be non-compliant and **evaluate** the effectiveness of your controls.

Officers hold an **exit meeting** to talk about their findings.

We will **consider** your response before we decide what to do next



Managing non-compliance

Engagement

- Early, supportive intervention
- Build Capability
- Encourage voluntary remediation

Monitoring Tools

- Information and document requests
- Monitoring and investigation powers
- Required Action Notices (RAN)

Compliance Actions

- Used when engagement isn't enough
- Non-statutory: reminder, caution, request for action letters
- Statutory: compliance notices, conditions, enforceable undertakings

Enforcement Actions

- Used for serious or harmful non-compliance
- Strongest regulatory tools
- Penalties, suspensions, revocation
- Banning orders



Recap

- 1 We are a risk-based regulator – providers must identify and address risks themselves.
- 2 We use multiple sources of information to monitor risks
- 3 We use inspections as a key risk-monitoring tool
- 4 We will escalate if there is continued non-compliance



We welcome your engagement, questions and feedback



Questions

