

VET Internal Audit of Training and Assessment Procedure

Section 1 - Purpose / Objectives

(1) As part of the Polytechnic's commitment to continuous improvement, and in compliance with Standard 2 of the Standards for Registered Training Organisations, 2015 and the Victorian Department of Education and Training Funding Agreement, this Procedure describes the processes for managing the systematic internal audit and review of nationally recognised training products.

Section 2 - Scope / Application

(2) This Procedure applies to all training products listed on Victoria University's Scope of Registration. Internal audit against the Victorian Department of Education and Training Funding Agreement applies only to qualifications where students may access Victorian Government Funding through the Victorian Training Guarantee (VTG).

Section 3 - Definitions

(3) Nil

Section 4 - Policy Statement

(4) Nil

Section 5 - Procedures

Part A - Roles and Responsibilities

| Role | Responsibilities |
|--------------------------------------|--|
| Vice President: Vocational Education | Approve and publish an annual internal audit and review schedule. |
| Polytechnic Directors | Ensure internal audit schedule is communicated clearly to Managers. Monitor outcomes of internal audits and reviews, identifying issues that need to be addressed at the policy/procedure level. |
| Polytechnic Managers | Ensure that relevant staff are available to participate in scheduled audits and that the required documentation and records are available for review during the audit. Enter audit findings on the program area's Continuous Improvement Register, developing action plans and monitoring their completion. Encourage teaching staff to undertake internal auditor training and to participate in audits of other programs across the Institute. |
| Teachers | Prepare documentation and records for scheduled audits. Participate in scheduled audits, using the experience as an opportunity to identify improvements in practice. |

| Role | Responsibilities |
|--|---|
| Senior Manager, Quality and Compliance | Establish and maintain a 5 year internal plan to ensure that every qualification on the Polytechnic's scope of registration undergoes a quality audit focusing on Standard 1 of the SRTOs at least once in each 5 year period. Include cross Institute audits of key areas relevant to training and assessment, using a risk management approach. Schedule follow up audits when internal audits identify non-compliances rated as High Risk. Schedule, publicise and conduct internal auditor training for staff across the Polytechnic and maintain a list of qualified internal auditors. |
| Internal Auditors | Prepare for internal audits as per schedule. Conduct audits as per internal audit guidelines and complete audit reports within 5 working days of the audit. Assist with clarification of audit report items with the relevant Manager as required. Assist with follow-up audits as determined by the Senior Manager Quality and Compliance. |
| Quality and Compliance Team | Coordinate audits scheduled within the Internal Audit Plan, ensuring all parties are informed. Maintain completed audit documentation for a period of 2 years, and manage electronic records of audits. |

Part B - Internal Audit Schedule

(5) Senior Manager Quality and Compliance to develop a 5 year plan for internal audit, focusing on the quality of training and assessment. A risk based approach to the scheduling of qualifications must be used, so that higher risk qualifications are audited most frequently, and lower risk programs are audited less frequently.

(6) Each training product on VU's Scope of Registration must undergo at least one quality audit against Standard 1 of the Standards for Registered Training Organisations over the 5 year period.

(7) Each training product where students may access Victorian Government Funding must undergo at least one audit against the Victorian Department of Education and Training Funding Agreement over the 5 year period.

(8) Based on the 5 year plan, the Senior Manager Quality and Compliance must provide a draft Annual Internal Audit Schedule for training products on VU's Scope of Registration to the Vice President: Vocational Education before the end of January each year.

(9) Vice President: Vocational Education, in conjunction with the Polytechnic Directors to approve and publish the Annual Internal Audit Schedule on the the Polytechnic Course Compliance intranet page.

(10) Polytechnic Directors to ensure that all Managers are aware of the Annual Internal Audit Schedule and their obligations in relation to internal audits.

(11) Polytechnic Managers must ensure that their staff are aware of the Annual Internal Audit Schedule and their obligations in relation to internal audits.

Part C - Internal Auditors

(12) It is the responsibility of the VET Quality and Compliance Team to maintain a current list of qualified internal auditors.

(13) Internal auditor training to be scheduled twice annually. Internal audit programs will be aligned to BSBAUD402 Participate in a Quality Audit (or its successor).

(14) Polytechnic Managers are to be encouraged to nominate at least one staff member annually to participate in internal auditor training, and to be involved as an ongoing member of the internal auditor team.

Part D - Administration of Internal Quality Audits

(15) The VET Quality and Compliance Team will oversee the administration of internal audits.

(16) In the first week of each month, the Quality and Compliance Team will liaise with internal auditors and those areas scheduled for audit in the following month to:

- a. arrange a suitable time and location for site audits;
- b. provide information to auditees about documentation required for review in desktop audits; and
- c. ensure that internal auditors have access to the internal audit templates.

(17) After the audit has been conducted and the report finalised, the Quality and Compliance Team will ensure that:

- a. The internal audit report is provided to the Polytechnic Manager, with a copy to the relevant Director; and
- b. Signed internal audit reports are stored for future reference.

Part E - Conducting and Reporting on Internal Audits

(18) Where possible, two internal auditors will be assigned to each scheduled audit. The internal auditors will determine individual responsibilities, including communication with the auditee and developing the audit report.

(19) At no time will an internal auditor be involved in the auditing of a program with which they have been involved as a teacher or assessor.

(20) It is the responsibility of the internal auditors to ensure that the relevant Polytechnic Manager is fully informed of the scope of the audit, and the staff who need to be present. Where possible, a copy of the internal audit checklist should be provided in advance to assist with the Manager's preparation.

(21) Where the audit is a site audit, it shall be structured as:

- a. An opening meeting to again clarify the scope and intent of the audit;
- b. Audit questions and evidence review; and
- c. Closing meeting, summarising audit findings.

(22) Where the audit is a desktop audit (i.e. no site visit, but requiring specified documentation and records to be provided in either electronic or print format):

- a. the details of the evidence required will be made available to the Manager at least one week ahead of the audit; and
- b. specific evidence (e.g. specific students, units and/or teachers) will be provided before midday, with the evidence due to be submitted by 5 pm on the same day.

(23) Audit reports will be provided to the Polytechnic Manager, with a copy to the relevant director no later than 5 working days after the audit is conducted.

(24) The Manager must sign the report and send a scanned copy back to the Quality and Compliance team within 5 days of its receipt.

Part F - Addressing Internal Audit Findings

(25) After receiving the Internal Audit report, and before sending the signed report back to the Quality and Compliance team, Managers must add the identified non-compliances to their program area Continuous Improvement Register.

(26) Appropriate rectification strategies, timelines and individual responsibilities must be identified and documented on the Continuous Improvement Register.

(27) Actions identified on the Continuous Improvement Register must be monitored to ensure they are completed and reviewed for their effectiveness, taking additional action if required.

(28) Where any internal audit finding was rated as High Risk, there will be a follow up audit scheduled within one month of the signed internal audit report being returned to the Quality and Compliance Team, to ensure the necessary follow up actions relating to the high risk item have occurred and are effective in addressing the issue.

Section 6 - References

(29) [VET Audit Procedure](#)

(30) [Guidelines for Internal Quality Audit of VET Training and Assessment](#)

(31) VET - 2015 to 2019 - Internal Quality Audit Plan <http://intranet.vu.edu.au/VUIT/Course%20Compliance.asp>

(32) VET Internal Quality Audit Schedule, 2015 <http://intranet.vu.edu.au/VUIT/Course%20Compliance.asp>

(33) Click [here](#) to view these references -

- a. VET Internal Audit Report Template
- b. Qualification Audit - Standard 1 Template
- c. VET Teacher Files Audit Template
- d. Continuous Improvement Register