

TAFE Audit Procedure

Section 1 - Purpose / Objectives

(1) This procedure outlines the responsibility for and processes involved in, informing staff of responsibilities and regulatory requirements in relation to internal and external audits within TAFE programs at Victoria University to ensure compliance with:

- a. the National Vocational Education and Training Regulator (Australian Skills Quality Authority — ASQA)
- b. the Victorian Registration and Qualifications Authority (VRQA) and
- c. the Victorian Department of Education and Training (DET).

Section 2 - Scope / Application

(2) This procedure is applicable across the University's vocational education and training operations including when dealing with partnerships in Australia and offshore.

Section 3 - Definitions

(3) Nil

Section 4 - Policy Statement

(4) Quality and Planning Policy (currently under review)

Section 5 - Procedures

Part A - Roles and Responsibilities

Roles	Responsibilities
Senior Manager TAFE Operations and Business Improvement / nominated VUIT Director	Ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.
Senior Manager TAFE Operations and Business Improvement	Management of VUIT's compliance with DET and VRQA regulatory requirements.
Nominated VUIT Director	Management of compliance with ASQA regulatory requirements.
Senior Manager TAFE Operations and Business Improvement / nominated VUIT Director	Prepare an annual internal audit schedule in consultation with the VUIT Leadership Team.

Senior Manager TAFE Operations and Business Improvement / nominated VUIT Director / Snr Quality and Compliance Officer	Develop / review and publish internal and external audit guides for staff.
Senior Quality Manager / Quality Consultants / External contractors	Conduct staff training.
Senior Quality Manager / Quality Consultants / Snr Quality and Compliance Officer	Conduct internal audits. Report internal audit findings. Develop continuous improvement actions.
Nominated VUIT Director	Identify key risks.
Senior Manager TAFE Operations and Business Improvement / nominated VUIT Director	Advise staff and other key stakeholders across VU of external audit notifications. Coordinate collation of files and other documents for presentation to auditors. Liaise with external auditors.
Vice President — Vocational Education	Report external audit findings and identify key risks . Consult with external auditors in relation to an Agreed Management Action Plan (AMAP) . Report on AMAP progress to external auditors or regulatory bodies as directed.
Vice President — Vocational Education	Act on key risks.

Part B - Procedures

- (5) The Senior Manager TAFE Operations and Business Improvement and nominated VUIT Director will ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.
- (6) The Senior Manager TAFE Operations and Business Improvement and nominated VUIT Director will prepare an annual internal audit schedule in consultation with the VUIT Leadership Team.
- (7) The Senior Manager TAFE Operations and Business Improvement , nominated VUIT Director and Senior Quality and Compliance Officer will develop / review and publish internal and external audit guides for staff use.
- (8) The Senior Manager TAFE Operations and Business Improvement or nominated VUIT Director will be responsible for the scheduling of audit training for staff who will be participating in audits and engaging internal or external trainers.
- (9) The Quality Consultants and/or Senior Quality and Compliance Officer will conduct internal audits per the audit schedule.
- (10) Audit findings will be reported to the VUIT Leadership Team by the Senior Manager TAFE Operations and Business Improvement or nominated VUIT Director.
- (11) Internal auditors will report audit findings to Managers and other staff as requested.
- (12) The nominated VUIT Director will oversee the development of continuous improvement actions resulting from audit.
- (13) The nominated VUIT Director will identify any key risks resulting from audits and report to the VUIT Leadership Team.
- (14) The Senior Manager TAFE Operations or Business Improvement or nominated VUIT Director will advise all relevant staff of external audit notifications.

- (15) The Senior Manager TAFE Operations or Business Improvement or nominated VUIT Director will liaise with the external auditors.
- (16) The Senior Manager TAFE Operations and Business Improvement or nominated VUIT Director will report external audit findings and identify key risks to the VUIT Leadership Team and other relevant staff.
- (17) The Vice President — Vocational Education will consult with external auditors in relation to an Agreed Management Action Plan (AMAP).
- (18) The Vice President — Vocational Education will report on AMAP progress to external auditors or regulatory bodies as directed and to the Internal Audit & Risk Committee?
- (19) The Vice President — Vocational Education will act on key risk as identified in internal and external audits.

Section 6 - References and Forms

- (20) Standards for Registered Training Organisations (RTOs) 2015, made under the National Vocational Education and Training Regulator Act 2011
- (21) User's Guide to the Standards for RTOs 2015 — ASQA
- (22) 2014—2016 VET Funding Contract (Dual Sector) VTG Program — on intranet
- (23) Non-school Senior Secondary Education Providers: Minimum Standards for Registration — VRQA
- (24) VUIT's TAFE Continuous Improvement Procedure
- (25) VUIT's [TAFE Assessment Validation Procedure](#)

Section 7 - Guidelines

- (26) Nil

Status and Details

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Effective Date	31st July 2015
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Responsible Officer	Wayne Butson Chief TAFE Officer +61 3 99198756
Enquiries Contact	Maria Juj General Manager, Quality, Risk and Compliance +61 3 99197715