

# VET 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 VET 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) Nil

## Section 5 - Procedures

### Part A - Roles and Responsibilities

| Roles  | Responsibilities  |
|--|---|
| Senior Manager VET Operations and Business Improvement / nominated Polytechnic Director                                      | Ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements. |
| Senior Manager VET Operations and Business Improvement   | Management of the Polytechnic's compliance with DET and VRQA regulatory requirements                          |
| Nominated Polytechnic Director   | Management of compliance with ASQA regulatory requirements  |
| Senior Manager VET Operations and Business Improvement / nominated Polytechnic Director                                      | Prepare an annual internal audit schedule in consultation with the Polytechnic Leadership Team.               |
| Senior Manager VET Operations and Business Improvement / nominated Polytechnic Director / Snr Quality and Compliance Officer | Develop / review and publish internal and external audit guides for staff                                     |

| <b>Roles</b>  | <b>Responsibilities</b>   |
|---|---|
| Senior Quality Manager / Quality Consultants / External contractors                     | Conduct staff training  |
| Senior Quality Manager / Quality Consultants / Snr Quality and Compliance Officer       | Conduct internal audits<br>Report internal audit findings<br>Develop continuous improvement actions   |
| Nominated Polytechnic Director  | Identify key risks  |
| Senior Manager VET Operations and Business Improvement / nominated Polytechnic 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 VET Operations and Business Improvement and nominated Polytechnic Director will ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.

(6) The Senior Manager VET Operations and Business Improvement and nominated Polytechnic Director will prepare an annual internal audit schedule in consultation with the Polytechnic Leadership Team.

(7) The Senior Manager VET Operations and Business Improvement , nominated Polytechnic Director and Senior Quality and Compliance Officer will develop / review and publish internal and external audit guides for staff use.

(8) The Senior Manager VET Operations and Business Improvement or nominated Polytechnic 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 Polytechnic Leadership Team by the Senior Manager VET Operations and Business Improvement or nominated Polytechnic Director.

(11) Internal auditors will report audit findings to Managers and other staff as requested.

(12) The nominated Polytechnic IT Director will oversee the development of continuous improvement actions resulting from audit.

(13) The nominated Polytechnic Director will identify any key risks resulting from audits and report to the Polytechnic Leadership Team.

(14) The Senior Manager VET Operations or Business Improvement or nominated Polytechnic Director will advise all relevant staff of external audit notifications.

(15) The Senior Manager VET Operations or Business Improvement or nominated Polytechnic Director will liaise with the external auditors.

(16) The Senior Manager VET Operations and Business Improvement or nominated Polytechnic Director will report external audit findings and identify key risks to the Polytechnic 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 - Guidelines**

(20) Nil

## **Section 7 - References**

(21) Standards for Registered Training Organisations (RTOs) 2015, made under the National Vocational Education and Training Regulator Act 2011

(22) [User's Guide to the Standards for RTOs 2015 - ASQA](#)

(23) 2014-2016 VET Funding Contract (Dual Sector) Victoria Training Guarantee Program

(24) Non-school Senior Secondary Education Providers - Minimum Standards for Registration - VRQA

(25) Polytechnic's [VET Continuous Improvement of Training and Assessment Procedure](#)

(26) Polytechnic's [VET Assessment Validation Procedure](#)

## Status and Details

|                            |  |
|----------------------------|--|
| <b>Status</b>              | Historic   |
| <b>Effective Date</b>      | 16th February 2018   |
| <b>Review Date</b>         | 16th February 2021   |
| <b>Approval Authority</b>  | Vice President, Vocational Education & Training and Executive Director, Victoria Polytechnic |
| <b>Approval Date</b>       | 8th February 2018  |
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