

# VET Audit Procedure

## Section 1 - Summary

(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 - Accountability

Accountable/Responsible Officer	Role
Accountable Officer	Deputy Vice-Chancellor, Vocational Education
Responsible Officer	Pro Vice-Chancellor, Vocational Education and Pathways

## Section 3 - Scope

(2) This Procedure applies to all Victoria University's vocational education and training operations including partnerships in Australia and offshore.

## Section 4 - Definitions

(3) NAT file - A file containing training statistical data required by the Department of Education and Training.

## Section 5 - Policy/Regulation

(4) Nil

## Section 6 - Procedures

### Part A - Roles and Responsibilities

Roles	Responsibilities
Deputy Vice-Chancellor, Vocational Education	<ol style="list-style-type: none"> <li>1. Ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.</li> <li>2. Consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans.</li> </ol>

Roles	Responsibilities
Pro Vice-Chancellor, Vocational Education and Pathways	<ol style="list-style-type: none"> <li>1. Responsible for VET audit processes.</li> <li>2. Under delegation of the Deputy Vice-Chancellor, Vocational Education, the Pro Vice-Chancellor, Vocational Education and Pathways will consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans.</li> </ol>
Deputy Vice-Chancellor, Vocational Education, Pro Vice-Chancellor, Vocational Education and Pathways, General Manager, Quality, Risk and Compliance and Senior Manager, Administration and Governance	<ol style="list-style-type: none"> <li>1. Attend audit meetings with external auditors.</li> <li>2. Develop action plans in response to key risks from internal and external audit findings.</li> </ol>
General Manager, Quality, Risk and Compliance	<ol style="list-style-type: none"> <li>1. Develop an annual internal audit schedule.</li> <li>2. Provide all communication relating to internal and external audit notifications, processes and documentation requirements to relevant staff.</li> <li>3. Coordinate collation of files and other documentation for presentation to internal and external auditors.</li> <li>4. Convene audit preparation meetings.</li> <li>5. Act as the key point of contact for all communication with external auditors during an audit.</li> <li>6. Report external audit findings and key risks to Senior Leadership Team.</li> <li>7. Report internal audit findings and key risks to Senior Leadership Team.</li> </ol>
General Manager, Quality, Risk and Compliance and Quality and Compliance team	<ol style="list-style-type: none"> <li>1. Review audit student files for external auditors and audit student files for internal audits.</li> <li>2. Provide advice to teaching areas in collation of audit documentation.</li> <li>3. Develop / review and publish internal and external audit guides for staff.</li> </ol>
Senior Manager, Administration and Governance	<ol style="list-style-type: none"> <li>1. Decode DET sample files from NAT file numbers to VU Student Identification numbers and student names.</li> <li>2. Request student central files.</li> <li>3. Forward decoded sample list to General Manager, Quality, Risk and Compliance.</li> <li>4. Forward central files to General Manager, Quality, Risk and Compliance.</li> </ol>
Teaching area Managers	<ol style="list-style-type: none"> <li>1. Nominate staff members to participate in audit preparation and audit meetings.</li> <li>2. Enter audit findings on the program area's Continuous Improvement Register, develop action plans and monitor their completion.</li> </ol>
Teaching area Managers and Teachers	<ol style="list-style-type: none"> <li>1. Review staff files and locate evidence of participation, if applicable, and forward to Senior Manager Quality and Compliance within required time lines.</li> </ol>
Nominated staff members	<ol style="list-style-type: none"> <li>1. Attend audit preparation meetings.</li> <li>2. Check student files using audit checklist.</li> <li>3. Participate in meetings with external auditors as required.</li> </ol>

## Part B - Procedures

(5) Under the delegation of the Deputy Vice-Chancellor, Vocational Education the Pro Vice-Chancellor, Vocational Education and Pathways to ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.

(6) General Manager, Quality, Risk and Compliance to prepare an annual internal audit schedule. 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.

(7) The Quality and Compliance team to conduct internal audits as per the audit schedule and send reports to the relevant teaching area Manager and Director within five days of the audit.

(8) General Manager, Quality, Risk and Compliance to report Internal audit findings and key risks to the Polytechnic Senior Leadership team.

(9) Upon receipt of notification of an external audit the Senior Manager, Administration and Governance to:

- a. decode DET sample files from NAT file numbers to VU Student Identification numbers and student names, if applicable;
- b. request required student central files;
- c. collect any additional documentation;
- d. forward all documentation to General Manager, Quality, Risk and Compliance.

(10) General Manager, Quality, Risk and Compliance to provide audit sample list to teaching area Managers with a request for the student file and specific required documentation to be returned to the Quality and Compliance team within a given timeframe.

(11) Teaching area Managers to nominate a staff member to participate in audit preparation and audit meetings.

(12) Teaching area Managers and teachers to collect and review all required documentation and return to Quality and Compliance team within designated timeframe.

(13) Quality and Compliance team to provide advice to teaching areas in collation of audit documentation.

(14) General Manager, Quality, Risk and Compliance to convene an audit preparation meeting where applicable. All nominated staff must participate in the meeting.

(15) Quality and Compliance team to review audit student files for external auditors.

(16) Deputy Vice-Chancellor, Vocational Education, Pro Vice-Chancellor, Vocational Education and Pathways, General Manager, Quality, Risk and Compliance and Senior Manager, Administration and Governance to participate in opening meetings with external auditors.

(17) General Manager, Quality, Risk and Compliance and other nominated staff as required, to participate in audit meetings with external auditors.

(18) General Manager, Quality, Risk and Compliance to act as key point of contact for external auditors for the duration of the audit.

(19) Deputy Vice-Chancellor, Vocational Education, Pro Vice-Chancellor, Vocational Education and Pathways, General Manager, Quality, Risk and Compliance and Senior Manager, Administration and Governance to participate in closing meetings with external auditors.

(20) Deputy Vice-Chancellor, Vocational Education and Pro Vice-Chancellor, Vocational Education and Pathways consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans.

(21) General Manager, Quality, Risk and Compliance to report external audit findings and key risks to Senior Leadership Team.

(22) Deputy Vice-Chancellor, Vocational Education, Pro Vice-Chancellor, Vocational Education and Pathways, General Manager, Quality, Risk and Compliance and Senior Manager, Administration and Governance to develop action plans in response to key risks from internal and external audit findings.

(23) Teaching area Managers to enter audit findings on the relevant program area's Continuous Improvement

Register, develop action plans and monitor their completion.

## **Section 7 - Guidelines**

(24) Nil

## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	17th July 2018
<b>Review Date</b>	17th July 2021
<b>Approval Authority</b>	Vice-President, Vocational Education
<b>Approval Date</b>	22nd March 2018
<b>Expiry Date</b>	7th November 2021
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