

Compliance - Audit Procedure (VET)

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. [Standards for Registered Training Organisations \(RTOs\) 2015 \(Cth\)](#) made under the [National Vocational Education and Training Regulator Act 2011 \(Cth\)](#) regulated by Australian Skills Quality Authority — (ASQA);
- b. Guidelines for Non-School Senior Secondary Education Providers with the Victorian Registration and Qualifications Authority (VRQA);
- c. [National Code of Practice for Providers of Education and Training to Overseas Students 2018 \(Cth\)](#); and
- d. Dual Sector VET Funding Contract with the Victorian Department of Education and Training (DET).

Section 2 - TEQSA/ASQA/ESOS Alignment

(2) Standards for Registered Training Organisations (RTOs) 2015: Standards 7 and 8.

(3) HESF: Standard 6.2 Corporate Monitoring and Accountability.

Section 3 - Scope

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

Section 4 - Definitions

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

Section 5 - Policy/Regulation

(6) [Compliance Management Policy](#)

- a. [Compliance - Regulatory Reporting Procedure](#)

Section 6 - Procedures

Part A - Summary of Roles and Responsibilities

Roles	Responsibilities
Chief TAFE Officer	<ol style="list-style-type: none"> 1. Ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements. 2. Consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans.
Chief TAFE Officer, General Manager, Quality, Risk and Compliance, General Manager, Systems, Reporting and Governance and Senior Manager, Administration and Governance	<ol style="list-style-type: none"> 1. Attend audit meetings with external auditors. 2. Develop action plans in response to key risks from internal and external audit findings.
General Manager, Quality, Risk and Compliance	<ol style="list-style-type: none"> 1. Responsible for VET audit processes. 2. Under delegation of the Chief TAFE Officer, the General Manager, Quality, Risk and Compliance will consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans. 3. Develop an annual internal audit schedule. 4. Provide all communication relating to internal and external audit notifications, processes and documentation requirements to relevant staff. 5. Coordinate collation of files and other documentation for presentation to internal and external auditors. 6. Convene audit preparation meetings. 7. Act as the key point of contact for all communication with external auditors during an audit. 8. Report external audit findings and key risks to Senior Leadership Team. 9. Report internal audit findings and key risks to Senior Leadership Team.
General Manager, Quality, Risk and Compliance and Quality and Compliance team	<ol style="list-style-type: none"> 1. Review audit submission files for external auditors and audit student and staff files for internal audits. 2. Provide advice to teaching areas in collation of audit documentation. 3. Develop / review and publish internal and external audit guides for staff.
Senior Manager, Administration and Governance	<ol style="list-style-type: none"> 1. Decode DET sample files from NAT file numbers to VU Student Identification numbers and student names if required. 2. Request student central files. 3. Forward decoded sample list to General Manager, Quality, Risk and Compliance. 4. Forward central files to General Manager, Quality, Risk and Compliance.
Education Managers	<ol style="list-style-type: none"> 1. Nominate staff members to participate in audit preparation and audit meetings. 2. Enter audit findings on the Program Area's Continuous Improvement Register. 3. Develop action plans and monitor their completion.
Education Manager, Senior Educators	<ol style="list-style-type: none"> 1. Review student and staff files, locate, check and collate evidence of participation, if applicable, and forward to Senior Manager Quality and Compliance within required time lines.
Teacher	<ol style="list-style-type: none"> 1. Assist with collection, checking and collation of evidence. 2. Participate in the follow-up of outstanding evidence. 3. If nominated by the Education Manager attend any audit meetings. 4. Be involved in any rectification processes as requested.
Learning Systems	<ol style="list-style-type: none"> 1. Provide support for Program areas to access evidence in VU Collaborate. 2. Manage auditor access. 3. Provide information to the auditors about the LMS. 4. Assist the Program Area and or quality and compliance to locate evidence if required.
Nominated staff members	<ol style="list-style-type: none"> 1. Attend audit preparation meetings. 2. Check student files using audit checklist. 3. Participate in meetings with external auditors as required.

Part B - Procedures

(7) Under the delegation of the Chief TAFE Officer the General Manager, Quality, Risk and Compliance to ensure all relevant staff and clients are informed of any changes to legislative and regulatory requirements.

(8) 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.

(9) The Quality and Compliance team to conduct internal audits as required by the VET Funding Contract or against the Standards for RTOs 2015.

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

(11) 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.

(12) General Manager, Quality, Risk and Compliance to provide audit sample list to Education 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.

(13) Education Managers to nominate a staff member to participate in audit preparation and audit meetings.

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

(15) Education Managers, Senior Educators and/or teachers to collect and review all required documentation and return to Quality and Compliance team within designated timeframe.

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

(17) Quality and Compliance team to review audit submission files for external auditors.

(18) Chief TAFE Officer, General Manager, Quality, Risk and Compliance, General Manager, Systems, Reporting and Governance and Senior Manager, Administration and Governance to participate in opening and closing meetings with external auditors.

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

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

(21) Chief TAFE Officer and General Manager, Quality, Risk and Compliance consult with external auditors in audit opening and closing meetings and in relation to findings and rectification plans.

(22) General Manager, Quality, Risk and Compliance to report external audit findings and key risks to Senior

Leadership Team.

(23) Chief TAFE Officer, General Manager, Quality, Risk and Compliance, General Manager, Systems, Reporting and Governance and Senior Manager, Administration and Governance to develop action plans in response to key risks from internal and external audit findings.

(24) Education Managers to enter audit findings on the relevant program area's Continuous Improvement Register, develop action plans and monitor their completion.

Status and Details

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