The slide has a white background with a purple wave at the bottom. The title 'What will be discussed' is in a purple font. To the right is a circular graphic with the word 'Audit' in the center, surrounded by icons for a person, a target, a building, a gear, an envelope, a group of people, a bar chart, and a money bag. A hand is shown pointing at the 'Audit' text. A list of topics is on the left, and the website 'wa.gov.au/tac' and page number '4' are at the bottom right.

What will be discussed

- Understanding the Audit Process
- How to prepare for an audit
- A desk audit
- A site audit
- Don't Fear the Audit
- The Audit Report
- What happens next?

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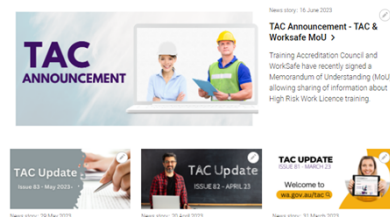
Understanding the Audit Process

Training Accreditation Council

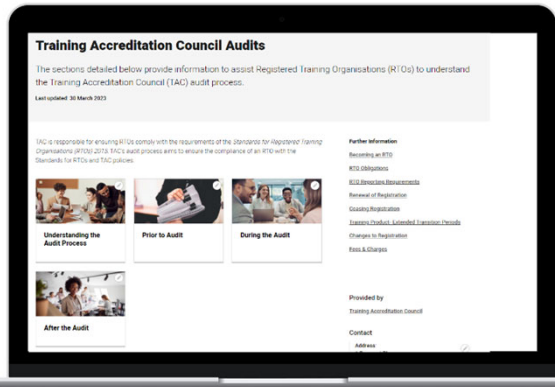
The Training Accreditation Council (the Council or TAC) is Western Australia's Vocational Education and Training (VET) Regulator and is established under the Vocational Education and Training Act 1996.

Last updated: 19 June 2023

Announcements



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What is an Audit?

Audit Criteria:

A set of policies, procedures or requirements – Standards for RTOs

Audit Evidence:

Audit evidence can be gathered by examining, observing and obtaining relevant, verifiable records, information or statements of fact.

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Why TAC conducts audits

To establish that the RTO or applicant is, at a minimum, meeting:

- The applicable Standards for RTOs
- Requirements of training products
- Needs of learners

CHECKLIST

☒

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TAC Audit principles





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How to prepare for an audit

Compile & send evidence - clearly identified and indexed



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A Desk Audit



A desk audit is an audit that is conducted off site

Conducted where TAC:

- knows you have the facilities and equipment
- confirms you meet the requirements for delivery of a new training product

Audit Flowchart - Desk Audit



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A Site Audit



- Be informed
- Conduct a self-assessment
- Identify the audit team
- Prepare your RTO
- Tracking Learners

Audit Flowchart - Site Audit
The Standards for RTOs 2015
TAC Users' Guide
TAC Fact Sheet - Records Management
TAC Fact Sheet - Assuring Quality



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Useful Resources

- TAC Website - Training Accreditation Council - Audits
- How to Prepare for an Audit against the Standards for Registered Training Organisations (RTOs) 2015
- TAC Fact Sheets
- TAC Application Guides
- TAC Self-Assessment Tools
- TAC Audit Flowcharts
- The Standards for RTOs
- The TAC User Guide to the Standards
- Training Package information:
 - Qualifications
 - Units of Competency
 - Companion Volumes

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The Audit Report

01 Section 1 - Audit Details

02 Section 2 - Summary of Overall Audit Outcomes

03 Section 3 - Audit Report

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Overall Level of Compliance

Compliance

Minor Non-Compliance

Significant Non-Compliance

Critical Non-Compliance (risk of injury or death)

TAC Fact Sheet: Managing Non-Compliance against the Standards for RTOs

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What Happens Next?

- Providing additional evidence
- Remaining non-compliance
- Disputing audit findings, appeals and complaints
- Compliance


References


- Audit Process Flowchart - Desk Audit
- Audit Process Flowchart - Site Audit
- Example Audit Report
- TAC Fact Sheets
 - Registration - Assuring the Quality of RTO Processes, Practices and Products
 - Records Management
 - Managing Non-Compliance against the Standards for RTOs
- The Standards for RTOs 2015 (1 July 2019)
- TAC Users' Guide – The Standards for RTOs


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Questions?


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