

## What happens following an AQTF audit?

### What happens following a site audit?

So, the audit site visit is over, what comes next?

The following information has been compiled to advise you of what happens following an AQTF site audit including what to expect, the possible outcomes and your responsibilities.

### Audit findings

At the closing meeting of your site audit, your organisation would have been provided with verbal feedback by the auditor regarding the outcome of the audit findings to ensure that the organisation was aware of all the audit findings.

There are two possible outcomes of audit:

1. Where your organisation has met all the requirements of the Standards, the auditor will explain the final stages of the audit process.
2. Where areas of non-compliance are found, these non-compliances are discussed with your organisation's representative/s and the process for correcting these is outlined.

### What will happen following the audit?

The auditor will prepare an audit report based on the findings of the site visit and where there is non compliance identified send the report directly to your organisation's CEO/legally responsible person. Ideally, this is within 5 days of completion of the audit. A copy of the report is also sent by the auditor to your case manager within the VET Regulation branch, Department of Education Services. It is this branch, formerly the Office of TAC, that provides secretariat services to the Training Accreditation Council.

The audit report formally records the scope and details of the audit, staff interviewed, observed good practice, opportunities for improvement and non compliances identified at the audit.

### Dealing with non-compliance

Where non-compliances have been identified, your organisation will be required to submit to the auditor evidence of how you have addressed the non compliances. This may include the opportunity to present extra evidence or to provide further information which will enable a better understanding of your organisation's position with respect to the reported non-compliance. The auditor will specify a response date which will be 20 working days from the date the audit report is sent to you.

It is the responsibility of your organisation to meet this deadline and in those cases where no response has been received within 20 working days; the auditor will notify the TAC Secretariat.

Where you do not agree with the findings of the audit, you are invited to contact your Case Manager at this stage of the process to discuss your concerns.

## **Review of Evidence by Auditor**

There are three possible outcomes:

1. The auditor will review your response to the non-compliances and forward a final report to the TAC Secretariat. Where appropriate action has been taken to address all non-compliances, no further action is required and the audit is complete. For Registration audits the application is submitted to TAC for consideration.
2. Where your organisation has not addressed all the non-compliances, the case manager will review your organisation's response and refer the audit report to TAC for consideration and direction.
3. In those cases where your organisation has not responded to the auditor, the auditor will notify your case manager who will follow up directly with you. The matter will then be referred to TAC for consideration and direction.

## **Following the audit**

For audits related to applications for registration with TAC; following the audit your application will be placed on the agenda of the next TAC meeting. For all other audits you will receive a letter from the TAC Secretariat advising you that the audit process is complete.

## **Council Decisions**

Registration with TAC is primarily contingent on your organisation's compliance with the AQTF.

Following the AQTF registration audit, your application for registration will be forwarded to the next Training Accreditation Council meeting for consideration and decision. TAC will either approve or reject the application and in some cases TAC may request further information.

Following the TAC meeting you will receive a letter advising you of TAC's decision. When your application has been approved your registration details, including amendments to registration, will be placed on the NTIS.

If your organisation is not satisfied with a decision made by the Training Accreditation Council, that decision can be appealed, within 28 days of TAC's decision, by application to the State Training Board. For further information regarding the appeals process, contact the State Training Board on (08) 9264 4911.

## **Feedback about the Audit Experience**

Following the site audit, your organisation will be given the opportunity to provide feedback on the audit process and the conduct of the audit. The audit feedback questionnaire is an opportunity for your organisation to make comments, both positive and negative, on the conduct of the audit. We will use this feedback to monitor and review the audit process, and where appropriate make improvements.

### **Complaints about the Audit Process**

If an organisation wishes to make a complaint regarding the conduct or the findings of an audit they can do this by contacting:

Manager, VET Regulation  
Department of Education Services  
22 Hasler Road  
OSBORNE PARK WA 6107

### **Is further assistance available?**

Information about the audit process and related professional development activities is available from the TAC Secretariat by:

Phone: (08) 9441 1910; or  
Email: [tac@des.wa.gov.au](mailto:tac@des.wa.gov.au)