

Policy Title:

Disputing Audit Findings – *Standards for Registered Training Organisations (RTOs) 2015*

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Policy executive:	Executive Director Corporate Governance and Strategic Resources
Policy owner:	Manager Regulation (VET Compliance)
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Amendments:	
Related policies/documents:	Procedure: Disputing Audit Findings – <i>Standards for Registered Training Organisations (RTOs) 2015</i> Form: Dispute of Audit Findings – <i>Standards for RTOs 2015</i> TAC Complaints Handling Procedure

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1. Purpose

The purpose of this policy is to outline the Training Accreditation Council's (the Council's) commitment to the principles outlined in the *Standards for VET Regulators 2015* of natural justice and procedural fairness by providing Registered Training Organisations (RTOs) with an opportunity to dispute audit findings within a nominated period.

2. Scope

This policy covers all Council regulated RTOs who participate in audits against the *Standards for RTOs*.

3. Definitions

Term	Definition
Audit	A planned, systematic and documented process to assess an applicant or an RTO's compliance with the <i>Standards for RTOs</i> . Registering bodies conduct audits as a condition of registration. RTOs can conduct internal audits to assess their compliance with the <i>Standards for RTOs</i> and their own policies and procedures as part of their continuous improvement process.
Compliance	The requirements of the <i>Standards for RTOs</i> have been met, based on the evidence reviewed.
Documented	Recorded in written form.
Non-Compliance	<p>Non-compliance</p> <p>The requirements of the <i>Standards for RTOs</i> have not been met, based on the evidence reviewed. There are three categories of non-compliance</p> <p>Minor Non-Compliance</p> <p>The requirements of the <i>Standards for RTOs</i> have not been met, based on the evidence reviewed, but there is no, or minor adverse impact on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.</p> <p>Significant Non-Compliance</p> <p>The requirements of the <i>Standards for RTOs</i> have not been met, based on the evidence reviewed, and there are indications of significant adverse impacts on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.</p> <p>Critical Non-Compliance</p> <p>The requirements of the <i>Standards for RTOs</i> have not been met, based on the evidence reviewed, and there is critical adverse impacts on learners and/or other consumers of goods and services produced in the training environment or the current (or future) workplace.</p>
Registered Training Organisation	A training organisation registered by a state or territory registering body in accordance with the <i>Standards for RTOs</i> within a defined scope of registration.
Registering Body	The authority responsible, under the VET legislation and decision-making framework, and in accordance with the <i>Standards for VET Regulators 2015</i> , for RTOs, including all the processes relating to registration and the imposing of sanctions on RTOs.

4. Policy

The Council is responsible for ensuring RTOs are compliant against the requirements of the *Standards for RTOs*.

The TAC Secretariat schedules audits to ascertain an RTO's compliance. Subsequent to an audit the RTO will receive an audit report, outlining their compliance against the *Standards for RTOs*, evidence sighted and/or strengths or opportunities for improvement.

Any non-compliance will be detailed and an overall category of minor, significant or critical will be reported.

RTOs have five (5) working days from receipt of any audit report, including evidence reviews, to dispute any findings.

The lodgement of a dispute by an RTO does not affect the rectification period given to an RTO to address any non-compliances. The rectification period applies until there is a formal outcome to the dispute.

4.1. Requirements

RTOs have five (5) working days from receipt of an audit report, including evidence reviews, to submit a 'Dispute of Audit Findings – *Standards for RTOs 2015* form to the Manager, Regulation (VET Audit and Registration).

The Manager, Regulation (VET Audit and Registration) is required to acknowledge receipt of the dispute to the RTO within five (5) working days, and ensure a fair, transparent and timely review of the dispute is undertaken. At the discretion of the Manager, Regulation (VET Audit and Registration) this may include review by the TAC Secretariat and/or other auditors, or consultation with peak bodies such as Industry Skill Councils (ISCs).

The RTO has the opportunity to appeal a decision and/or outcome of the dispute as outlined in the TAC Complaints Handling Policy and Procedure.

4.2 Responsibilities

The Manager, Regulation (VET Audit and Registration) has the following responsibilities:

- Is required to acknowledge the receipt of the dispute to the RTO within five (5) working days.
- Is required to review the dispute, and delegate to an appropriate area/officer to investigate. At the discretion of the Manager, Regulation (VET Audit and Registration) this may include review by the TAC Secretariat and/or other auditors, or consultation with peak bodies such as Industry Skill Councils (ISCs).
- Is required to document and communicate the final decision and action taken (if applicable) to the RTO within five (5) working days of approval from the TAC Executive Officer.

The TAC Executive Officer has the following responsibilities:

- Approve/not approve recommendations for the outcome of the dispute.

4.3. Approval/review

This policy will be submitted to the TAC Executive Officer for endorsement.

The TAC Executive Officer will review and endorse the policy or return with advice to amend.

4.4. Recordkeeping and publication

The approved policy will be signed by the TAC Executive Officer and a hard copy kept on file.

The date of approval will be entered electronically and the document made final.

An electronic version of policy will be available via the intranet and TAC Website.

5. Supporting information

- *Standards for RTOs 2015*
- *Standards for VET Regulators 2015*