

Training Accreditation Council

Dispute of Audit Findings

Standards for Registered Training Organisations (RTOs) 2015

Important information

- Applicants/RTOs are encouraged to first discuss their audit report with the auditor and/or the Manager Regulation (TAC Secretariat) to seek clarification before considering lodging a dispute. In most cases, clarification will address any misunderstandings or misinterpretation of audit findings.
- Please read the [Policy and Procedure for the Dispute of Audit Findings](#) before deciding to submit a dispute against audit finding/s.
- An applicant/RTO may dispute an audit finding if it believes that an audit finding does not accurately reflect the evidence presented for the audit.
- The dispute must relate specifically to the findings as specified in the audit report and must be based on the evidence provided for the audit.
- Evidence submitted by the applicant/RTO in justification of the dispute must also clearly demonstrate the inaccuracy of the audit finding.
- Evidence provided in support of a dispute of audit findings must be organised and clearly referenced to the Standards/Clauses to which the audit findings relate. A well-presented argument supported by relevant and accurate evidence will assist the TAC Secretariat to address the dispute in a timely and efficient manner.
- Complete and sign this form in full prior to lodging it with the TAC Secretariat.
- To lodge the dispute, email the form to tac@dtwd.wa.gov.au, Attention: Manager Regulation, within **five working days** of receipt of the audit report.

Note

- Disputes that are found to be based on newly created evidence that was not available at the time of the audit, or on existing evidence that has subsequently been amended after the audit will be disallowed.
- Applicants/RTOs have an opportunity to submit additional or new evidence to demonstrate compliance with the Standards for RTOs during approved evidence review periods in the course of the audit process. Information about TAC's audit process is available on the website at www.tac.wa.gov.au.

Details of Applicant/Registered Training Organisation			
Applicant/RTO Name:			
Legally Responsible Officer:			
Phone:		Mobile:	
Email:			

Audit Details			
Date of Audit:			
Was the Legally Responsible Officer present at the audit?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Audit Type:			
Initial	<input type="checkbox"/>	Monitoring	<input type="checkbox"/>
Renewal	<input type="checkbox"/>	Complaints	<input type="checkbox"/>
Amendment	<input type="checkbox"/>	Strategic Review	<input type="checkbox"/>
Post-initial	<input type="checkbox"/>	Compliance Monitoring Audit (CMA)	<input type="checkbox"/>

Dispute Details

Please select and provide an explanation of the audit finding/s you are disputing.

Standard 1 - The RTO's training and assessment strategies and practices are responsive to industry and learner needs and meet the requirements of training packages and VET accredited courses

- 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 1.10, 1.11, 1.12, 1.13, 1.14, 1.15, 1.16, 1.17, 1.18, 1.19, 1.20, 1.21, 1.22, 1.23, 1.24, 1.25, 1.26, 1.27.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 2 - The operations of the RTO are quality assured.

- 2.1, 2.2, 2.3, 2.4.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 3 - The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.

3.1, 3.2, 3.3, 3.4, 3.5, 3.6.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 4 - Accurate and accessible information about an RTO, its services and performance is available to inform prospective and current learners and clients.

4.1.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 5 - Each learner is properly informed and protected.

5.1, 5.2, 5.3, 5.4.

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List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 6 - Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

6.1, 6.2, 6.3, 6.4, 6.5, 6.6.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 7 - The RTO has effective governance and administration arrangements in place.

7.1, 7.2, 7.3, 7.4, 7.5.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Standard 8 - The RTO cooperates with the VET Regulator and is legally compliant at all times.

8.1, 8.2, 8.3, 8.4, 8.5, 8.6.

Provide an explanation of the dispute and a short description of the supporting evidence being provided clearly aligned to the relevant audit finding or clause(s) in the Standards for RTOs.

List the document names and clearly align the evidence provided during the audit to the relevant audit finding or clause(s) in the Standards for RTOs.

Declaration

I declare that:

- I have read and understood the [Policy and Procedure for the Dispute of Audit Findings](https://www.tac.wa.gov.au/registration/audits) and associated audit processes, located on the TAC website - <https://www.tac.wa.gov.au/registration/audits>
- Evidence provided in support of this submission was available at the time of the audit and has not been amended since then.
- New material developed since the audit has not been included as supporting evidence for this submission.
- The evidence and information provided is, to the best of my knowledge, true and correct.

Legally Responsible Officer Signature:

Print Name:

Date:

What happens next?

- You will receive a formal acknowledgement of the dispute from the TAC Secretariat within two working days of receipt.
- The Manager Regulation will subsequently inform you within five working days whether there is a case for an investigation of the disputed audit finding(s).
- You will be advised in writing of the outcome and final decision of the dispute investigation within two working days of the decision.
- If the dispute impacts on the 20-day evidence review period, the Manager Regulation will determine a new evidence review timeframe and inform you in writing.