



**TYPE OF DOCUMENT: POLICY**

**TITLE: AUDIT**

**DOCUMENT NUMBER: POL04**

**VERSION NUMBER 2.0**

### **POLICY STATEMENT**

**Perth Boat School is committed to ensuring the compliance of its training and assessment system, policies and procedures with the requirements of the Australian Quality Training Framework (AQTF).**

**In doing so, Perth Boat School will:**

- **Implement and maintain written procedures for the internal audit of its training and assessment systems, policies and procedures against and in accordance with the AQTF;**
- **Conduct an annual internal audit of its training and assessment systems, policies and procedures, across all of its operations against and in accordance with this policy;**
- **Document all audit processes, results and outcomes in an annual Audit Report;**
- **Ensure the Director of Perth Boat School reviews the Audit Report, addressing compliance issues and audit results each year;**
- **Provide Perth Boat School's Annual Audit Report to the Training Accreditation Council (TAC) of Western Australia, as requested by TAC;**
- **Accept and cooperate fully with external audits conducted by Auditors from the Training Accreditation Council (TAC) of Western Australia; and**
- **In the conduct of audits facilitate evidence collection, maintain and make available all pertinent records and provide access to relevant documents, facilities and personnel on request.**



## AUDIT

### 1.0 INTRODUCTION

Perth Boat School is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, Perth Boat School is required to conduct internal audits of its training and assessment system, policies and procedures, in compliance with the AQTF standards, each year. Perth Boat School is also required to undergo external auditing by the Training Accreditation Council, upon registration, within one year of initial registration, at re-registration and periodically throughout Perth Boat School's five year registration period, as determined by the TAC.

### 2.0 POLICY PRINCIPLES :

#### 2.1 Principles

- A complete audit against the Australian Quality Training Framework (AQTF) 2007 Standards for Registered Training Organisations is to be conducted internally at least every 12 months. This audit will be conducted in accordance to the audit program.
- This internal audit must include all standards and scope of registration and scale of operations.

#### 2.2 Roles and Responsibilities

Director Perth Boat School / Lead Auditor:

- Compliance with this audit policy
- Responsible for all phases of the audit
- Planning and conducting internal audit processes
- Documenting processes and observations
- Reporting audit results, developing the audit report.

Auditor/s (used as necessary) :

- Collect and analyse evidence
- Compliance with this audit policy

#### 2.3 Audit Objectives

- The objectives of undertaking auditing against AQTF 2007 requirements are as follows:
  - To determine Perth Boat School's compliance with the AQTF **2007** Standards for registered training organisations.
  - To determine the effectiveness of the training and assessment systems in place.
  - To meet regulatory requirements of the AQTF **2007**.
  - To provide an avenue for the identification of continuous improvement opportunities.

#### 2.4 Audit Program

Audit Scheduling

Unless determined otherwise, audits shall be undertaken at least annually, giving due consideration to the timing of audits by other parties. e.g. Certification body, excepting that new projects and new subcontractors shall be audited within three months of establishment.



### **3.0 SUPPORTING DOCUMENTATION**

Perth Boat School documentation which supports the implementation of this Policy includes:

- F04\_01 Audit Schedule
- F04\_02 AQTF Internal Audit Checklist
- AQTF2007 Audit File



#### 4.0 PROCEDURES :

<b>INTERNAL AUDIT - AQTF</b>
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<b>Step One – Audit Planning</b>
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- 1 An annual audit program will be determined by the Director of Perth Boat School at the beginning of each year. This schedule will be specified on an “**F04\_01 Audit Program Form**”
- 2 Plan the audit
  - Determine audit scope.
  - Determine Audit Schedule/PlanThis is done in accordance with the audit program.
- 3 Prepare for the audit
  - Production of audit documentation. (**F04\_02 AQTF Internal Audit Checklist**)
- 4 Collect and review documentation

The Audit Team shall obtain and review documentation relevant to the scope of the audit, including any previous audit findings and, where activities are not covered by established audit checklists (refer below), either:

  - copy relevant documents for use as a checklist (**F04\_02 AQTF Internal Audit Checklist**), or
  - where the audit is of a subcontractor/supplier, use the subcontractors'/suppliers' documentation to aid the conducting of the audit.

<b>Step Two – Conduct the Audit</b>
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- 1 Collection and analysis of evidence
  - Evidence is collected from relevant sources
  - Evidence is analysed and a judgement is made and recorded on compliance of questions and the requirements of AQTF standards. These may include compliance, non-compliance or observation.

Details of any identified nonconformities and/or opportunities for improvement shall be noted. For internal audits, this shall be recorded on the audit checklists.
- 2 Determine overall audit results
  - Audits results are determined against collective evidence for overall standards individually and collectively.
- 3 At the conclusion of the audit, the Audit Team shall attend an audit closing meeting with the Director of Perth Boat School, at which:
  - the Audit Team shall present the audit findings, highlighting activities performed well by the project as part of the overall findings.



- The Lead Auditor and the Director of Perth Boat School shall agree a date for responses to any identified nonconformities and/or opportunities for improvement.
- a copy of the completed audit checklist shall be handed to the Director of Perth Boat School in respect to internal audits.
- a list of nonconformities shall be handed to the Director of Perth Boat School in respect to supplier/subcontractor audits.
- any nonconformities requiring urgent action shall be highlighted.

### **Step Three – Provision of Audit Report to TAC**

#### **1 Provision of Audit report to TAC**

A copy of the Audit report is provided to TAC, upon request.



<b>EXTERNAL AUDIT - AQTF</b>
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<b>Step One – External Audit - AQTF</b>
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**a. Completion of pre-audit documentation**

- Upon receipt of advice from TAC regarding an imminent AQTF audit, Pre-audit documentation is received from TAC, completed by Director Perth Boat School and the completed documentation is returned to TAC.
- **Negotiate Audit date**
  - Once TAC has identified the external auditor to conduct the audit, the external auditor will make contact to confirm a mutually agreeable date.

**b. Undertake external auditing**

- Cooperate fully, providing all relevant documentation (including a copy of the last internal audit report) and evidence to the external auditor.
- Make available and provide access to all pertinent records, facilities and personnel (including trainers and assessors).

**3 Complete post-audit requirements**

- Complete any post-audit requirements, gathering further evidence and forwarding to TAC by the agreed date.