

Audit Policy

Surf Life Saving Western Australia Inc. (SLSWA) is a Registered Training Organisation (#51104) and is fully committed to ensuring its compliance with the Standards for RTO's 2015 and Australian Qualifications Framework.

INTERNAL AUDIT

SLSWA conduct an internal self-assessment audit on a yearly basis.

When conducting the internal self-assessment audit, the audit team where possible will consist of the RTO Compliance Officer and an externally appointed compliance specialist and another experienced member of SLSWA staff as required.

The audit team will use the processes outlined below to ensure that policies and procedures have been circulated, understood and implemented consistently throughout SLSWA and that these policies and procedures are fully compliant:

- Examination of all documents and systems that consist of policies and procedures, relevant components relating to SLSWA's priority planning for the area and trainer/assessor qualifications.
- Examination of the records of actual training conducted.
- Perusing a sample of student files.
- Analysing resources for delivery and assessment required by the relevant National Training Package or course, including training materials and assessment tools. This may coincide or be completed as part of the validation and review as itemised in the Validation Schedule.
- Holding interviews as required with administration staff, trainers and students.
- Observing processes such as assessment and learning activities.
- Examination of existing facilities required by the relevant National Training Package or course.
- Reviewing processes with senior management.
- Professional development.
- Continuous improvement.

At the completion of the annual internal self-assessment audit, a report will be generated on SLSWA's compliance, which is prepared by the RTO Compliance Officer or compliance specialist. This report will make a series of recommendations on any non-compliance found and the required rectification to bring these areas of non-compliance to become fully compliant.

Where improvement actions eliminate a potential risk as defined under the risk management process, the risk matrix will be updated accordingly.

VERSION CONTROL/RECORDS RETAINED FOR AUDIT

SLSWA manages and maintains currency of materials and documents through a "Documentation Version Control System". This system covers the versioning of all documentation and forms that are produced. All documents and forms are filed in the most current date order and under each accurate folder.

All documents are required to carry the RTO number, the document name, a version number, date of issue and page number (if required). This is placed into the document footer e.g. RTO 51104 – Audit Policy – Version 1.0, July 2021

All previous versions of the document are placed into electronic storage under an ‘archive folder’.

SLSWA also store the most recent version of relevant documentation for access by trainers/assessor of SLSWA and Third Party Agreement clients on aXcelerate – data management system. Axcelerate has an inbuilt version control and retains a history of legacy documentation.

Prior to the release of all new documents, forms and training materials are trialled, validated and reviewed by relevant staff and trainers/assessors. Once the document is cleared for release, the older version is archived. The RTO compliance officer then releases the new versions. Relevant staff, trainers/assessors are advised of updated documentation either via memo, annual inductions, professional development workshops or electronically via email.

RECORDS RETAINED FOR AUDIT

The following records shall be kept and maintained for each registration period and are subject to audit by TAC:

- Policies and procedures
- Training and assessment strategies
- Assessment policies, tools and records
- All RPL records
- Complaints and Appeals and their outcomes
- Evidence of continuous improvement
- Samples of completed assessments
- Evidence of staff internal professional development and assessment validation
- Evidence of student participation as per contractual and prescribed requirements
- Records of Professional Development

THIRD PARTY INTERNAL AUDITING

Surf Life Saving WA conduct annual compliance checks as per the Third Party Compliance Schedule for all active Third Party Agreements. Findings are recorded in a Third Party Audit Report which is stored digitally on SLSWA servers – Third Party Arrangements folder. Any non-compliance found will be followed up by the RTO Compliance Officer in the first instance, to provide recommendations on the required rectification to become fully compliant. Failure to rectify non-compliance findings may then revert to the Third Party Agreement clause 3.8 (b) with termination on agreement.