



## Audit verification form – New Audit Model

<b>Organisation name</b>	Propel Education and Training Pty Ltd as The Trustee for Propel Education and Training Trust		
<b>RTO &amp; CRICOS number</b>	41209	<b>Date/s of audit</b>	10-11 May 2017
<b>Audit Type</b>	<input checked="" type="checkbox"/> VET <input type="checkbox"/> CRICOS	<b>Audit reason</b>	<input type="checkbox"/> Initial registration <input type="checkbox"/> Renewal of registration <input type="checkbox"/> Change of scope of registration <input checked="" type="checkbox"/> Post initial <input type="checkbox"/> Compliance monitoring
<b>Lead Auditor</b>	Ms Sonja Anders	<b>Audit Team</b>	n/a

## Opening meeting

Lead Auditor:

<b>Opening meeting</b>	Date: 10/5/17 Meeting commencement time 9:25 am/pm
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**To the Chief Executive:** The Australian Skills Quality Authority (ASQA), as the national VET regulator (NVR), requires that providers and organisations seeking to become registered providers are informed of the following issues prior to the commencement of a site visit. **Please tick each of the following boxes in acknowledgment**

<b>Audit Team</b>	<input checked="" type="checkbox"/> All members have been introduced and I understand where each member is from. <input checked="" type="checkbox"/> I understand each audit team member's role in the audit process. <input checked="" type="checkbox"/> I understand that all communications throughout the audit must occur through the Lead Auditor, unless indicated otherwise by the Lead Auditor.
<b>Audit Purpose</b>	The audit is being conducted to confirm compliance with: <input checked="" type="checkbox"/> VET Quality Framework under the authority of the National Vocational Education and Training Regulator Act 2011 (the Act). and/or <input type="checkbox"/> ESOS Framework including the <i>Education Services for Overseas Students Act 2000</i> (the ESOS Act) and the <i>National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007</i> (the National Code) <input type="checkbox"/> (If site visit is for ESOS Act compliance monitoring audit) – I have acknowledged on a separate form that I consent to the entry of authorised employees to the premises for a monitoring purpose under the ESOS Act.

<b>Audit scope</b>	<p>The Lead Auditor has informed me of:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> the scope of the audit, including details of the standards, qualifications/courses/units to be audited – with the proviso that the audit scope may be amended if required during the audit (VET) and/or</li> <li><input checked="" type="checkbox"/> the scope of the audit, including details of the National Code Standards and ELICOS National Standards– with the proviso that the audit scope may be amended if required during the audit (CRICOS)</li> <li><input checked="" type="checkbox"/> the sample of student records may be reviewed</li> <li><input checked="" type="checkbox"/> The audit team may visit additional locations where student records are retained and where training and assessment occurs (or is planned), including venues where other organisations may retain records or provide (or plan to provide) training and assessment services on behalf of my organisation. <i>(Note: if the additional site visits are for the purpose of a compliance monitoring audit under the ESOS Act, separate forms acknowledging the consent of the occupier to the entry of the authorised employees on those premises will be requested)</i></li> <li><input checked="" type="checkbox"/> I acknowledge that an audit samples part of an organisation's business and the audit findings are considered to represent its broader operations.</li> </ul>
<b>Evidence based audit process</b>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> I acknowledge that it is my organisation's responsibility to provide evidence of compliance and that it is not the responsibility of the audit team to locate evidence.</li> <li><input checked="" type="checkbox"/> I acknowledge that the audit will focus on the demonstrated practice of my organisation, including the individual student experiences from pre-enrolment to completion, and the behaviours displayed by my organisation.</li> <li><input checked="" type="checkbox"/> The audit team will provide verbal feedback as the audit progresses.</li> <li><input checked="" type="checkbox"/> The audit team will review and discuss the organisation's evidence, and in addition may: <ul style="list-style-type: none"> <li>• survey current and/or past students</li> <li>• interview current and/or past students</li> <li>• interview employers or other clients</li> <li>• interview current and/or past trainers/assessors</li> <li>• seek feedback from relevant industry and/or community representatives</li> <li>• review student files and outcome data</li> <li>• review Provider Registration and International Students Management System (PRISMS) data</li> <li>• take photographs of the premises (while protecting the privacy of staff and students).</li> <li>• review other information or intelligence.</li> </ul> <p>This may occur prior to, during or following the site visit and the information obtained will be provided and discussed where it is relevant to the audit outcome.</p> </li> <li><input checked="" type="checkbox"/> The main observations will be outlined at the exit meeting at the close of the site visit.</li> </ul>
<b>The audit report</b>	<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> The Lead Auditor will develop an audit report/s that includes findings of non-compliance identified prior to, during or following the site visit. The audit report/s is reviewed prior to a decision being made on the outcome of the audit.</li> <li><input checked="" type="checkbox"/> If non-compliances have been identified, an audit report and notification letter will usually be forwarded to the organisation within fifteen working days from the day after the audit was conducted. Such a report will outline any action required to be taken by the organisation, and the notification letter will include details of any applicable timeframes.</li> </ul>
<b>Audit Outcome</b>	<p>I understand that:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> If the audit does not identify any non-compliance, ASQA will forward a letter to this effect and a copy of the audit report.</li> </ul>

**For application audits (initial registration, renewal of registration and change to scope):**

- ☒ If non-compliance is identified, a written direction to address the non-compliance may be issued OR my organisation may be given an opportunity to rectify the non-compliance (which may include addressing any impact caused to students by the non-compliance) within up to 20 working days of the date of the notification, unless ASQA decides otherwise.

**For compliance audits (post initial, compliance monitoring and other):**

- ☒ If non-compliance is identified, a written direction to address the non-compliance or a notice of intent to impose a sanction may be issued to my organisation.

**Commencement of audit - Acknowledgement of chief executive, or representative:**

I, RIKKELEE JANIN, as an authorised representative of Propel Education + Training,  
(Full Name) (Organisation)

acknowledge that the above information was provided to me at the commencement of the site visit. Where necessary, I have sought clarification and I fully understand the audit process, as outlined to me.

(Signed) 

(Date) 10 / 5 / 17.

## Exit meeting

**To the Chief Executive:** The Australian Skills Quality Authority (ASQA), as the national VET regulator (NVR), requires that providers and organisations seeking to become registered providers are informed of the following issues prior to the completion of a site visit. **Please tick each of the following boxes in acknowledgment**

<b>Exit Interview</b>	<p>At the exit interview, with relevant parties present, the auditor has outlined:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> the scope of the audit</li> <li><input checked="" type="checkbox"/> an overview of the audit process that has occurred to date</li> <li><input checked="" type="checkbox"/> the main areas of non-compliance identified to date (noting that evidence provided by my organisation may be validated after the audit by comparing it to evidence collected from other sources)</li> <li><input checked="" type="checkbox"/> issues raised by any technical advisors <i>N/A</i></li> <li><input checked="" type="checkbox"/> that the audit findings will be reviewed within ASQA prior to the audit report being provided to my organisation</li> <li><input checked="" type="checkbox"/> the audit report process and timeframes</li> <li><input checked="" type="checkbox"/> the process for addressing any non-compliances identified (which at the discretion of the regulator may include a rectification process, a written direction or a notice of intent to impose a sanction) and timeframes</li> <li><input checked="" type="checkbox"/> obligations of the organisation to implement any required rectifications across all operations, not only in the areas audited</li> <li><input checked="" type="checkbox"/> I understand that any rectification must be sent to ASQA as a single response to the address provided by ASQA in the notification, be logically organised and be referenced/indexed to the relevant component/standard.</li> <li><input checked="" type="checkbox"/> I understand that if the evaluation of rectification identifies that non-compliance remains (or any impact caused to students by the non-compliance has not been addressed), the audit report will be finalised and that a decision about my organisation's compliance and any relevant applications at that point in time may be made without further reference to my organisation.</li> <li><input checked="" type="checkbox"/> If a notice of intent to impose a sanction is issued, I will be given an opportunity to submit a written response (which may include evidence that the non-compliance and any impact caused to students by the non-compliance has been addressed), within up to 20 working days of the date of the notification, unless ASQA decides otherwise.</li> <li><input checked="" type="checkbox"/> I understand that if the evaluation of the written response (which may include evidence that the non-compliance and any impact caused to students by the non-compliance has been addressed) identifies that non-compliance remains, the audit report will be finalised and that a decision about whether to impose a sanction may be made without further reference to my organisation.</li> </ul>
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Lead Auditor:

<input type="checkbox"/> The audit was conducted in 1 day (complete the following)			
<b>Exit meeting close time</b>	1 : 45 am/pm	<b>Total auditor break time</b>	hrs, 0 mins

☐ The audit was conducted over more than 1 day (complete the following) (Add or delete rows for dates/days not required)

Date	10/5/17	Start time (opening meeting start time)	9:30	End time	10:30	Total break time	0 hrs, mins	R-J.
Date	10/5/17	Start time	12:30	End time	18:00	Total break time	1 hrs, mins	R-J.
Date	11/5/17	Start time	9:30	End time	10:00	Total break time	hrs, 0 mins	R-J.
Date	11/5/17	Start time	11:00	End time (Exit meeting close time)	1:45	Total break time	hrs, 0 mins	R-J.

**Completion of Audit- Acknowledgement of chief executive, or representative:**

I, Rikkie-Lee JANIN, as an authorised representative of Prope Education + Training  
 (Full Name) (Organisation)

acknowledge that the above information was provided to me at the exit interview. Where necessary, I have sought clarification and I fully understand the audit process, as outlined to me.

(Signed) [Signature] (Date) 11/5/17

**Participants:**

Name	Position	Signature	Open	Exit
			Please tick	
Rikkie-Lee JANIN	CEO / DIRECTOR	[Signature]	✓	✓
Dee Thomas	Director	[Signature]	✓	✓
SUSAN DODDS	Administration	[Signature]	✓	✓
SANTA ANDRES	Lead Auditor	[Signature]	✓	✓

Comments by Audit Team (optional):