GOVERNMENT OF WESTERN AUSTRALIA

Training Accreditation Council WESTERN AUSTRALIA

COMPLIANCE MONITORING AUDIT POLICY

Effective: 9 July 2026

Version: 01-26

Purpose

The Compliance Monitoring Audit Policy outlines the Training Accreditation Council's (the Council) commitment to ensure providers registered with the Council achieve ongoing compliance with the *Vocational Education and Training (General) Regulations 2009* (VET Regulations) and the VET quality framework including the Registration Standards 2025 (2025 Standards) and ensure registered providers with a history of non-compliance, deploy corrective measures to demonstrate and maintain compliance.

Compliance Monitoring Audits (CMAs) are utilised by the Council to break the cycle of continuing non-compliance in areas where an RTO has been provided with multiple opportunities to demonstrate deployment of corrective actions but has failed to do so.

Scope

This policy applies to all Council registered providers

Definitions

Audit	A planned, systematic and documented process to assess an applicant or a registered provider's compliance with the Registration Standards 2025.
Compliance	The requirements of the *Registration Standards 2025* have been met, based on the evidence reviewed.
Non-compliance	The requirements of the *Registration Standards 2025* have not been met, based on the evidence reviewed.
Compliance Monitoring Audit (CMA)	An audit conducted under r. 26A of the *Vocational Education and Training (General) Regulations 2009*.
VET quality framework	Means the Registration Standards 2025; and the AQF; and the data provision requirements; and the *Financial Viability Assessment Guidelines for the Registration of Training providers 2017*.
VET Regulations	*Vocational Education and Training (General) Regulations 2009*.
WA registered provider	Means a training provider that is registered by the council under Part 7A of the *Vocational Education and Training Act 1996*.

Policy Principles

Criteria

Registered training providers will be considered for a CMA if the Council determines that one or more of the following criteria applies.

Criterion 1: The registered provider has been found critically non-compliant at audit.

An overall level of critical non-compliance indicates that based on the evidence reviewed, there is a critical adverse impact on learners and/or consumers of goods and services produced in the training environment or the current (or future) workplace.

To ensure that the actions undertaken by the RTO to rectify the non-compliance have occurred and been deployed systematically in the RTO, a subsequent audit is required.

Criterion 2: When two consecutive significant or critical non-compliance outcomes have been identified against the same training product/s or industry area/s within a three-year period.

When a registered provider has consecutive non-compliances in the same training product/s or industry area/s, this may indicate that there are systemic issues which need to be monitored and investigated further.

Where the overall level of non-compliance at audit is significant, a review of the RTO's audit history will be undertaken to determine if the RTO has had an audit against the same training product/s or industry area/s within the past three years where the overall level of non-compliance was significant or critical. If the review identifies such an audit, then the Council will consider endorsing a CMA.

Criterion 3: The Council has determined that the outcome of an audit indicates that a broader audit sample is required due to the identification of risks that could be detrimental to those undertaking VET with the registered provider.

Following a non-compliant audit where risks have been identified, a subsequent audit may be required. The Council may determine that a CMA is to be conducted to review a broader audit sample of the RTO to ensure the risks identified are not detrimental to those undertaking VET with the provider.

A CMA may be required due to audit findings that indicate a continual trend of significant/critical non-compliance; a number of verified complaints that indicate a trend; or any other reason the Council determines.

Criterion 4: On application from an RTO for reassessment of the Council's decision to suspend a provider's registration.

In line with the Council's Application of Sanctions Policy, the registered provider may apply to remove the suspension. The registered provider must apply to the Council in writing for Council's consideration.

The Council may determine that a CMA is required before considering removing the suspension.

Costs

A registered provider must pay for the cost of the CMA. The charge payable is prescribed under r. 26A (3) of the VET Regulations.

If the Council conducts a CMA, the registered provider will be invoiced in accordance with this regulation as follows:

- $1000; and
- if the audit exceeds 4 hours, $250 per subsequent hour; and
- official travel costs; and
- if any part of the audit is conducted outside Australia –additional expenses reasonably incurred by the Council relating to that part of the audit.

An Application to waive the charge may be submitted by an RTO in accordance with r. 26C of the VET Regulations. Special or unusual circumstances to waive fees does not include:

- where the RTO did not consent to the CMA; or
- the RTO did not agree with the outcome of the CMA; or
- the RTO required to pay the charge ceases to be registered.

Under this Policy, the Council will waive all official domestic travel costs associated with the CMA.

Related Legislation, Policies and Other Relevant Documents

- *Vocational Education and Training Act 1996*
- *Vocational Education and Training (General) Regulations 2009*
- *Standards for VET Regulators 2015*
- Registration Standards 2025
- Application of Sanctions Policy

Policy Review and Approval

Council approval is required for this policy.

The policy will be reviewed annually from the date of endorsement or as required.