

# Audit Plan and Entry Meeting Form

The Australian Centre for Advanced Studies  
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Name of program that is the scope of the audit	
Name of head auditor	

Program location	
Language of audit	English
Name(s) of any audit team members	
Planned date(s) of audit	
Any potential conflicts of interest	
Meeting schedules	
Confidentiality requirements	Restricted to: audit team, ACAS Board, and audit recipients.
Date of issue of report	
List of report recipients	

**Purposes of audit**

1. Evaluate compliance with the Standards for Registered Training Organisations
2. Identify risks
3. Evaluate program quality and identify possible improvements

**General rules of audit**

4. The agreed audit plan is flexible enough to allow any normal changes of emphasis. Only substantial changes shall be agreed upon in writing.
5. The auditor may investigate prima-facie non-compliances.
6. The report may identify individuals who have significant responsibilities.
7. The auditor may report any illegal activities found during the audit.
8. The auditee is responsible to identify all legislation with which it must comply.
9. The auditee, not the auditor, is responsible for the quality of the program.
10. Following up apparent non-compliances might create delays in the exit meeting and final report.
11. Copies of source documents will be collected as evidence of compliance and included in appendices.
12. No guarantee of any kind is made that auditor's comments will accord with that of any specific future decision of government departments or their auditors. The auditee should check with the relevant government department, and get independent advice if necessary.
13. Suggested improvements may not be interpreted to be professional advice.
14. The audit report should only be interpreted according to its stated purposes.
15. The audit conclusions are an opinion based on evidence gathered at the time.
16. Under ACAS policy, auditees have 30 days to rectify non-compliances.

**Meeting agenda items**

Done		Done	
<input type="checkbox"/>	Introduce audit team	<input type="checkbox"/>	Confirm resources/facilities needed by auditor
<input type="checkbox"/>	Review scope and objectives of audit	<input type="checkbox"/>	Confirm time & date of exit meeting
<input type="checkbox"/>	Establish official communication links	<input type="checkbox"/>	Clarify anything that is unclear

Summarize methods to be used:				Persons present	
Yes/no	Inspect documents & website	Yes/no	Interview staff	Place	
Yes/no	Inspect facilities	Yes/no	Interview students	Date	
Other:				Signature of authorizing person on behalf of Auditee	
				Name	