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Internal Audit

Session 2

Claire Werner

What will be discussed

The purpose of today's webinar is to unpack how to conduct an Internal Audit. We will discuss:

- Setting the objectives for your audit
- Preparing for the audit
- Gathering evidence through desktop reviews and site visits
- Evaluating evidence and making an audit decision
- Briefing the auditees

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Community RTO – Where *Connection* Matters



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February Newsletter 
– Brought to you by the Community team



"This is the best time to push forward with improving your skills. I believe you can do it."
– CEO, Adora

Join our **Certificate III in Community Services** Program and connect with like minded community oriented people. The program will open doors for you to make a difference!

Happenings
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Three easy course options, choose what's right for you.



It's never a dull day at the Community RTO!

 **Get a Nationally Recognised Qualification**
20
20 places available in each course

1. Choose electives that suit your field of expertise.
2. Choose your course, online – face to face – traineeship.
3. Wellbeing package available to all our students.
4. Talk to our course coordinators now to secure your place.

 **What's in for you next month?**
March 3: Family Day



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Activity – Community RTO

Adora, the CEO has asked you to do an internal audit to make sure that the RTO is compliant.

What other reasons might there be for us to do an internal audit in community RTO?

Please put your answers in the chat box



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Activity – Defining the issues

Adora, the CEO has asked you to do an internal audit to make sure that the RTO is compliant.

- What are the issues in the case study?
- What clauses would you audit to investigate the issues?



8 Minutes



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Please put your answers in the chat box

How do I evaluate the evidence

Our focus clauses are:

5.1. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides advice to the prospective learner about the training product appropriate to meeting the learner's needs, taking into account the individual's existing skills and competencies.

5.2. Prior to enrolment or the commencement of training and assessment, whichever comes first, the RTO provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO and at a minimum includes the following content:

Activity – Questions for the site visit?

Standard / Clause	Provided Evidence / Documents <small>Enter document names and links here for easy access during the audit</small>	Notes	C or NC
Standard 5 Clauses 5.1, 5.2	<p>The RTO has provided the following evidence:</p> <ul style="list-style-type: none"> • Copy of student complaint and rectification • Marketing flyer • Course information Sheets CHC32015 	<p>The marketing flyer is very generic and would function to attract interest, but there is no significant course information provided. The course information sheet is again generic and lists all possible electives that could be chosen across the three streams.</p> <p>It's really unclear how the RTO is structuring the three streams or where they may be providing the potential learners with more specific information for their chosen course. The complaint by the learner suggests that there has been an interview or discussion with the RTO prior to his enrolment.</p> <p><input checked="" type="checkbox"/> Discuss in the site visit.</p>	
Site Visit	The RTO has provided the following evidence:		
Actions			



5 Minutes



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Standard / Clause	Provided Evidence / Documents Enter document names and links here for easy access during the audit	Notes	C or NC
Standard 5 Clauses 5.1, 5.2	<p>The RTO has provided the following evidence:</p> <ul style="list-style-type: none"> • Copy of student complaint and rectification • Marketing flyer • Course information Sheets CHC32015 	<p>The marketing flyer is very generic and would function to attract interest, but there is no significant course information provided. The course information sheet is again generic and lists all possible electives that could be chosen across the three streams.</p> <p>It's really unclear how the RTO is structuring the three streams or where they may be providing the potential learners with more specific information for their chosen course. The complaint by the learner suggests that there has been an interview or discussion with the RTO prior to his enrolment.</p> <p><input checked="" type="checkbox"/> Discuss in the site visit.</p>	
Site Visit	<p>The RTO has provided the following evidence:</p> <ul style="list-style-type: none"> • Interview Trainer / Assessor • Interview Course Coordinator • Student file • Information night PPT • The TAS for each of the three modes. 	<p>The Course Coordinator explained at all potential learners speak with her before enrolment. She has a process she follows but it is rarely documented. If anything pops up in the discussion with the potential learners that may cause issues a note is included on the student file. There were no notes on the student file for the complainant.</p> <p>When determining which program is best for a potential student the course coordinator discusses what experience the learner already has, their work, family commitments, digital literacy, and ability to learn independently if they intend to take the online pathway. The focus is choosing the option that will work best for each individual learner.</p> <p>All learners then attend an information night for their chosen program where all details of the course are discussed and if the learner chooses to enrol, this can be done on the night. The trainers and assessors for the specific program attend the information night to answer any learner questions. The information night PowerPoint was very comprehensive and addressed all aspects of clause 5.2. Trainers and assessors do not deliver across the different modes of the program. No other transition complaints or issues in records</p>	



Remember to look outside your bubble...

How do I evaluate the evidence

Our focus clauses are 5.1 and 5.2

- What is the requirement of the clause
- What processes have we put in place to meet the requirements of the clause
- Were the processes used?
- Did the processes work?
- If they didn't work, what went wrong and how do we fix it?
- If the processes worked, is there anything that could be improved?

Please put your answers
in the chat box



5 Minutes



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Standard / Clause	Provided Evidence / Documents <small>Enter document names and links here for easy access during the audit</small>	Notes	C or NC
		<p>The processes generally work but the complainant was an exception. The interview and information night process are good processes. There are however 2 key things missing.</p> <ol style="list-style-type: none"> 1. That it is made clear to the learners that it may not be possible to change streams once training has commenced. This is particularly the case for moving to the face to face stream. 2. That all staff including trainers and assessors have a clear understanding of how different the programs are and can correctly advise learners about what may be best for them at information nights. 	
Actions	<ol style="list-style-type: none"> 1. Review the course information sheet to add information about the requirements of the different streams and the possibility of changing streams once training has commenced. 2. Review the Information night PPTs to add information about the requirements of the different streams and the possibility of changing streams once training has commenced. 3. Brief all trainers / assessors about course structure for each stream at the next monthly trainers meeting. 4. Update all TAS documents to include details about changing streams / pathways. 		

Making an audit decision

We have four options when it comes to our decisions

- Compliant
- Compliant with an opportunity for Improvement
- Non-Compliant
- Good Practice

C

OFI

NC

GP

Standard / Clause	Provided Evidence / Documents Enter document names and links here for easy access during the audit	Notes	C or NC
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Briefing the Auditees

Opening meetings

- Introductions
- Provide an overview of roles, responsibilities process, schedule
- Opportunity to ask questions and clarify
- Are all the plans and logistics in place and workable

Closing meetings

- Explain the findings of the audit
- What happens next
- Timeframes
- Opportunity for questions



What to expect in the next webinar

- Reporting findings
- How to negotiate rectifications
- Timeframes and following up
- Closing out an audit
- Focusing on continuous improvement

Questions?

Contact TAC



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Upcoming Events



29 May – Internal Audit

9 June – TAC Event (TAC RTOs Only)

16 June – Becoming an RTO