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Internal Audit Session 3

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What will be discussed

The purpose of today's webinar is to unpack how to make changes to improve the RTOs practice. We will discuss:

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

The audit report



The audit report is an important record that is **used** by many people in your organisation.

The report should **be clear, consistent and accurate.**

It must be **understandable for the audience.**

Reporting the audit findings

C The RTO has demonstrated compliance with this clause.

OFI It is suggested that the trainers/assessors are provided with a brief at the next trainers' meeting explaining transition options for students between course streams.

GP The course-specific information night and learner follow-up is a very effective way of providing learners with detailed information in an accessible manner. The information night also provides the opportunity for the RTO to begin building relationships with the learners and the cohort to form. Learners interviewed as part of the audit all stressed the value that this early relationship building had on their learning journey.

A framework for reporting non-compliance

1. What is the requirement of the Standard – restate the clause in simple terms
2. What did you see in the evidence – list the evidence, don't make any judgement statements, just tell us what you saw.
3. What is the gap between the evidence and the requirement of the Standard? This is a really important part as it is where you identify the gap so that everyone can understand the gap and its impact.
4. What do you want the RTO to do about the non-compliance?

Activity – a framework for reporting non-compliance

Write a non-compliance for the **Community RTO** Case Study

Please put your answers in the chat box



Case Study - page 3 of handout



Activity - page 7 of handout



5 Minutes

Reporting the audit findings

NC The standard requires the RTO to provide current and accurate information that enables the learner to make informed decisions about undertaking training with the RTO.

The RTO uses a course information sheet, interview and information night to provide information to prospective learners.

The information provided addresses the minimum requirements set in clause 5.2 but does not include information about the limitations of moving between course streams after the commencement of training. The lack of information about moving between streams means that the learner is not able to make an informed decision about which stream to enrol in, resulting in the RTO being non-compliant.

The RTO is to update learner information to provide clear advice about transferring between course streams after the commencement of training.

Audit follow up activities

- Distribution of the draft report
- Discussion with the team about actions that are required
- Agreement and endorsement of the final report and action plan
- Follow-up to check the progress
- Finalise the report when all actions are complete



Who gets the report?

1. The legally responsible person
2. The quality team
3. The manager of the area that has been audited
4. The team that has been audited

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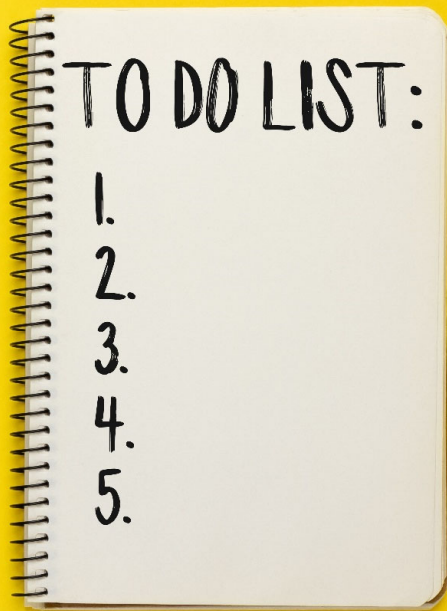
Rectifications – now the negotiation begins

Internal Audit Action Plan

	Priority	Action	Person Responsible	Due Date	Status	Comments
1						
2						
3						
4						
5						
6						
7						

Timing and follow up

- **Priority** – generally address any showstoppers first.
- **Capability of the team** – have we got the right people to carry out the actions?
- **Availability of the team** – what do they already have on their plates?
- What is a **reasonable timeframe** for the actions to be completed?
- **Follow-up** to track progress and address any barriers to achieving the action.



Closing out the audit

1. All of the actions have been completed
2. The report and action plan are stored for future reference
3. Update any audit schedule that exists in the organisation



Focusing on continuous improvement

- What have we learned from this audit process that could provide **opportunities** for our organisation now and in the future?
- What **weaknesses** did the audit process identify that we now need to work on as an organisation?
- 3-6 months later... did the rectifications **work as we expected them to** and is there anything else we need to do now?



How could I use information from this webinar series?



Reflecting on our discussions over the three webinars, what actions could you take in your RTO to improve the outcomes for your organisation and its learners?

Please put your answers in the chat box for discussion



5 Minutes

Questions?

Contact TAC



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Upcoming Events



9 June – TAC Event (TAC RTOs Only)

16 June – Becoming an RTO