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Internal Audit Session 1

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What will be discussed

The purpose of today's webinar is to provide an overview of the Internal Audit process. We will discuss:

- The structure of the three internal audit webinars
- The requirements of the *Standards for RTOs 2015*
- The benefits of an Internal Audit
- The Internal Audit process
- Internal Audit tools
- The Internal Auditor

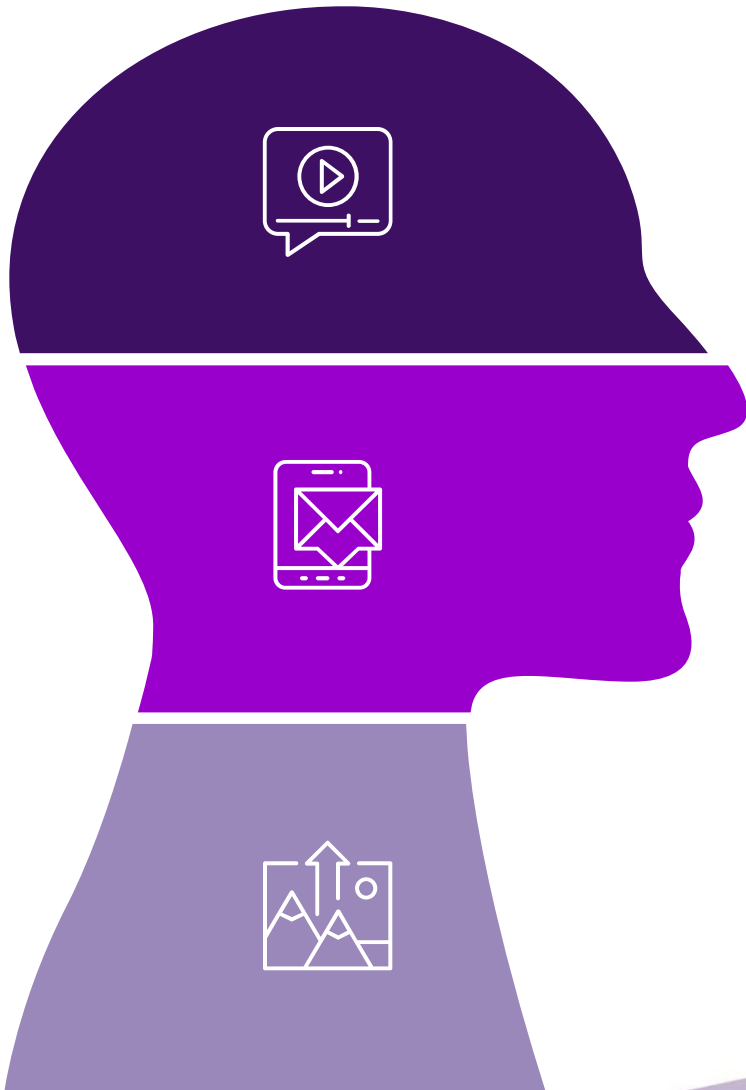
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The 3 Webinar Sessions

Session 1 - Internal Audit Overview

Session 2 - Internal Audit Process

Session 3 - Taking Action for Improvement



What do the Standards say and mean?

Quality Assurance

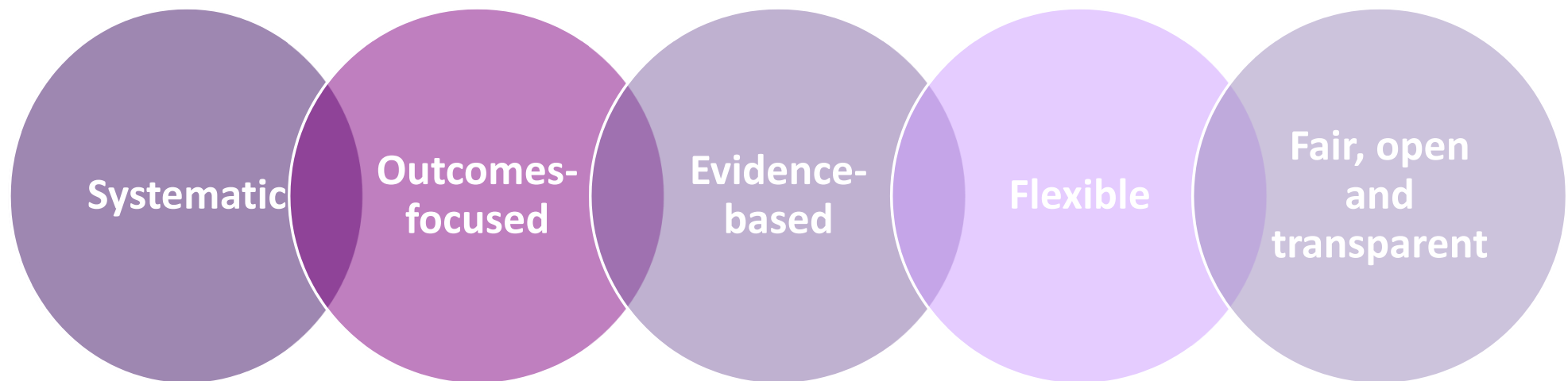
- 2.1. The RTO ensures it complies with these Standards at all times, including where services are being delivered on its behalf. This applies to all operations of an RTO within its scope of registration.
- 2.2(a) The RTO systematically monitors the RTO's training and assessment strategies and practices to ensure ongoing compliance with Standard 1; and
- 2.2(b) The RTO systematically evaluates and uses the outcomes of the evaluations to continually improve the RTO's training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator data collected under Clause 7.5 validation outcomes, client, trainer and assessor feedback and complaints and appeals.

The benefits of an Internal Audit

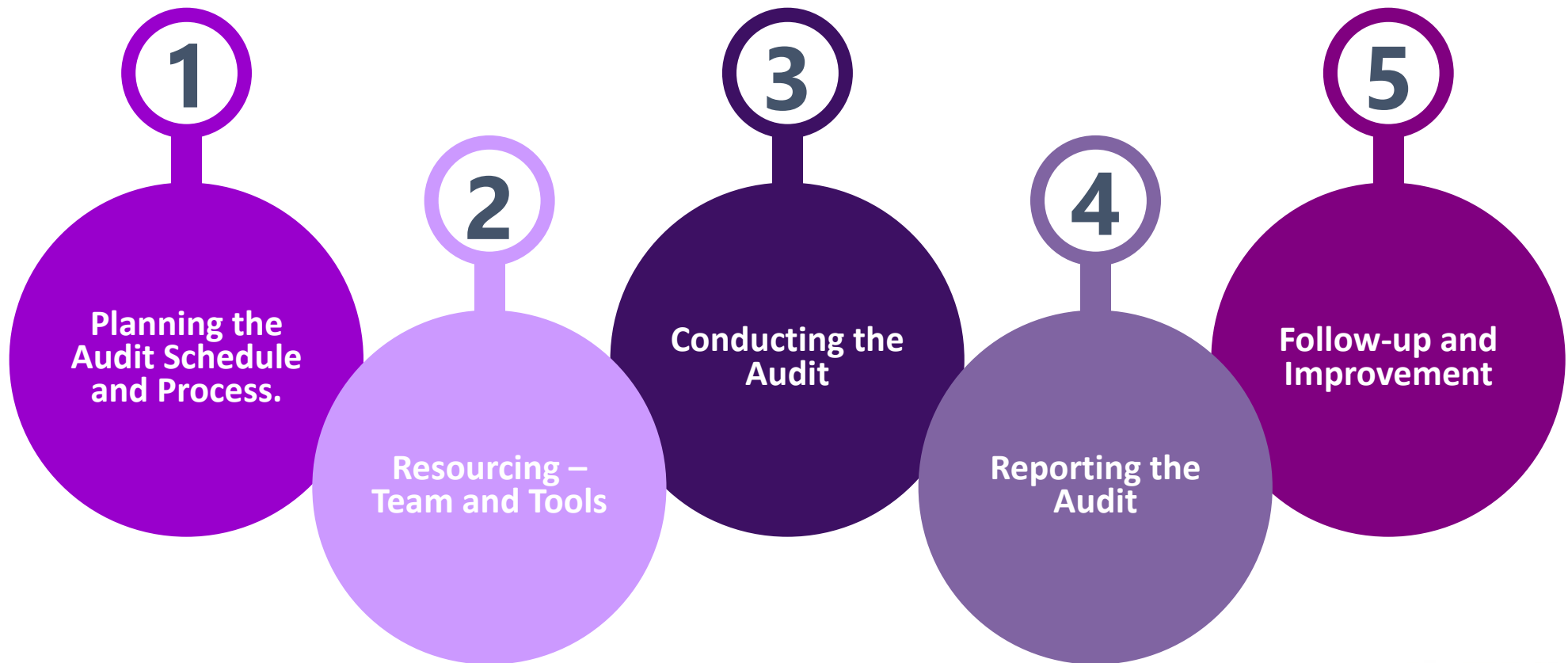
- Learning opportunities for the organisation
- Strengthens internal controls
- Promotes efficiency
- Increases effectiveness
- Increases accountability
- Manages risk
- Improves compliance
- Strengthens security



Audit Principles



The Internal Audit Process



Planning the Audit

It's all about the **logistics** of enabling the audit to run smoothly and **achieve the objective**.

- What is the objective and scope of the audit?
- What we are going to look at and when will this happen?
- Where will this happen, are there multiple sites, have I considered travel times, do I have to do site inductions?
- Who will be involved? Staff, employers, students? Who is the contact person?
- What can I look at before site visits and what do I need to see on-site?
- Have I requested access to documents/files for any desktop review I conduct?
- When I am on-site, have I given myself time to think about what I am seeing?

Time	Audit focus	Staff required
0830-1045	Standards 2-8 1.13-1.16 <ul style="list-style-type: none"> Staff matrix, evidence for any staff member who has been upgraded / deemed vocationally equivalent by RTO, PD plans for all training and assessment staff including those who are listed on third party agreements. 1.26-1.27 <ul style="list-style-type: none"> Managing the transition of superseded training products 3.1-3.5 <ul style="list-style-type: none"> Record Keeping and Certification 	
Break		
1100-1300	BSB20115 Certificate II in Business Standards: 1.1-1.2, 1.3, 1.8, 1.12, 1.9-1.11, 1.5-1.6	
Lunch		
1330-1530	BSB30415 Certificate III in Business Standards: 1.1-1.2, 1.3, 1.8, 1.12, 1.9-1.11, 1.5-1.6	
Break		
1600 - 1645	Closing Meeting	

Internal Audit Tools



- It's for you to help guide your conduct of the audit
- It's for you to record data and your observations
- It's for you to use to write your audit report

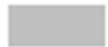
It has to work for you!

Example 1

Training and Assessment Strategy (TAS) Clauses 1.1- 1.13, 1.16, 1.20, 1.26, 1.27			
Clause	TAS (Sections)	✓, x or N/A	Evidence provided and findings
	RTO template is used with <i>blue italic suggested content removed</i>		
1.2	Delivery location identified		
1.1	Training Package details are correct <input type="checkbox"/> Code <input type="checkbox"/> Title <input type="checkbox"/> Release # <input type="checkbox"/> Status <input type="checkbox"/> Release date		
1.1	Qualification details correct <input type="checkbox"/> Nat. Code <input type="checkbox"/> Qualification Title <input type="checkbox"/> Release # <input type="checkbox"/> Status <input type="checkbox"/> Release date <input type="checkbox"/> Superseded date		
	<input type="checkbox"/> TAS is signed and dated		
1.5 1.6	Evidence or Records of Industry Engagement and the outcomes of engagement are stored in the relevant folder		
1.5 1.6	<input type="checkbox"/> Industry engagement - indication that industry has informed the relevance of the training and assessment strategies, practices, <u>resources</u> and currency of the Trainers/Assessors Is there industry related justification for selection and order of electives?		<i>Evidence required at a site audit interview</i>
1.1	Learner cohort identified with sufficient detail		<i>Justification based on student cohort for the amount of training may be requested at site audit; (note in relation to recommended AQF volume of learning guidelines).</i>
1.2	<input type="checkbox"/> Delivery mode and <input type="checkbox"/> Enrolment type are identified		
1.2	<input type="checkbox"/> Delivery period <input type="checkbox"/> Start date <input type="checkbox"/> Finish date <i>If delivered as flexible delivery, is there an explanation of the term of enrolment?</i>		

Example 2

What practices, systems and processes are in place to meet these Standards? - How can you demonstrate that your training and assessment strategies are compliant with the Standards and that where there are multiple documents in a strategy there is consistency across all documents? - What systems do you have in place to ensure there is consistency across all staff and that the practices are consistent with the training and assessment strategies?



What evidence is there that demonstrates results, effectiveness or outcomes achieved? - Does data from staff surveys indicate consistent understanding of the requirements of the training and assessment strategies and of required practices? - Does employer and learner feedback data indicate graduates are equipped with the skills and knowledge indicated by their qualifications? - What does completions and satisfaction data tell you about your services?



What are the opportunities for improvement?



What actions, if any, are required?

Example 3

Standard / Clause	Suggested Evidence / Documents	Provided Evidence / Documents <small>Enter document names and links here for easy access during the audit</small>	Findings	C or NC
Qualification Name:				
Standard 1, Clauses 1.1, 1.2 & 2.2	<ul style="list-style-type: none"> • Training and assessment strategy for the Qualification / Units of Competency • Evidence of how the amount of training has been determined and will be managed • Evidence of monitoring of the Strategy • Evidence of continuously improving strategies and practices from feedback received • Contact details for at least four (4) students • Contact details of at least two (2) employers 	<p>The RTO has provided the following evidence:</p> <ul style="list-style-type: none"> • xx 		
Actions				

The Internal Auditor

- They show integrity
- They are effective communicators
- They are good at building collaborative relationships
- They are always learning
- They leverage data to manage risk
- They are team orientated
- They are innovative and strategic
- They are technical experts



What to expect in the next webinar

- Setting the objectives and scope 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

Questions?

Contact TAC



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Upcoming Events



17 May – Albany Event (Face to Face)
22 & 29 May – Internal Audit