Internal Audit Assessment Record

Internal audits of records, systems, policies, procedures and processes (systems and processes) help to identify issues or inconsistencies, address risks and highlight areas for improvement.

The template below has been developed to provide an example of what an audit of an organisational system or process could look like. The structure of the tool supports system audits in response to:

- A cyclical review
- An issue or risk
- Another business need which has presented

It provides one possible structure to gather evidence and identify an action plan for improvement.

Other templates in this series include:

- Employee file audit
- Participant file audit
- Internal audit organisational schedule

The tools in this series are starting point, are general in nature and aimed to assist providers in developing their own systems. It does not account for the individual nature and risks of all NDIS services.

For more information on Internal Audits see NDS Organisational Internal Audits Factsheet.

Internal Audit Assessment Record

Auditor / assessor	
Sites involved	
Date/s	

Background information - Why is the assessment / audit being completed?

☐ Cyclical review	**Last review date**	
☐ Triggered by risk, emerging issue, pre-existing concern	**Details**	
☐ Other	**Details**	

Assessment findings

Ref No.	What is being assessed? **E.g. specify** • Records • Policy/procedure • Staff knowledge • Site	Evidence found **E.g.** ✓ Documentation in line with procedures has been completed ✓ Behaviours of workers ✓ Feedback from people with disability ✓ Site observations	Needs Improvement **E.g.** × Gaps in procedure × Observations × Incomplete records	Action required?	Priority rating 1. Immediate corrective action 2. Improvement opportunity 3. No action required
1.				☐ Yes ☐ No	☐ 1 ☐ 2 ☐ 3
2.				☐ Yes ☐ No	☐ 1 ☐ 2 ☐ 3
3.				☐ Yes ☐ No	☐ 1 ☐ 2 ☐ 3
4.				☐ Yes ☐ No	☐ 1 ☐ 2 ☐ 3
5.				☐ Yes ☐ No	☐ 1 ☐ 2 ☐ 3

Evidence of good practice

Overall assessment

Requires immediate action	Key policies and procedures are not in place or not implemented creating risk to people who access the services and/or risk to workers	☐
Improvement needed	Gaps or issues have been highlighted in the policies, procedures, environment, training, or documentation	☐
No action required	Evidence that procedures are in place and being followed	☐

Recommendations				
To be completed by the assessor and /or manager responsible		To be completed by the manager responsible		
Ref no	**Proposed Action/s to be taken** Could include update of documentation, worker training, addressing specific gaps or risks identified.	**By who**	**By when**	**Date completed**

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