Internal Audit Assessment Record

This resource was developed by the NDS Quality and Safeguards Sector Readiness Project and is funded by the Government of Western Australia Department of Communities.

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 webpage.](https://www.nds.org.au/images/resources/InternalAudits.pdf)

# Internal Audit Assessment Record

**Auditor / assessor:**

**Sites involved:**

**Date/s:**

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

Cyclical review: Yes/No?

Last review date:

Triggered by risk, emerging issue, pre-existing concern: Yes/No?

Details:

Other: Yes/No?

Details:

## Assessment findings

**Ref No 1:**

**What is being assessed?** (e.g. specifyrecords**,** 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: Yes/No?**

**Priority rating - Choose one below:**

1. Immediate corrective action

2. Improvement opportunity

3. No action required

**Ref No 2:**

**What is being assessed?** (e.g. specifyrecords**,** 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: Yes/No?**

**Priority rating - Choose one below:**

1. Immediate corrective action

2. Improvement opportunity

3. No action required

**Ref No 3:**

**What is being assessed?** (e.g. specifyrecords**,** 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: Yes/No?**

**Priority rating - Choose one below:**

1. Immediate corrective action

2. Improvement opportunity

3. No action required

**Ref No 4:**

**What is being assessed?** (e.g. specifyrecords**,** 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: Yes/No?**

**Priority rating - Choose one below:**

1. Immediate corrective action

2. Improvement opportunity

3. No action required

**Ref No 5:**

**What is being assessed?** (e.g. specifyrecords**,** 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: Yes/No?**

**Priority rating - Choose one below:**

1. Immediate corrective action

2. Improvement opportunity

3. No action required

## 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: Yes/No?

**Improvement needed -** Gaps or issues have been highlighted in the policies, procedures, environment, training, or documentation: Yes/No?

**No action required -** Evidence that procedures are in place and being followed: Yes/No?

## Recommendations

**Ref:**

**To be completed by the assessor and /or manager responsible.**

**Proposed Action/s to be taken -** could include update of documentation, worker training, addressing specific gaps or risks identified:

**To be completed by the manager responsible.**

**By who:**

**By when:**

**Date completed:**

**Ref:**

**To be completed by the assessor and /or manager responsible.**

**Proposed Action/s to be taken -** could include update of documentation, worker training, addressing specific gaps or risks identified:

**To be completed by the manager responsible.**

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**To be completed by the manager responsible.**

**By who:**

**By when:**

**Date completed:**

**Please note:** This tool was last updated in September 2023. National Disability Services Limited (NDS) believes that the information contained in this publication is correct at the time of publishing. However, NDS reserves the right to vary any of this publication without further notice. This resource will need to be adapted to meet the specific needs of your organisation and the people who use your services. The information provided in this publication should not be relied upon instead of other legal, medical, financial, or professional advice. Please always refer to online documents for latest versions including the NDIS Practice Standards.

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