Internal Audit Organisational Schedule

Internal Audits of organisations' systems and processes help to identify issues or inconsistencies and areas for improvement. The systems and processes each organisation have in place will be different, due to the size and scope of the services being provided, however all providers will have a number of different management systems in place which interact with each other.

Having a plan to audit these systems, is called an Internal Audit Schedule.

The template below has been developed to provide an example of what an audit schedule could look like and provides some of the core areas an NDIS Provider should consider.

The structure of the tool, allows organisations to map out and plan for the frequency and type of audit activities required over a yearly period, including:

- When an audit or particular activity is due
- When an audit or particular activity is complete or
- When a re-audit is required.

This document was developed for use by workers who are responsible for reviewing management systems and aims to assist with internal audit planning.

Other templates in this series include:

- Employee file audit
- Participant file audit
- Internal audit assessment record.

The tools in this series are a starting point, are general in nature and aimed to assist providers in developing their own systems for internal audits. They do 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 Organisational Schedule

Remember: The template below has been developed to provide an example of what an audit schedule could look like and provides some of the core areas an NDIS Provider should consider. It does not account for the individual nature and risks of all NDIS services.

Organisation Name	
Period	
Name and Role of Person Responsible	

Preparation notes

Ref	Activity / Process	Service Area	Records	Frequency	Type	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun		Notes
		- All - Org - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External					🟥 Audit / Activity Due 🟩 Audit / Activity Complete 🟧 Re-auditing Required									
Participants																			
	Participant records audit - See separate checklist																		
	Participant feedback - Including links to CQI																		
	Participant information – e.g. - Handbook - Accessibility of information																		
	Other – - As per your requirements																		

Ref	Activity / Process	Service Area	Records	Frequency	Type	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun			Notes
		- All - Dept - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External					🟥 Audit / Activity Due 🟩 Audit / Activity Complete 🟨 Re-auditing Required										
Workers (including Board)																				
	Worker records - See Worker file audit assessment record																			
	Onboarding records e.g. - Copy of ID - Reference checks																			
	Training records – including: - Mandatory training - Mandatory qualifications - Other training completed																			
	Compliance requirements e.g. - Working with Children, NDIS Worker Screening Check - NDIS Worker Orientation Module - Other – as per your requirements e.g. vaccinations																			
	Worker feedback - Including links to CQI																			

Ref	Activity / Process	Service Area	Records	Frequency	Type	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Notes
Workers continued																		
	Performance review and supervision																	
	Worker Information e.g. - Employee handbook																	
	Other – as per your requirements																	
Workplace Health and Safety																		
	Site audits - Accessibility - Safety																	
	Infection control audit - Including staff training - Access to and use of PPE																	
	Electrical tag and test																	
	Emergency and Disaster Management - Fire drills - Fire safety - E&D Plan																	

Ref	Activity / Process	Service Area	Records	Frequency	Type	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Notes
		- All - Dept - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External				🟥 Audit / Activity Due 🟩 Audit / Activity Complete 🟨 Re-auditing Required									
Feedback and Complaints																		
	System - Response - Reporting - Link to CQI																	
	Informal feedback - Response - Link to CQI																	
Incident Management																		
	System - Response - Reporting - Link to CQI																	
Risk Management																		
	Oversight - Minutes of risk management committee																	
	Register - Updated in response to new data e.g. incidents, new risks																	

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		- All - Org - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External					🟥 Audit / Activity Due 🟩 Audit / Activity Complete 🟧 Re-auditing Required								
Continuous Improvement																			
	- Informed by various sources e.g. risk, incidents, complaints - Evidence of improvement occurring																		
Governance																			
	Policies and Procedures - As per P&P review schedule - Or list																		
	Board Evaluation																		
Operations																			
	Policies and Procedures - As per P&P review schedule - Or list																		

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		- All - Org - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External					⬛ Audit / Activity Due ⬛ Audit / Activity Complete ⬛ Re-auditing Required								
External Audits																		
	NDIS																	
	Financial																	
	Other as required e.g. Aged Care, Mental Health																	
Other - Insurance Renewals																		
Other - Legal Contracts																		
Other - Professional Registrations																		

The rest of this document has been left blank to allow organisations to build their own audit schedule using the template.

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		- All - Org - Specify Site	- Electronic - Hard Copy - Both	- Quarterly - Annual - Biannual - Specify	- Internal - External					🟥 Audit / Activity Due 🟩 Audit / Activity Complete 🟨 Re-auditing Required							

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.