Internal Audit Organisational Schedule

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

# 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:**

## Activity / Process: Participants

**Participant records audit** (See separate checklist)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Participant feedback** (Including links to CQI)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Participant information** (e.g. Handbook, Accessibility of information)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Other** (As per your requirements)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Workers (including Board)

**Worker records** (See Worker file audit assessment record)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Onboarding records** (E.g. Copy of ID, Reference checks)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Training records** (Including Mandatory training, Mandatory qualifications, other training completed)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Compliance requirements** (e.g. Working with Children, NDIS Worker Screening Check, NDIS Worker Orientation Module, Other – as per your requirements e.g. vaccinations)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Worker feedback** (Including links to CQI)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Performance review and supervision**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Worker Information** (e.g. Employee handbook)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Other** (as per your requirements)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Workplace Health and Safety

**Site audits** (Accessibility, Safety)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Infection control audit** (Including staff training, Access to and use of PPE)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Electrical tag and test**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Emergency and Disaster Management** (Fire drills, Fire safety,

E&D Plan)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Feedback and Complaints

**System** (Response, Reporting Link to CQI)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Informal feedback** (Response, Link to CQI)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Incident Management

**System** (Response, Reporting, Link to CQI)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Risk Management

**Oversight** (Minutes of risk management committee)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Register** (Updated in response to new data e.g. incidents, new risks)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Activity / Process:** Continuous Improvement (Informed by various sources, e.g. risk, incidents, complaints, Evidence of improvement occurring)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Governance

**Policies and Procedures** (As per P&P review schedule, Or list)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Board Evaluation**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: Operations

**Policies and Procedures** (As per P&P review schedule, Or list)

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

## Activity / Process: External Audits

**NDIS**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Financial**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Other as required e.g. Aged Care, Mental Health**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Activity / Process: Other - Insurance Renewals**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Activity / Process: Other - Legal Contracts**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**Activity / Process: Other - Professional Registrations**

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

# Blank Template

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

## Activity / Process:

Ref:

* Service Area: All/ Dept?
* Specify site:
* Records: Electronic/Hard Copy/Both?
* Frequency: Quarterly/Annual/Biannual?
* Specify:
* Type: Internal/External?
* What Month(s) is this Audit / Activity Due:
* What Month(s) is this Audit / Activity Complete:
* What Month(s) is this Re-auditing Required:
* Notes:

**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.

End of document.