



NDIS Internal Auditing Webinar

Your Presenter

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Overview

- Registered Training Organisation
 - Auditing
 - Risk
 - Project & People Management
 - Continuous Improvement
 - NDIS
 - Incident Management & Investigation
- Diploma of Quality Auditing



How to audit



Plan the audit



Conduct the
audit interview/s



Document
outcomes



Deal with audit
outcomes



Review

1. Plan

- Refer to audit schedule
- Review past audits &/or related data
- Know the criteria (policy/ procedures)
- Develop a list of questions
- Communicate with colleague-process owner/ auditee
- Book in a time

2. Conduct the audit interview/s

- Action!
- Work with your colleague
- Communicate & listen
- Work through the checklist
- Ask open questions “Show me... Tell me... Explain how...”
- Be open & transparent

3. Document Outcomes

- As you audit, record findings & make notes as necessary on checklist
- Document audit outcomes and observations
 - Rather than 'tick & flick'
 - Quote examples and what you saw 'which ones, how many' etc
- Centrally record audit outcomes
 - Eg. Continuous Improvement Register

4. Deal with Audit Outcomes

- Responding to Audit Outcomes is the responsibility of the auditee/ process owner
- In some circumstances a simple fix will do
 - (low risk issues)
- Other times, a deeper dive into the underlying issue requires attention in order to take action to prevent recurrence
 - (higher risk issues)
- Record actions in central register (Continuous Improvement)

5. Review

- Assists top management to monitor & respond where applicable
- Communicate audit results
- Identify trends
- Schedule updated accordingly
- This is evidence of continuous improvement

Internal Auditing Training

Further training considerations:

- 2-day Management Systems Auditing (MSA) course
- Practical, but no exam
- Accredited course
- Courses run every 3- 4 weeks
- Slide handout
- Audit checklist template download
- Mentoring available to MSA students

Thank you

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