

Internal Quality Audit / Review

Purpose

This procedure describes the process for conducting self-assessment internal quality audits and reviews within the GoodStart Training College. Internal audits/reviews are conducted across all of GoodStart Training College operations relating to its compliance with AQTF standards and the policies and procedures.

Definitions	
Auditor	A person who is authorised to perform quality audits.
Auditee	A person or section that is being audited.
Non-Compliance	Practice does not comply with the AQTF standards and any relevant State requirements.
Improvement Opportunity (IO)	A written request that action is taken where practice does not correspond with the planned and/or documented arrangements established by GoodStart Training College.

Scope

This procedure will apply to all staff involved in planning, conducting and reporting outcomes of internal quality audits including:

- scheduling internal quality audits
- preparing to conduct internal quality audits
- conducting internal quality audits
- reporting internal quality audits
- verifying effectiveness of action taken in response to improvement opportunities

Procedure

Scheduling Internal Quality Audits

Steps	Internal Auditor	
Develop an Internal Audit Schedule	GoodStart Training College Manager	<ul style="list-style-type: none"> • the schedule is developed taking into account: <ul style="list-style-type: none"> ○ the status and importance of the processes and the areas to be audited ○ results of previous audits, including self-assessment report ○ requests from the GoodStart Executive Team
Approve Internal Audit Schedule	GoodStart Executive Team	
Endorse Schedule	GoodStart Executive Team	<ul style="list-style-type: none"> • schedule endorsed by the GoodStart Executive Team
Notify relevant staff of the audit schedule for the following term/s	GoodStart Training College Manager	

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Preparing to Conduct Internal Quality Audits

Steps	Who is Responsible?	Notes
Assign auditor/s to conduct audit	GoodStart Training College Manager	<ul style="list-style-type: none"> auditor/s cannot be assigned to audit their own work auditors may work in pairs with a lead auditor nominated and the lead auditor is responsible for coordinating the audit, including liaison with the auditee completing all paperwork
Contact auditor and auditee	GoodStart Training College Manager and delegated personnel	<ul style="list-style-type: none"> advise on the area and processes to be audited names of auditor/s or auditee/s timelines for conducting audit
Provide necessary documentation to auditor	GoodStart Training College Manager and delegated personnel	<ul style="list-style-type: none"> including any self-assessment report previous audit results, if follow-up required relevant audit reporting forms
Contact auditee to arrange a time to conduct audit	GoodStart Training College Manager and delegated personnel	<ul style="list-style-type: none"> negotiate a mutually convenient date confirm focus of audit
Review audit documentation	GoodStart Training College Manager and delegated personnel	<ul style="list-style-type: none"> Develop audit strategy by reviewing: <ul style="list-style-type: none"> self-assessment report provided previous audit results (if necessary) associated procedures (if necessary)

Conducting Internal Quality Audits

Steps	Who is Responsible?	Notes
Conduct audit	GoodStart Training College Manager / Auditor	<ul style="list-style-type: none"> refer to the self-assessment report copies of relevant procedures previous audit results
Discuss outcomes of the audit with auditee	College Manager / Auditor	<ul style="list-style-type: none"> provide feedback to the auditee and include details of any: <ul style="list-style-type: none"> non-compliance potential improvement opportunities

Reporting Internal Quality Audits

Steps	Who is Responsible?	Notes
Complete relevant reporting documentation and forward to GoodStart Executive Team	GoodStart Training College Manager and delegated personnel / Auditor	<ul style="list-style-type: none"> referring to the self-assessment report; or other reporting documentation used during the audit or provided
Review audit documentation and identify any Non-Compliance and potential Improvement Opportunities	GoodStart Training College Manager and delegated personnel / Auditor	

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Confirm Non-Compliance and Improvement Opportunities and negotiate actions and timelines for resolution with relevant staff	GoodStart Training College Manager and delegated personnel / Auditor	
Forward audit report noting Non-Compliance and Improvement Opportunities and agreed actions to relevant staff and auditors	GoodStart Training College Manager and delegated personnel / Auditor	<ul style="list-style-type: none"> • copy of Non-Compliance and IO's sent to relevant staff and auditors for their information • original self-assessment report and supporting documentation to GoodStart Executive Team
Implement agreed actions	GoodStart Training College Manager and delegated personnel / Auditor	<ul style="list-style-type: none"> • Compliance Officer/ Auditor available for advice on suitability of actions
Monitor Non-Compliance and Improvement Opportunities and progress of proposed action/response	Director of Studies	<ul style="list-style-type: none"> • refer to the Continuous Improvement Policy for detail on the continuous improvement cycle • progress of Non-Compliance and Improvement Opportunities monitored on Status Reports • Status Reports provided to relevant staff and GoodStart Executive Team

Verifying effectiveness of action taken in response to Non-Compliance items or Improvement Opportunities

Steps	Who is Responsible?	Notes
Inform GoodStart Executive Team when agreed action/s completed and, if possible, forward evidence	GoodStart Training College Manager / Auditor	<ul style="list-style-type: none"> • evidence may be either in hardcopy or electronic
Review status of Non-Compliance and IO by conducting a follow up or sighting evidence of completed action	GoodStart Training College Manager / Auditor	<ul style="list-style-type: none"> • follow-up audits/review of evidence are conducted to verify the effectiveness of actions taken
Report the results of follow-up /review of evidence to relevant staff	GoodStart Training College Manager and delegated personnel / Auditor	<ul style="list-style-type: none"> • if action has been effective, close the Non-Compliance and IO • if action has not been effective, leave Non-Compliance and IO open and negotiate with relevant staff further actions to resolve the Non-Compliance and IO