

Implementation Guide

Internal Audit

Prepared by Centro ASSIST

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Introduction

This guide has been prepared for customers to assist with the implementation and adoption of the Internal Audit system.

The system gives customers the ability to “plan, do and review” an annual schedule of audits using our ready-made NDIS Practice Standard and operational audits.

The system also comes with view-only polices, processes, documents and resources that are included in our [Centro ESSENTIALS](#) product.

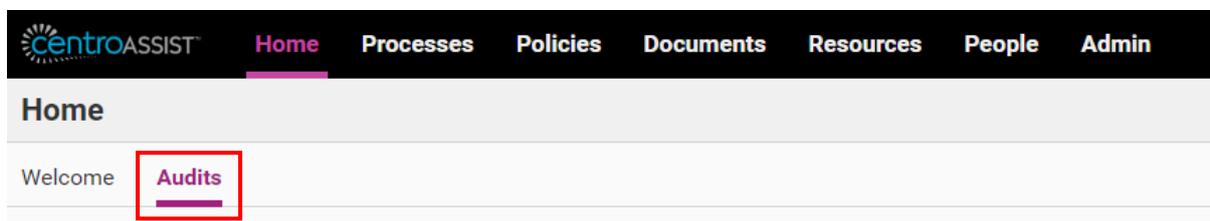
The steps required to implement the module are shown below. The steps are not prescriptive, so customers can take what they need from the guide to suit their own circumstances.

Step	Description
1	Set-up and configuration
2	Creating an audit schedule
3	Conducting an audit
4	Reviewing and approving an audit
5	Monitoring and continuous improvement

Throughout the guide we refer to the Centro [Support Portal](#), which contains a series of ‘how-to’ articles to assist with usage queries. As a starting point we recommend reviewing the following articles:

- [Access the web-app](#)
- [Navigation basics](#)
- [Manage users](#)

Once signed-in, the Internal Audit system can be accessed via Home > Audits, as shown below:



Step 1 – Set-up and configuration

There are 2 types of configuration required as a first step:

Type	Description	Support Portal Link
Assign permissions to users	<p>The applicable permissions to choose from are:</p> <ul style="list-style-type: none"> • Audit data entry – Can download/upload audits • Audit approval – As above plus approve audits • Administration – As above plus manage users, business units and notifications <p>At a minimum a user will need the 'Audit data entry' permission to access the Audit tab.</p>	For assistance with how to assign permissions to users, please click here .
Business units (if applicable)	<p>The module allows you to create unique audit schedules for each business unit within an organisation, which could be a facility, department or service line. Depending on the size and complexity of your organisation, it may be necessary to set-up these business units in the system.</p>	For assistance with how to set-up business units, please click here .
Notifications	A number of email notifications can be enabled within the system, including new internal audits and app feedback.	For assistance with notifications please click here .

Step 2 – Creating an audit schedule

Once user permissions and business units (if applicable) have been set-up, the next step is to create a schedule of audits for your organisation.

As mentioned in Step 1, schedules can be set-up for each business unit. If no business units have been set-up, the schedule will apply to the whole organisation.

Organisations can choose from any of our NDIS Practice Standard or operational audits as listed below:

NDIS Practice Standards	Operational Audits
CM1 Rights and Responsibilities	OP01 Work Health and Safety
CM2 Provider Governance and Operational Management	OP02 Emergency Management
CM3 Provision of Supports	OP03 Medication
CM4 Support Provision Environment	OP21 Participant Files
SM1 High Intensity Daily Personal Activities	OP31 General Cleaning
SM2 Specialist Behaviour Support	OP32 Housekeeping
SM2A Implementing Behaviour Support Plans	OP33 Vehicle Maintenance
SM3 Early Childhood Supports	OP71 Staff Training
SM4 Specialist Support Co-ordination	OP72 Staff Records
SM5 Specialist Disability Accommodation	OP73 Infectious Diseases

The benefit of setting up the audit schedule is that it becomes the plan from which organisations will complete their audits, in line with the due dates.

It also satisfies the requirement of the NDIS Practice Standards to have a:

“documented program of internal audits relevant (proportionate) to the size and scale of the provider and the scope and complexity of supports delivered.”

Core Module > Governance and Operational Management > Quality Management

The frequency of audits should therefore be in line with the above. We suggest a 12 month cycle for small organisations providing low risk supports and a 3-6 month cycle for larger organisations providing higher risk supports. It may also be appropriate to revert to shorter frequencies if major non-compliances are found.

For assistance with how to create the audit schedule, please [click here](#).

Step 3 – Conducting an audit

Once the schedule has been created, the next step is to conduct the audits in line with their due dates. For each audit, this would involve the following steps:

- Using the “to-do” view, click on the audit
- In the “audit” tab, download the MS excel audit document
- Complete the audit as per the instructions included in the document
- Once complete, upload the audit document back into the system along with any supporting evidence (note the score will be automatically recorded)
- Click on “Overall Result and Approval”
- Add in an explanation of overall result and overall recommendations

For assistance with downloading and completing audits (including scoring system information), please [click here](#).

For assistance with uploading audits please [click here](#).

Step 4 – Reviewing and approving an audit

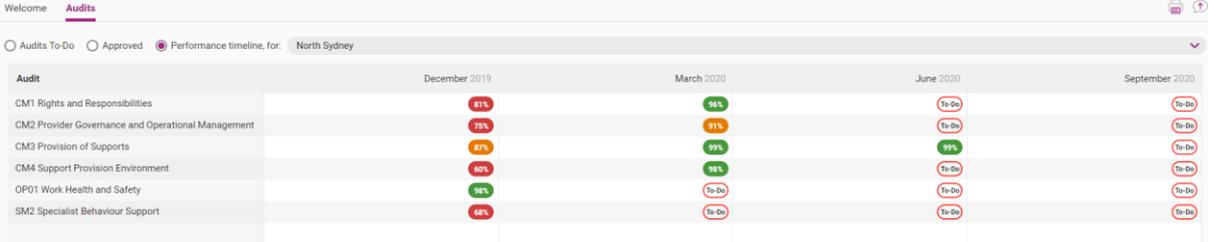
The next step is to review and approve the audit. Note that this step can only be performed with Audit Approval or Administrator permission.

Once the user is satisfied all information has been entered correctly, the “approve” button can be clicked. The user can revert the approval if required.

For assistance with approving an audit, please [click here](#).

Step 5 – Monitoring and continuous improvement

One of the main benefits of the module is the ability to monitor performance over time using the “performance timeline” view. An example is shown below:



Audit	December 2019	March 2020	June 2020	September 2020
CM1 Rights and Responsibilities	81%	94%	To-Do	To-Do
CM2 Provider Governance and Operational Management	79%	81%	To-Do	To-Do
CM3 Provision of Supports	87%	99%	99%	To-Do
CM4 Support Provision Environment	60%	94%	To-Do	To-Do
OP01 Work Health and Safety	98%	To-Do	To-Do	To-Do
SM2 Specialist Behaviour Support	68%	To-Do	To-Do	To-Do

By using the colour coding and scoring system, organisations can monitor their performance and demonstrate continuous improvement over time.