

Skills assure supplier (SAS) audit

Audit evaluation form

The Department of Employment, Small Business and Training (DESBT) undertakes compliance audits against the departmental funding programs outlined in the **Skills for Queensland**.

To assist in maintaining the quality and effectiveness of the audit process, DESBT is seeking your feedback about the recently conducted SAS/PQS Agreement audit.

RTO name			RTO code	
Name of completing officer (from RTO)			Position	
Signature or email address			Date form completed	
Program	<input type="checkbox"/> VET Investment	<input type="checkbox"/> User Choice	Mode of Audit	<input type="checkbox"/> Desk Only <input type="checkbox"/> Site
Audit type	<input type="checkbox"/> Monitoring	<input type="checkbox"/> Re-Audit	<input type="checkbox"/> Themed/Other _____	
Audit start date			Audit end date	

Rating scale

Importance: 1 = Low importance 2 = Medium importance 3 = High importance

Performance: 1 = Strongly disagree 2 = Disagree 3 = Neutral 4 = Agree 5 = Strongly agree

Supplier (SAS/PQS) audit activities	Importance to you			Performance				
	1	2	3	1	2	3	4	5
Pre-Audit Activities								
1. Communication from the department regarding the timing, location and purpose of the audit was clear and easily understood.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. I was advised of the range of evidence I would be required to provide for the audit and the lead time to arrange audit information and/or student files was sufficient.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Audit Activities								
3. The audit process and possible audit outcomes were clearly stated at the commencement of the audit fieldwork (on-site visit) or prior to commencement of the desk audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Communication during the audit was clear and meaningful and I was kept informed of the progress of the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Supplier (SAS/PQS) audit activities	Importance to you			Performance				
5. Discussions regarding the internal controls my RTO has to support meeting the requirements of the Agreement/s provided a clear overview of potential risks as well as improvements for my RTO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. I was provided with reasonable opportunity to provide a response and/or additional evidence to address identified non-compliances prior to the close of the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. The approach applied to the audit process was professional and courteous with a due level of care and respect afforded to the team as well as the work environment and student records and/or other documents accessed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. At the conclusion of the audit, the summary of findings was sufficient to allow me to commence rectification (where required).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Post-Audit Activities	1	2	3	1	2	3	4	5
9. The audit report was issued within the stipulated timeframe as well as clearly and accurately reflected the audit findings, enabling my RTO to take effective action.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Overall I feel the audit process will enhance or assist with making improvements to my RTO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any comments below regarding the audit process that you believe will assist the department to understand and evaluate the quality and/or effectiveness of the DESBT audit process, particularly if you have provided a neutral response.

In the instance your organisation was audited for both VET Investment and User Choice Programs, please ensure you provide comments, particularly if there may have been differences.

Comments:

Please return this form to quality.compliance@desbt.qld.gov.au within two weeks of audit report finalisation.

You may be contacted for further information in relation to the responses provided.