

Audit Process



LTS' Audit Process is a system of review and assessment to verify that the Quality Assurance procedure is working. The TM/ATM are responsible for all audit activities (The Audit Process must not be confused with Quality Assurance Section updating)

The Audit Process should: -

- Test the effectiveness of systems and procedures.
- Find out where a system can improve.
- Identified problems and shortfalls.
- Make provision for correcting problems.
- Ensure legislative compliance.
- Highlight good practice.
- Communicate findings.

The minimum **competency requirements** for the person/s responsible for carrying out audits, inspections and observation etc. are IOSH managing safely, Safeguarding Level 4, Internal Verification certificate a period of quality assurance experience (usually 3 years)

Audit Plan

Section	June	Dec
1	Business Plan & Structure	Business Plan & Structure
2	Policies, Processes & Strategies - Sample meetings minutes	Question staff randomly on policies, procedures etc
3	Policies, Processes & Strategies – Section 1 ALL AREAS 1-11	Section 2 Risk Assessment – Section 3 Safeguarding & Prevent
4	Policies, Processes & Strategies	Training, Hot Topics
5	Grievances	Have recommendations been followed through
6	Policies, Processes & Strategies CPD & Training Plan	CPD & Training Plan
7	Policies, Processes & Strategies – Timeliness of questionnaires, communications	Have recommendations been followed through – Action for improvements
8	Policies, Processes & Strategies	Test Sub-contractor QA
9	Have recommendations been followed through	Question Sub-contractor learners
10	Policies, Processes & Strategies – Applicant assessment	Thoroughness of Communications – Thoroughness of Paperwork
11	Policies, Processes & Strategies – Training Observations, Assessments	ALN, IV, Registrations EQA reports – Reviews, WBT records
12	QIP	SAR – QIP
13	Policies, Processes & Strategies	Audit
	Policies, Processes & Strategies	Waste & Environment
	Policies, Processes & Strategies	Supply chain

Unscheduled Audits

Unscheduled audits will be conducted by the TM/ATM randomly and will ensure continuing compliance and supply an opportunity to improve. Findings will be recorded in the Senior Management Team Meetings.

Audit Questions

- Is the Policy/Procedure: - up to date, stored correctly, been communicated correctly etc?
- Are staff and/or learners aware of the processes/forms/what to do if etc. within the QA section?
- Have QA actions been carried out as planned?
- Have post QA reviews (document updates etc.) been communicated correctly, timely etc?
- Has legislative compliance been checked?

Audit Findings/Non Conformities

Audit findings including non conformities are recorded in the following sections. Specific actions including corrective measures are recorded within the appropriate meeting minutes or via staff email memo. 2nd/3rd Party Audits and their associated actions e.g. Accrediting Body (IPAF, RTITB etc) OfSTED inspections are dealt with on an individual basis with all action recorded in the Senior Management Meeting minutes. The subsequent meetings ensure all audit outcomes are managed to a close.

Richard W Little – Chairman

Document Control	
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Owner	M Horabin
Title	Training Manager

H & S Annual Audit Matrix

A general definition of an audit is an evaluation of a person, organization, system, process, project or product. Audits are performed to ascertain the validity and reliability of information, and also provide an assessment of a system's internal control.

This matrix records audits carried out on LTS's Health & Safety processes. The findings from audits are recorded in 'Audit' Section 3

Section 1 Policies	Policies in place and up to date		
Section 2 Self Assessment & Action Plan	Self Assessment and Action Plan in place and up to date		
Section 3 Electrical checks	PAT check observed	All staff trained to carry out visual check (learner during induction)	
Section 4 First aid box	First aid box check observed	First aiders names and expiry dates	
Section 5 Fire Extinguishers	Fire Extinguisher check observed		
Section 6 Fire Drill	Fire Marshall observed during fire drill		
Section 7 Plant Safety	On date of audit all certificates were in place and up to date.		
Section 8 COSHH	Substance chosen at random is on the database with an MSDS sheet	Random member of staff is asked to find an MSDS	
Section 9 Accident I & R	Accident investigation observed and report paper work checked. (all staff trained should be audited periodically)		
Section 10 Appraisal & Monitoring	Vetting & Monitoring observed and A & M paper work checked. (all staff trained should be audited periodically)		
Section 11 Measuring Performance	Statistical data is up to date		
Section 12 Risk Assessment	Random task is selected and risk assessment of that task is audited	Check knowledge of all new staff. Do they know how to carry out a risk assessment (current staff knowledge also confirmed)	Check learners at random re risk assessment at induction and annual refreshment
Location Notices	Are there and accurate		

Audit

When auditing the systems and documents below ask: - How effective is it? - Are there any problems? - Are we still legally compliant? - Do we need to take corrective action? - What do we need to communicate post audit? Apply the same questions when auditing the actual work procedures - Observe what is actually happening, 'walk the job'!

1.The Company Jun

Business Plan – BP

Business Continuity Plan – BCP

Company Organisational Structure – COS

Policy Index – PI

Dec

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2.Communications Jun

Strategy
Schedule
SMT meeting
All staff meetings
IHT meetings
Driving Instructor meetings
Admin meetings

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3.Health & Safety Jun

- Section 1
- Section 2
- Section 3

Dec

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4. Equality & Diversity <u>Jun</u>	<u>Dec</u>
<p>Policies Training Aim, statistics & action plan Complaints, grievances & appeals Resources</p>	

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5. Staff Jun

Training & Development policy
Personal document file
Staff Grievances, disciplinary & appeals
Staff Behaviour & code of Conduct
Training & Development plan
Performance reviews – Guidance and Self Assessment
Electronic CPD
Recruitment - Eligibility
Induction
Personnel records

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6. Management Information Jun

Questionnaires
Outcomes
Analysis
Action
Communication

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7. Sub-Contract review Jun

Selection of Sub-contractor
Sub-contractor policies
Sub-contractor learner induction
EQA 7 OfSTED reports

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8. Learner Recruitment Jun

Policies, processes, procedures

Assessment

Communications

Paperwork

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9. Frameworks Jun

Training Process
Assessment strategy
Workplace training strategy
Registration & Certification
Qualifications, IQA, EQA
Additional Learner Support

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10 OfSTED **Jun**

SAR
QIP

Dec

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11. **Jun**

Audit process

Dec

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12. **Jun**

Environmental Management System, waste/recycling (suitability of storage area)

Dec

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13. **Jun**

Supply chain

Dec