



# **UK ASBESTOS TRAINING ASSOCIATION**

## **GUIDANCE**

### **INTERNAL AUDIT**

Document No:	MG005
Issue Date:	18/09/2017
Issue No:	01

# **INTERNAL AUDIT** **GUIDANCE**

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## DEFINITIONS

In this Guidance, unless the context otherwise requires:

**Approved Training** means the delivery of training by a Tutor who has met the required standards for training;

**Association** means UK Asbestos Training Association Limited;

**Audit** means an objective examination and evaluation of an asbestos training course by an Auditor engaged by UKATA;

**Auditor** means an appointed individual responsible for evaluating the delivery and accuracy of an asbestos training course;

**Certificate Generator** means the online software owned by UKATA which Members must use to generate certificates for all UKATA approved asbestos training;

**Employed** means a person who is employed under a contract of employment for a Member and is paid by that Member as an employee, and treated by HMRC as an employee;

**Guidance** means codes of practice or other recommendation made by the Association which are supplemental to the Rules, but in the event of any conflict between the Guidance and the Rules, the Rules take precedence;

**Member** means an organisation, company, individual who have satisfied the criteria of membership;

**Rules** means these Rules of the Membership which govern membership;

**Sanctions** means the Sanctions which may be applied by the Association in the event of a breach of the Rules by a Member, which may include suspension from the Certificate Generator, suspension from membership or termination;

**Syllabus** or **Syllabi** means a document that communicates course information and defines expectations and responsibilities;

**Tutor** means an individual engaged or employed by a Member to deliver Approved Training;

**Tutor Registration** means the process required to become a registered Tutor and to be permitted as a Tutor on the Certificate Generator;

**UKATA** means UK Asbestos Training Association Limited;

## **INTRODUCTION**

1. As outlined in the [Guidance on Tutor Registration](#), each Tutor will be subject to an internal Audit prior to submitting the online Tutor application form.
2. It is the responsibility of the Member, prior to registering any Tutor, to ensure that the Tutor is competent to deliver UKATA training on their behalf.

## **INTERNAL AUDIT EXEMPTION**

3. Any Tutor that has been successfully audited by UKATA previously at the category of registration required, or at a higher category, will not be subject to an internal Audit, but must submit their previous audit as part of the online Tutor application form.

## **COMPETENT PERSON**

4. Internal Audits must be conducted by a competent person.
5. The competent person would typically be the Employed and audited Tutor; however, this could be a Tutor who has been previously audited by UKATA as part of the Member's membership.
6. The competent person will be responsible for conducting an internal Audit on any Tutor wishing to register with UKATA on behalf of the Member company.

## **INTERNAL AUDIT**

7. Any Tutor who has not been successfully audited by UKATA previously will be subject to an internal Audit by the competent person on behalf of the Member company.
8. The competent person will make observations during the Audit, assessing course delivery and content against the Syllabi and Guidance and Audit criteria relevant to the category of training.
9. The competent person must fully complete the respective Audit report template provided by UKATA and the Tutor must then submit this as part of their online Tutor application form.

Internal Audit report templates can be found on our website, [www.ukata.org.uk/resources](http://www.ukata.org.uk/resources) .

## **ASSESSMENT OF THE INTERNAL AUDIT**

10. Once UKATA is in receipt of the Tutor application form and supporting documents, including the internal Audit report, the Tutor will be verified to ensure the Tutor criteria is satisfied, in line with paragraph 8 of the [Guidance on Tutor Registration](#).
11. As part of the verification, UKATA will assess the internal Audit report to ensure the Audit is acceptable, meeting the requirements of the Syllabus, Guidance and Audit criteria relevant to the category of training

12. If the internal Audit is found to be unsatisfactory, the Tutor application will be placed on hold, Sanctions may apply and UKATA will write to the Member giving reason for this decision. UKATA will work with the Member to remedy any issues, which may include the Member:
  - a) Developing an action plan for the Tutor and actioning satisfactorily;
  - b) Providing any necessary further training for the Tutor.
13. Once the Member has satisfied or remedied any issues with the internal Audit as required by UKATA, the Tutor application may then proceed.

## **LIMITATIONS**

14. Internal Audits are for the purpose of Tutor Registration only and will not constitute or replace any previous or future Audits conducted by UKATA or by a UKATA Auditor as part of the Member's membership. Audits undertaken by UKATA will always supersede the internal Audits undertaken by Members.
15. UKATA may, at its absolute discretion, commission an Auditor to undertake a spot check Audit upon a Member, at no cost to the Member. UKATA shall not be required to give reason to the Member for this action but if UKATA considers that the Audit so undertaken on the particular Tutor is materially less acceptable than the internal Audit, then the spot check Audit supersedes any internal Audit and Sanctions will apply.