

vision for the future



COMPLIANCE

How to Rectify Non-Compliances Following an Audit

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NATIONAL VET CONFERENCE
GOLD COAST 2021

#2021NVC



ABOUT: KEVIN EKENDAHL

Kevin Ekendahl is the Managing Director of Audit Express. He has been involved in the tertiary education sector for more than 12 years in management and quality assurance roles. Kevin's expertise is in governance, quality assurance and internal auditing, and provides these services in a range of industries. His main focus is making sure organisations build the capability of their teams to make sure they continue to provide quality educational services.

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WHAT WE WILL COVER...



How to review and analyse the non-compliance

“The only thing that interests me is history - reviewing the past and making something out of it.”

-Leon Redbone

Getting your report.....

The audit report will highlight the non-compliances found which relate to the sampled training products and students.

This is identifying **system and control failures**.



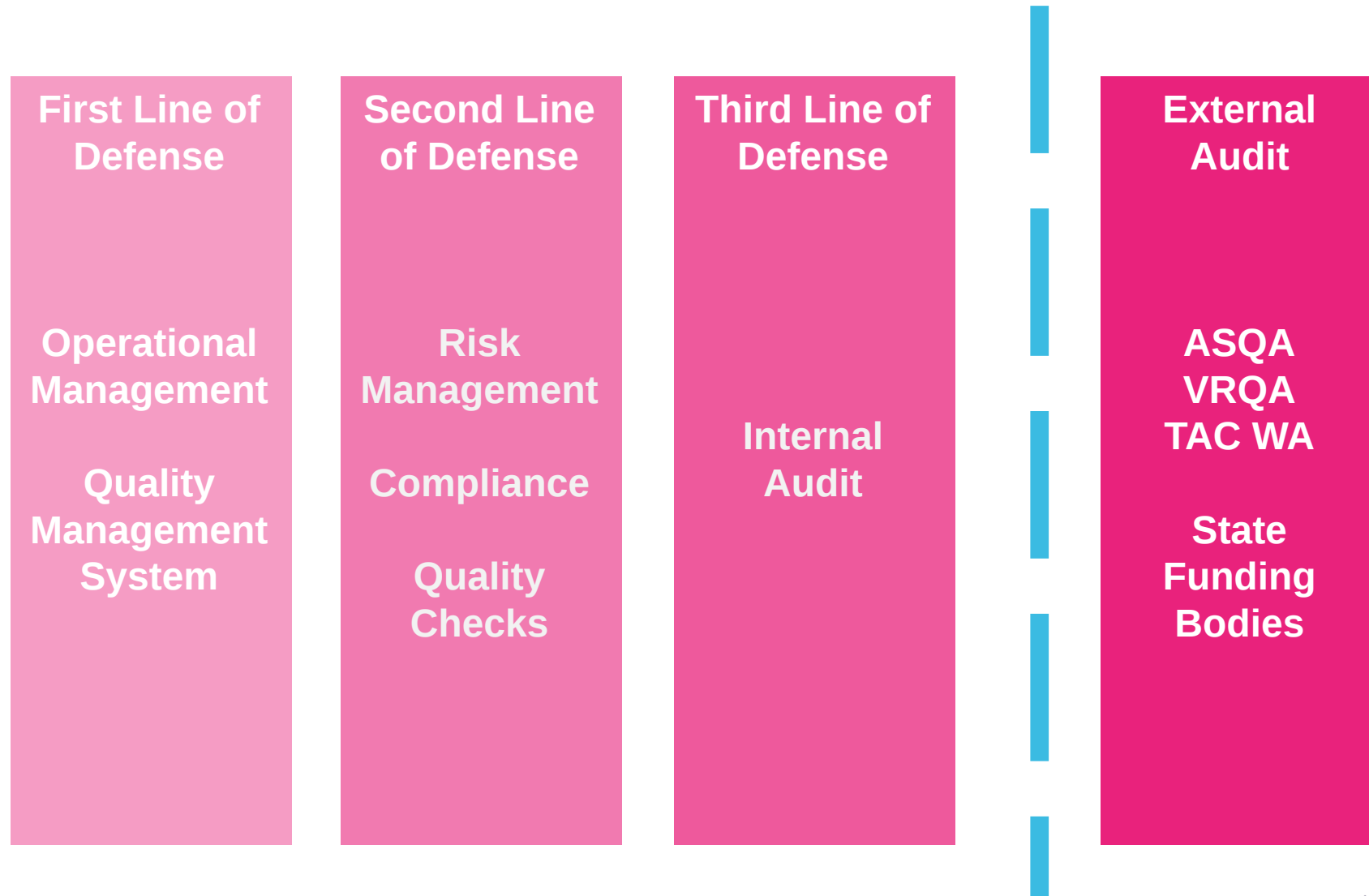
It was only **ONE**
non-compliance !

It was only **ONE**
learner file !

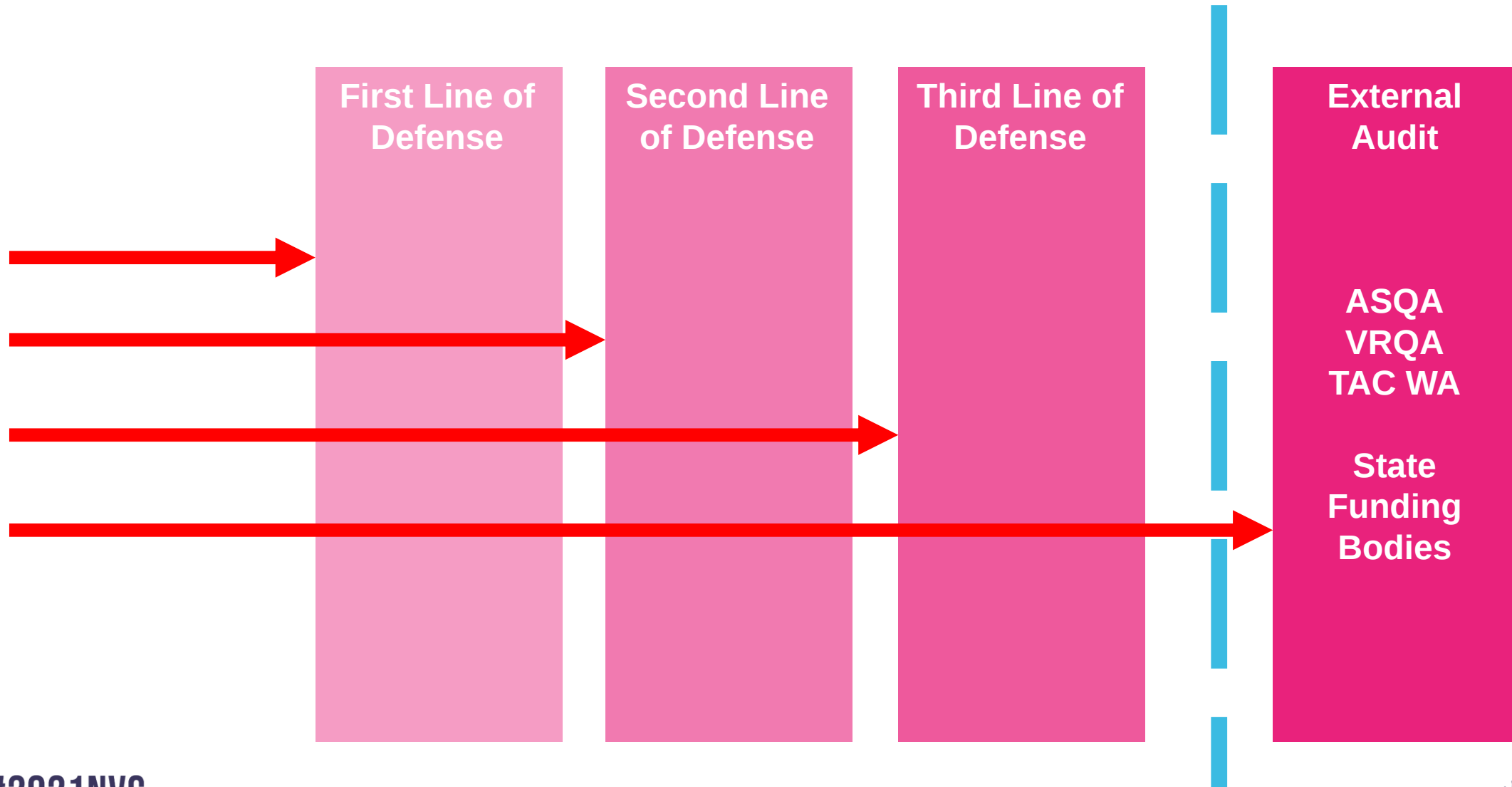
It was only **ONE** word
in the performance
criteria !



Lines of Defense



Lines of Defense



What was the non-compliance....?

What is the system or process which needs to be addressed?

Developing a rectification strategy

Analysis of the non-compliance

- Root cause analysis
- Understanding the control weakness
- Identifying possible impacts
- Analysing actual impacts

Development of rectification plan

- Developing solutions to remediate impact
- Rectifying the non-conformance
- Developing solutions to mitigate future non-conformance

Implement changes

Review the effectiveness of the changes

Undertaking a root cause analysis

“If I had an hour to solve a problem I'd spend 55 minutes thinking about the problem and 5 minutes thinking about solutions.”

-Albert Einstein

Understanding the non-compliance

Addressing the immediate issues following an audit will just put a band-aid on the issue – you need to understand what caused the issue and find ways of preventing it from happening in the future.



What is a root cause analysis?

What is a root cause analysis?

Symptoms
Non-conformance

Root cause of problem
System or control failure



The 5 Whys

After asking yourself '*why?*' five times you will get to the root cause of the problem.

The assessment system was not conducted in accordance with PoA & RoE and was not valid

Why?

The assessment instrument was not used by the assessor as required.

Why?

The assessor didn't think that assessment instrument needed to be used.

Why?

The assessor was not made aware that all assessment instruments needed to be used.

Why?

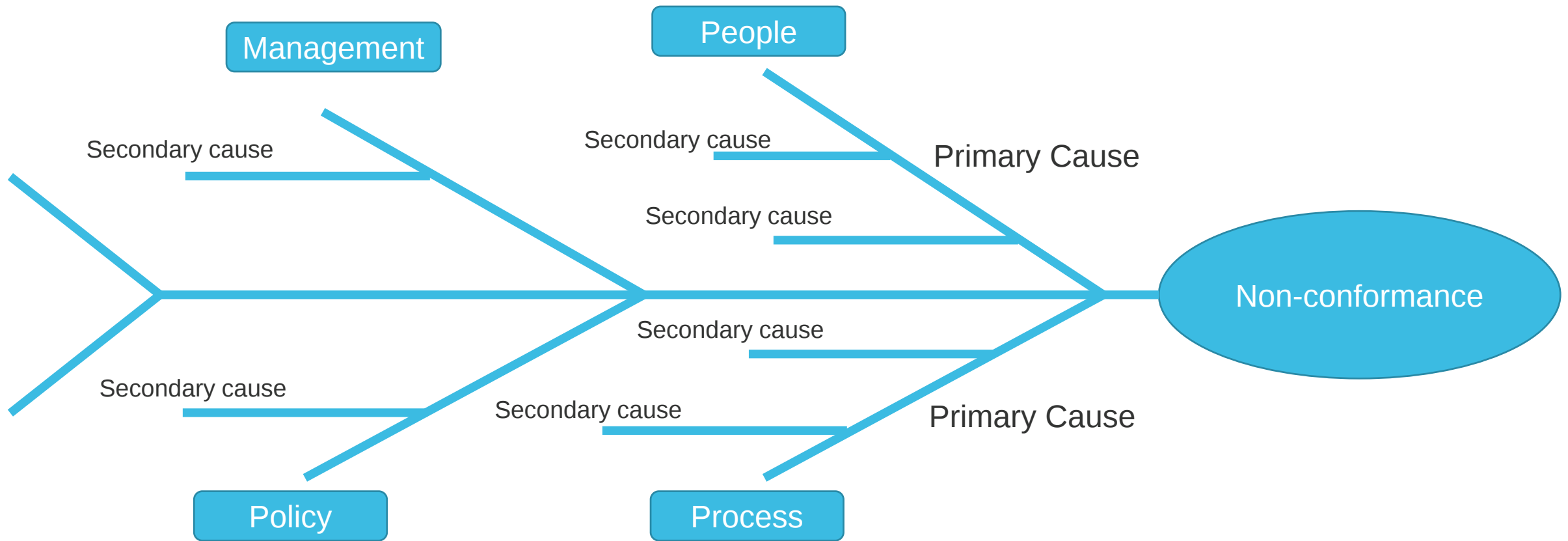
There was no clear instruction provided for assessors.

Why?

The assessor guide wasn't saved in the correct location.

Fishbone Diagrams (Ishikawa Diagrams)

A visual brainstorming tool which assists in identifying potential factors causing the non-conformances.



Determining if similar non-compliances exist

“You are not alone and this is not the end of your story.”

-Unknown

Reviewing the level of non-conformance

Auditing relies on reviewing a **sample of evidence**. It identifies failures in process and controls.

It is up to the auditee to determine if this non-conformance is isolated to this sample, or if there is a **systemic issue** with controls and systems.

Analysing the possible and actual impact on your stakeholders

“Cause and effect, means and end, seed and fruit cannot be severed. Life is a perpetual instruction in cause and effect.”

-Ralph Waldo Emerson

A close-up photograph of a hand in a blue shirt pulling one of the silver spheres of a Newton's cradle. The hand is on the right side of the frame, and the sphere is being pulled towards it. In the background, four other spheres are visible, slightly out of focus. The entire image is overlaid with a semi-transparent purple banner at the top and a white text box at the bottom.

What is the impact of the non-conformance?

What is the impact (actual or possible) that the non-conformance has had on your stakeholders?

If your assessment system was not **valid**, who would be impacted?

If you did not **determine the support needs** of learners, what would be the impact and who would be impacted?

If your trainers and assessors did not maintain **current industry skills** directly relevant to the training and assessment being provided, what would be the impact?

Implementing relevant corrective actions

“There is always space for improvement, no matter how long you've been in the business.”

-Oscar De La Hoya

STABILITY

ACHIEVEMENT

EFFICIENCY

IMPROVEMENT

STRATEGY

SOLUTION



IDEA

TACTICS

KNOWLEDGE

MANAGEMENT

GOAL

SUCCESS

PLAN

VISION

remediation

[ri-mee-dee-ey-shuhn]

[SHOW IPA](#)



noun

- 1 the correction of something bad or defective.

rectification

[rek-tuh-fi-key-shuhn]

[SHOW IPA](#)



See synonyms for: **rectification** / **rectifications** on [Thesaurus.com](#)

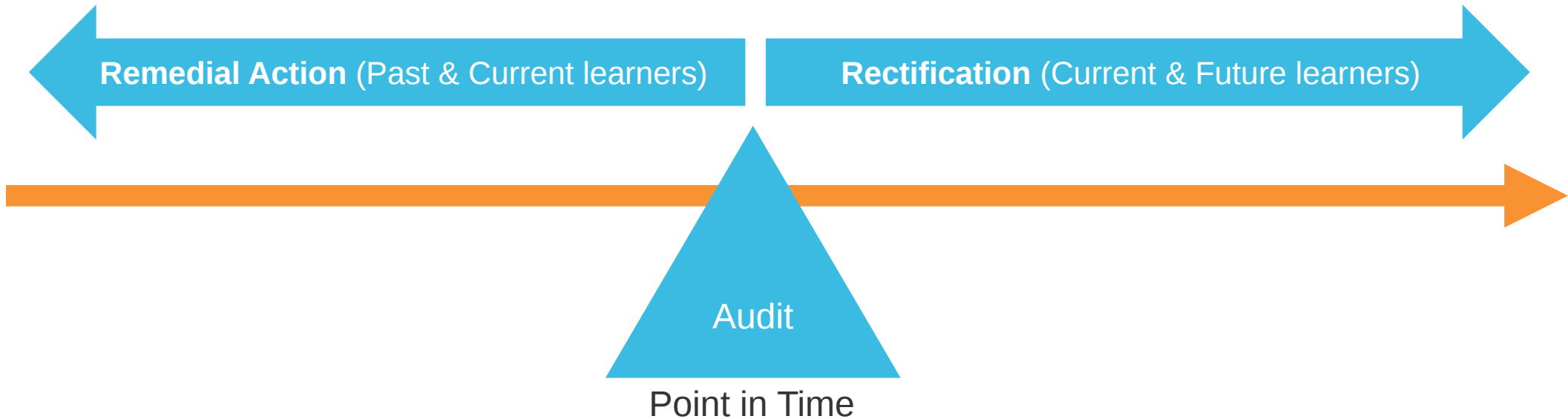
noun

- 1 the act of [rectifying](#), or the fact of being [rectified](#).
- 2 *Astrology*. the method by which the known times of major events in one's life are used to determine an unknown time of birth.

Implementing relevant corrective actions

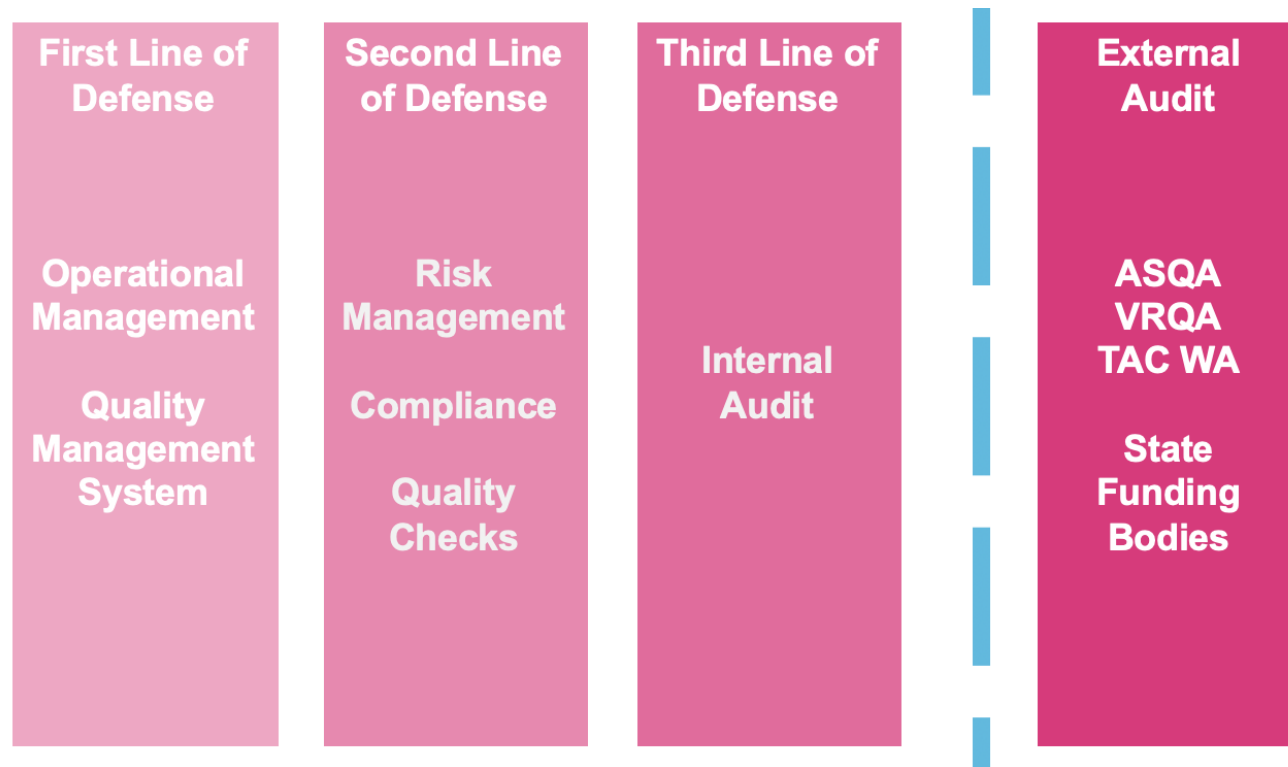
- Where you have identified an impact on your stakeholders, you need to remediate this through corrective action.
- Where there is a non-conformance, you need to improve your systems and processes to ensure it does not occur again in the future.

Remediation and Rectification

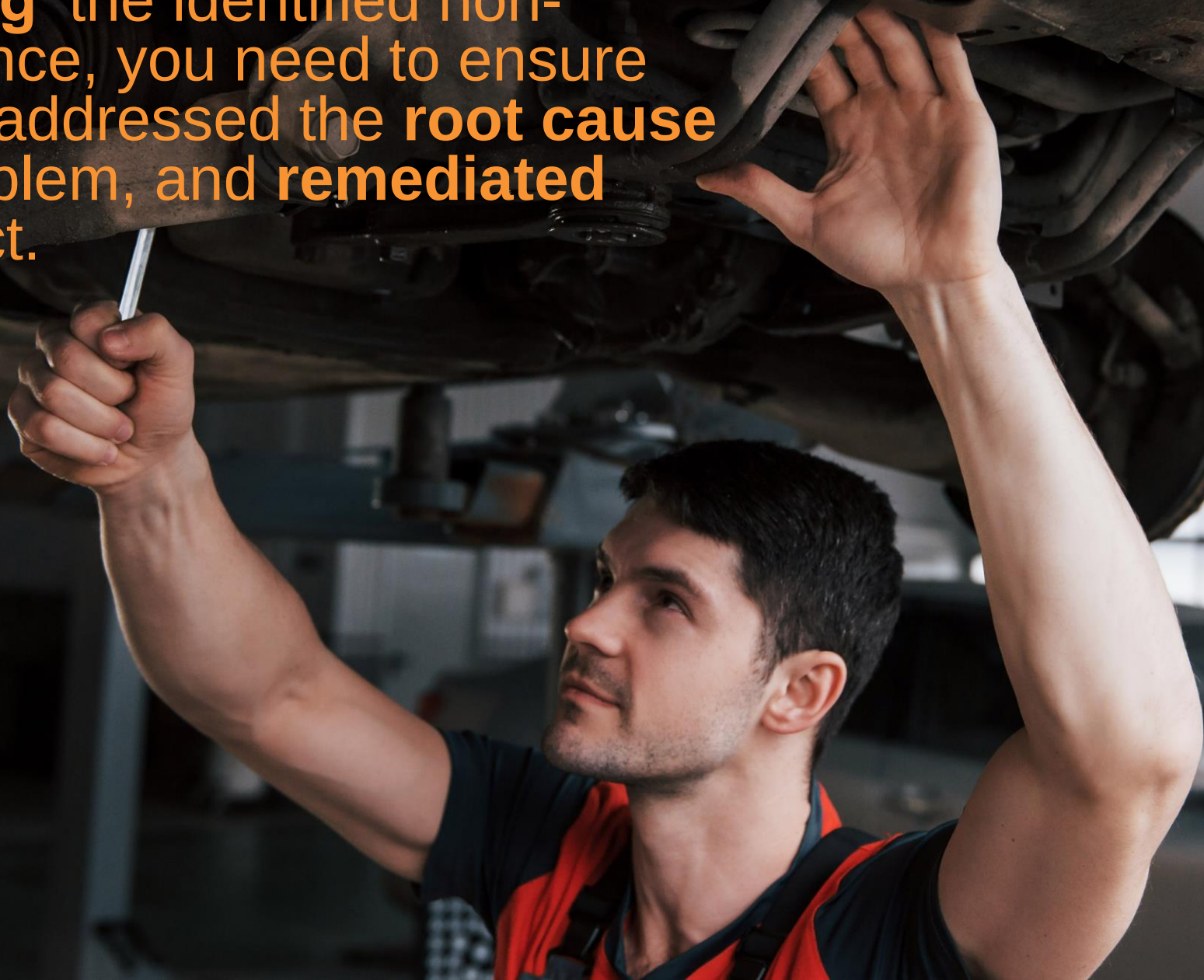


Building a rectification and remediation plan

- Systematically go through the report – clause by clause, determine the root cause of the problem and the impact it may have on your stakeholders, then determine how to most appropriately address the non-conformance.



Rectification should not focus on only **'fixing'** the identified non-conformance, you need to ensure you have addressed the **root cause** of the problem, and **remediated** any impact.



Reviewing and monitoring the corrective actions

“Without reflection, we go blindly on our way, creating more unintended consequences, and failing to achieve anything useful.”

-Margaret J. Wheatley

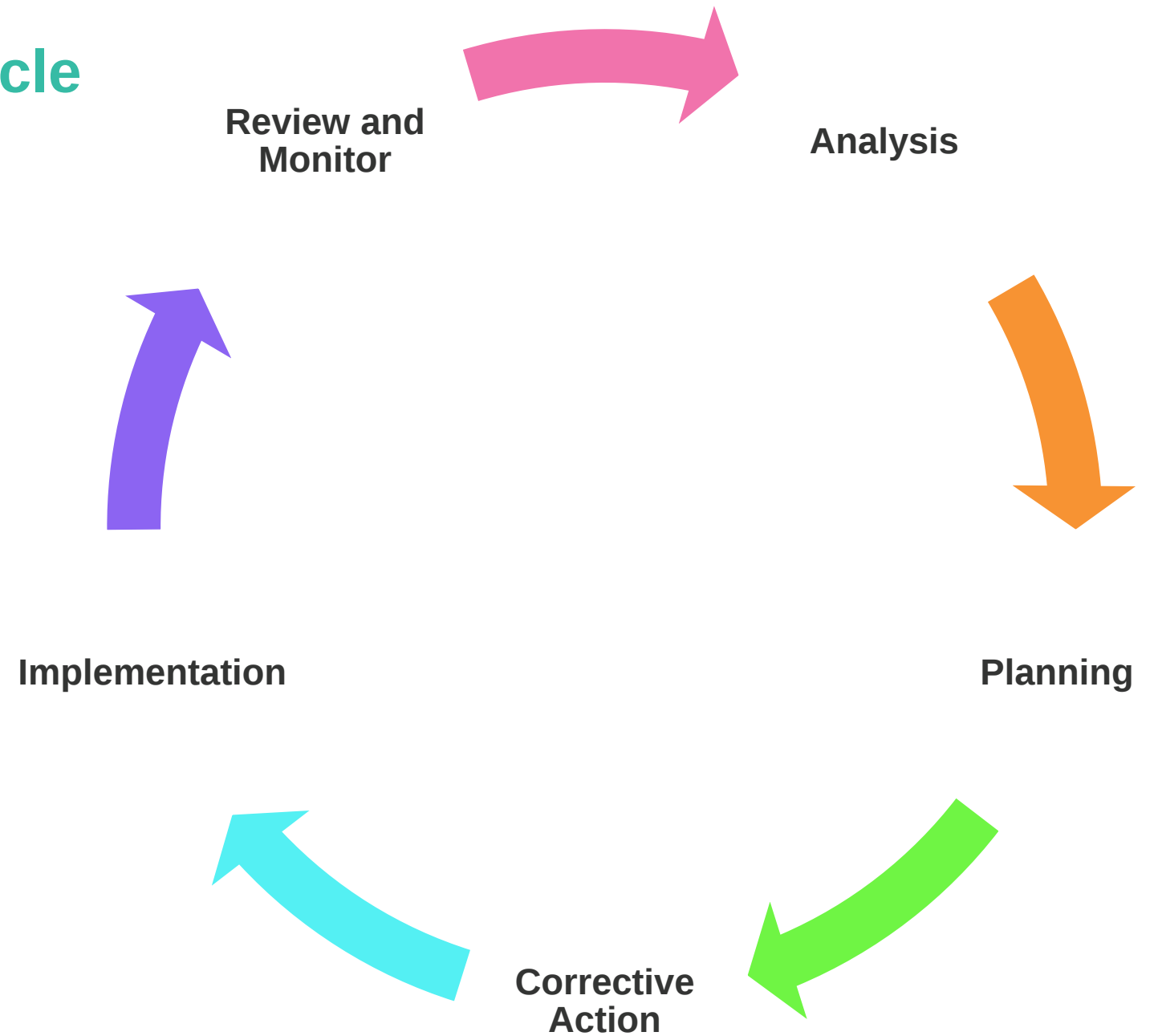
**Once the changes
have been
implemented, we
need to ensure
they have been
effective and meet
the objectives.**

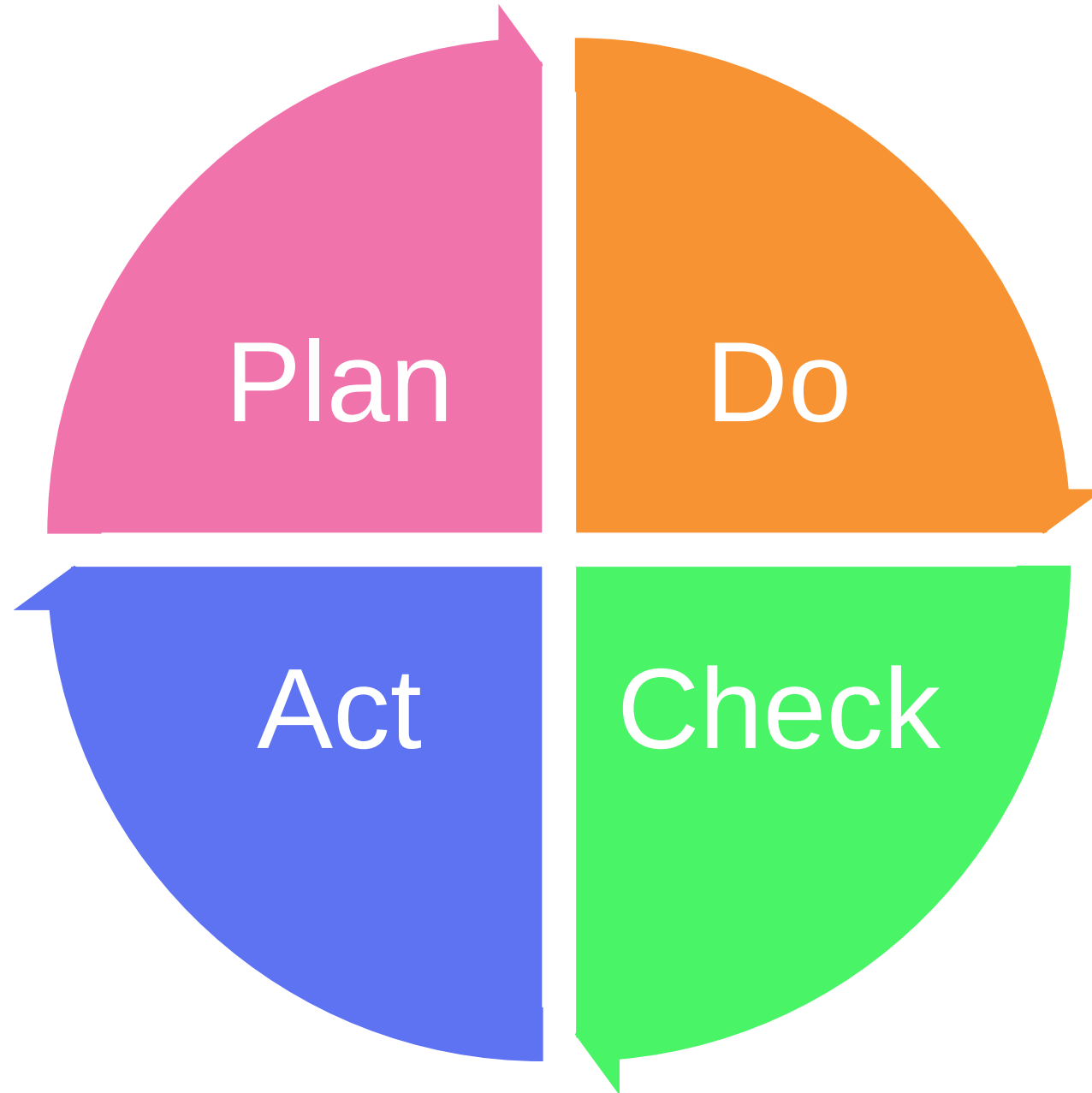


Build the review into your rectification plans or continuous improvement strategies.

The rectification and response to your audit is not the end – continuous improvement and review is essential.

Continuous Improvement Cycle





WHAT WE HAVE COVERED...





THANK YOU FOR YOUR COMPANY

We really hope you enjoyed engaging with Kevin Ekendahl today.

If you have any queries or feedback relating to today's topic, or any general questions regarding your role within the VET sector, do not hesitate to contact the team at Velg Training.

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COMING UP **NEXT:**

3.30 - 5.00PM



vision for the future

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