

The purpose of this weekly audit is to mitigate and eventually eliminate the risk of any compliance breach occurring in IQY 's PRISMS data.

This ensures IQY's compliance with Clause 8.5 under Standard 8 of Standards for Registered Training Organisations 2015. This internal audit process also aims to reinforce IQY's compliance with the ESOS Act 2000.

Notes:

1. The form is to be completed and submitted by a designated staff member only.
2. Please generate relevant reports from PRISMS (PRISMS Export), if necessary. The reports should be on the same date as this audit activity. You may attach the reports to this form if any issues are identified.
3. Please review the PRISMS reports and data CAREFULLY to provide your responses below.
4. If a large number of CoEs are identified with issues, you may provide details (including the CoE Codes identified with issues) by writing them in a separate Word file and attaching the file to this form.
5. Alternatively, you can use the additional comments box below to outline those issues (including the respective CoE Codes), if any.

| | |
|---|--|
| This audit was performed by: | |
| Role of the Auditor in the Organisation: | |
| Audit Date: | |

Internal Activity Goals:

| Considerations | Yes | No | If yes, provide details (including the CoE Codes identified with issues) |
|---|-----|----|--|
| Is there any CoE that didn't commence study within 14 days of the Course Start Date? | | | |
| Is there any CoE that didn't commence but was NOT reported in PRISMS within 19 days? | | | |
| Is there any CoE that was deferred but NOT reported in PRISMS within 19 days? | | | |
| Is there any CoE that was suspended but NOT reported in PRISMS within 31 days? | | | |
| Are there any instances of CoE suspension, change of course or withdrawal/cancellation where the gap between the student's last day of study and the SCV/reporting date is more than 31 days? | | | |
| Are there any instances of deferment or suspension without valid reasons/comments mentioned? | | | |

| | | |
|--|--|--|
| | | |
|--|--|--|

| Considerations | Yes | No | If yes, provide details (including the CoE Codes identified with issues) |
|---|-----|----|--|
| <p>Is there any CoE with a DHA update or notification requiring further action that remains unresolved for more than 19 days from the DHA notification date?</p> <p>Is there any instance of CoE cancellation occurring after the Course End Date?</p> <p>In this audit's duration, is there any CoE reported by PRISM's Course Duration Comparison report?</p> <p>Is there any CoE that involved a suspension, course change, withdrawal, or cancellation where the gap between the Date of Termination (or Change), the student's last day of study, and the SCV date exceeded 31 days?</p> | | | |
| <p>Is there any CoE for the same course, pertaining to a single student, that remains in multiple "Enrolled" statuses at the same time?</p> <p>Is there any CoE for the same course, pertaining to a single student, where there is a gap between the two CoEs (i.e., the second CoE does not immediately follow the first CoE's end date)?</p> | | | |
| <p>Additional Comments (if any)</p> | | | |
| <p>Attached relevant report/s or documents</p> | | | |
| <p>Summary: Did the audit identify any instances of compliance breaches in PRISMS data?</p> <p>Yes (please explain in the comment section above) No</p> | | | |
| <p>Name:</p> <p>Signature:</p> <p>Date:</p> | | | |