

How to get started on the ALC

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1. Post audit assessments

? How do I create a new post audit assessment?

After you have completed an audit or group of audits, go to [My Assessments](#) and click **create new assessment**. You will need to give the post audit assessment a name, input the relevant dates for the audit and other details and work through the form, assessing your performance against the [Audit Skills Framework](#) categories.

When you have completed the self-assessment element, you can alert the manager who worked with you on the audit, so that they can complete their assessment of your audit performance. Until you have alerted the manager, the status of the audit will be shown as 'Not submitted'.

? How can I view my previous post audit assessments?

All previous post audit assessments appear in [My Assessments](#). This page also shows whether the assessment has been submitted to the manager who worked with you on the audit, and whether they have approved it. Once an assessment has been approved by the manager you will not be able to make any further changes.

? How do I approve a post audit assessment for a team member?

You can manage and approve the post audit assessments of your team members in [Team Management](#). To start the post audit assessment process, the individual team member needs to create and complete a self-assessment of their performance during the audit. As a manager you should assess their audit performance and once you have completed this assessment, your score will be used to provide indicators in the appraisal process.

To get started, click on the relevant post audit assessment in the listing in [Team Management](#). You will be taken into the assessment record and will be able to complete your sections of the form. The current status - 'Approved' or 'For Approval' - is shown next to each audit depending on whether you, as the manager have completed your assessment.

2. Appraisals

? How do I create an appraisal?

An appraisal can only be created by a user who has 'Appraiser' status (i.e. a permanent line manager). Once your Appraiser has created your appraisal you can access it by clicking on [My Appraisals](#).

If you are an Appraiser you can create and manage appraisals for team members in [Team Management](#). To undertake the appraisal process, as an Appraiser, you should sit down with an individual team member and discuss their performance as you complete the online appraisal form together. To get started, click on **create new appraisal**, and choose the team member from the list. You can also access past appraisals of team members from this area.

? **How can I view my previous appraisals?**

All your previous appraisal records appear in [My Appraisals](#). Just click on the relevant appraisal record to view. If you are an Appraiser you can view the previous appraisals of your team members in [Team Management](#).

3. **Audit learning**

? **How do I create and follow an audit learning plan?**

To create an audit learning plan go to [Review My Needs](#) and click on each of the tabs entitled 'Me', 'My Job', 'My Work Environment' filling in each of the relevant forms as you go. This review of your learning needs should be informed by your last appraisal.

When you have reviewed your learning needs, the process then moves to [Set My Learning Objectives](#) where you select the categories of the [Audit Skills Framework](#) which were highlighted for improvement in your last appraisal.

Setting your learning objectives feeds into [My Audit Learning Plan](#) where you can search for learning resources to add to your plan using a custom search engine. You can also explore the [CIPFA Knowledge Base](#) to identify learning materials to add to your plan.

? **How do I find information to add to my audit learning plan?**

There are three main ways to find information to add to your audit learning plan. You can:

- (1) use the [custom search engine](#);
- (2) explore the [CIPFA Knowledge Base](#);
- (3) [add your own learning materials](#) to your plan.

All information in the knowledge base is organised according to the [Audit Skills Framework](#) categories. Once you have found information, you can add it to your audit learning plan. After that you can access it directly from your audit learning plan at any time.

4. **User administration**

? **How do I update my login details?**

You can amend your login details by clicking on [My Profile](#), and then either **Edit My Profile** or **Change Password**. To amend the details currently held, click on the pencil icon which appears alongside each entry.

? **How do I add/remove ALC users?**

An organisation's nominated administrator(s) can click on [User Administration](#) and add a user under **Add User to**. To remove a user, click on **Remove**. If you are not a nominated administrator, the User Administration button will not be clickable.

? **How do I set up a manager or administrator?**

An organisation's nominated administrator(s) can click on [User Administration](#), where an organisation's ALC users are listed. Here an administrator can set up an individual user as a manager – meaning they can manage the post audit assessments and appraisals of another team member, or an administrator – meaning they can access and make amendments in the [User Administration](#) area. To set up a user as a manager or an administrator, select 'Yes' from the relevant drop-down. You can change this at any time by selecting 'No' in this field.

Also in this area, an administrator can amend the inter-relationship between team members by making changes to the drop-down **Appraiser** field. This tool dictates who appraises – or permanently line manages - whom in the team.

? **How do I decide and set an auditor's 'Grade'?**

It is important that for the purpose of post audit assessments and appraisals that you apply a grade to each auditor using the ALC, in order that both auditor and manager can undertake post

audit assessments and appraisals based on realistic expectations. Use the drop down list to select one of the following auditor grades:

- **Trainee Auditor** - New starter with minimal experience of the audit profession (0-6 months). Likely to be undertaking a professional qualification.
- **Auditor** - Able to follow a testing strategy with minimal supervision. Knowledge of a variety of types of audit and experienced in undertaking testing programmes.
- **Lead Auditor** - Able to undertake a wide range of types of audits. Skilled at evaluating systems of controls and determining appropriate testing strategies. Able to manage staff and ensure they can provide high-quality output.
- **Audit Manager** - Significant audit experience. Skilled at evaluating systems of controls and determining appropriate testing strategies. Able to lead a team of staff and monitor the production of a quality output.
- **Senior Audit Manager** - Significant audit experience. Manages a variety of teams led by Lead Auditor/Audit Managers. Plans and co-ordinates the work of the unit, and ensures it meets the required quality standards.
- **Head of Audit** - Highly experienced. Seen as a figure of influence both to the internal audit unit and to the wider external environment.

Smaller units will probably have fewer than the above six roles/levels, and can select the descriptions appropriate to their size and structure.

? **How do I upload my organisation's documents for reference on the ALC?**

To upload key audit documents that team members in your organisation need to be able to access, go to [My Organisation Content](#), and you can upload additional documents. You can also access the documents uploaded by your organisation on this page. A document can only be deleted from this area by the user who uploaded it.

? **How do I add a RSS feed?**

Click on [My RSS](#) to add news feeds to your personalised homepage. You can delete any of the RSS feeds by clicking on the red cross which appears alongside each link.