

Responding to NDIS Audits: A Complete Compliance Checklist



The National Disability Insurance Scheme (NDIS) is a key Australian Government program that provides funding and support to individuals with disability, enabling them to exercise greater choice and control and to live more independently.

Registered NDIS providers are required to comply with the NDIS Practice Standards to ensure the delivery of safe, high-quality, and person-centred supports. Demonstrating compliance is essential not only to meet legislative obligations but also to maintain registration with the NDIS Quality and Safeguards Commission.

This document presents a comprehensive checklist to assist providers in preparing for an NDIS audit. It outlines the key requirements, processes, and evidence expected during the audit process, thereby supporting providers to maintain ongoing compliance and uphold the quality of their services.

Introduction to the NDIS Audit

An NDIS audit is a formal assessment process undertaken to determine whether a registered NDIS provider complies with the NDIS Practice Standards. These standards establish the quality and safety benchmarks that all providers must meet to ensure participants receive high-quality, person-centred supports and services.

An audit is required when an organisation applies for initial NDIS registration or seeks to renew its existing registration. The process is conducted by an NDIS-approved auditor and involves a comprehensive examination of the provider's governance systems, policies, procedures, and service delivery practices. The audit findings inform the NDIS Quality and Safeguards Commission's decision regarding the provider's registration status.

Categories of NDIS Audits

There are two primary types of audits conducted under the NDIS framework:

1. **Verification Audit:** This audit applies to providers delivering lower-risk, less complex supports. The focus is primarily on reviewing documentation and records.
2. **Certification Audit:** This audit pertains to providers offering higher-risk, more complex supports. It entails a thorough evaluation, including site inspections and interviews with staff and participants.

NDIS Audit Compliance Checklist

Preparation for an NDIS audit requires that your organisation demonstrates compliance with all applicable standards and maintains the necessary documentation. The following comprehensive checklist is provided to assist you throughout this process:

1. Governance and Operational Management

- **Review NDIS Practice Standards:** Ensure thorough familiarity with the most current NDIS Practice Standards and Quality Indicators relevant to your organisation. Confirm that all operational activities comply with these standards.
- **Policies and Procedures:** Maintain comprehensive, well-documented policies and procedures encompassing all facets of service delivery, staff conduct, incident management, and participant rights. Verify that all documentation is current and aligned with NDIS requirements.
- **Risk Management Plan:** Develop and implement a robust risk management plan that identifies potential risks and outlines appropriate mitigation strategies.
- **Continuous Improvement:** Establish and sustain a continuous improvement framework, including systematic review and updating of policies, practices, and service delivery methods.
- **Staff Training and Development:** Ensure all personnel receive appropriate training on NDIS policies and procedures, as well as their responsibilities in upholding compliance and service quality. Keep accurate records of staff qualifications, training, and professional development activities.

2. Provision of Supports

- **Service Agreements:** Ensure written service agreements are established with participants, clearly outlining the services provided, associated costs, and the rights and responsibilities of all parties.
- **Participant Records:** Maintain comprehensive and accurate records for each participant, including support plans, progress notes, and incident reports.
- **Feedback and Complaints:** Implement a formal process for receiving, managing, and resolving feedback and complaints from participants, staff, and other stakeholders.
- **Privacy and Confidentiality:** Ensure participant information is stored securely and managed in accordance with applicable privacy legislation and best practice standards.

3. Provision of Support Environment

- **Safe and Accessible Environment:** Ensure that the premises and environments in which supports are delivered are safe, accessible, and appropriate for all participants.
- **Emergency Procedures:** Develop, document, and communicate emergency response procedures to all staff and participants to ensure preparedness and safety.
- **Participant Rights:** Ensure that participants are informed of their rights and responsibilities, and that these are upheld and respected at all times.

4. Support Provision Environment

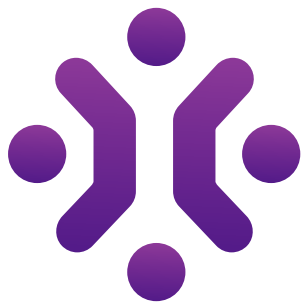
- **Work Health and Safety:** Maintain a safe working environment for both staff and participants by conducting regular safety audits and comprehensive risk assessments.
- **Incident Management:** Establish and maintain an incident management system to accurately record, report, and address all incidents in a timely and effective manner.
- **Service Delivery:** Ensure that all services are delivered in accordance with the terms of the service agreement and comply fully with the NDIS Practice Standards.

5. Verification and Certification Requirements

- **Evidence Collection:** Compile comprehensive evidence to demonstrate compliance with the NDIS Practice Standards.
- **Self-Assessment:** Perform a thorough self-assessment to identify potential non-compliance areas and implement appropriate corrective actions.
- **Documentation:** Systematically organise and maintain all requisite documentation, including policies, procedures, participant records, and staff files.

6. Audit Preparation

- **Engage with an Approved Auditor:** Liaise with an NDIS-approved auditor to arrange the scheduling of your audit.
- **Staff Preparation:** Ensure staff are adequately prepared for the audit process by providing clear information regarding expectations and appropriate interactions with the auditor.
- **Site Readiness:** Verify that all locations where services are delivered are prepared for inspection, maintaining cleanliness and organisation.
- **Participant Involvement:** Notify participants of the upcoming audit and obtain their informed consent for any required involvement during the process.



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