

GoodHuman

The NDIS Audit Checklist



The NDIS Provider's Guide to Becoming Audit-Proof

How long does it currently take your organisation to prepare for an audit? Who are the stakeholders involved? Assemble a team of people regularly involved in your audit processes to review and improve your organisation's approach.

STEP 1: AUDIT YOUR AUDITING PROCESSES

With your audit team, review where data is collected and stored. Remember to include how this data is located and reviewed during an audit.

List all the places where customer data is currently recorded and stored. Include CMS tools, invoicing, rostering and office tools (e.g. spreadsheets, paper records).

What is the process for finding and linking information to customer profiles?

What is the current process for addressing compliance issues and non-conformity ratings?

What technology do you have in place to link customer information (if any)?

Where are the gaps in your data that need to be addressed?

STEP 2: DETERMINING WHAT YOU NEED TO BECOME AUDIT-PROOF

With your audit team in place, ask and review the following systems and procedures for record keeping within your operation.

Looking at processes, consider what needs to happen for a team member to enter data correctly and ensure it is received appropriately at head office.

You should review the way the data is collected for:

- Service delivery:** How is data tracked for customer services delivered including line items on approved customer plans, complexity of care, checking in and out of shifts?
- Customer outcomes:** How do you track and evidence progression towards goals? Where is this information stored and who can access it?
- NDIS invoicing:** How are invoices processed and linked to approved customer plans? How do you provide proof of services billed and delivered?
- Incident reports:** What is the reporting workflow for general incidents, accidents, health events, assault, and fatal incidents?
- Support coordination:** How is customer data recorded and stored? Is this information secure?
- Team member qualifications:** How do you track team member certifications to ensure no one is sent to jobs without required checks in place?

With your team, consider the procedures that need to be followed to ensure compliance is maintained at all times within your operation. What do you need to get there? Review purpose-built technology solutions and staff training to build a plan for getting compliance ingrained in your daily operation.

STEP 3: CREATING A CULTURE OF COMPLIANCE & ACCOUNTABILITY

Compliance is more than record-keeping alone. It may require a behaviour shift for many team members. This is where it's helpful to build a culture of accountability and compliance.

Review **The NDIS Leadership Playbook** for inspiration and actionable advice from two NDIS Providers who are challenging outdated practices and procedures to run more efficient and innovative organisations. Come back to this checklist and note down which actions apply to your organisation and how you could start this process today.

Processes to review and update:

NDIS software to review and update:

