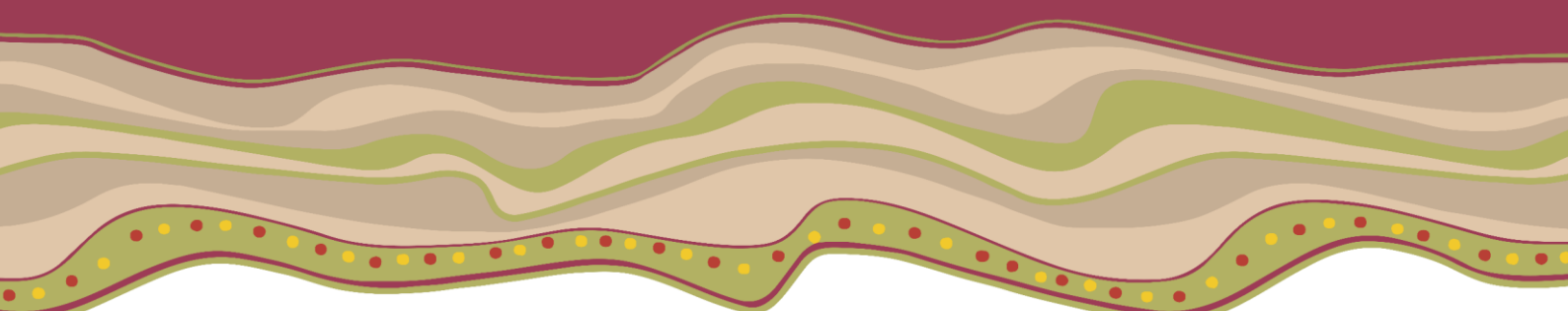


Scheme Requirements

National Disability Insurance Scheme

Approved Quality Auditor requirements (NDIS)

Verification audits



Scheme Requirements

NDIS Practice Standards - Verification

Approved Quality Auditor

Governing requirements

HDAA Australia Pty Ltd has been appointed by the National Disability Insurance Scheme Quality and Safeguards Commission as an Approved Quality Auditor to conduct verification and certification audits in line with the NDIS rules for provider verification and certification. A condition of our approval as a Quality Auditor is that we are required to strictly adhere to the [National Disability Insurance Scheme \(Approved Quality Auditors Scheme\) Guidelines 2018](#) (the Guidelines). Consequently, the following Service Agreement has been determined with reference to the requirements of the Guidelines. The Guidelines require that for verification the audit is completed as a desk-top (off-site) audit and for certification audit that this is completed on-site.

In completing this Audit Agreement proposal, we have relied solely on the Initial Scope of Audit document you have provided to us. If any changes are made to the Initial Scope of Audit which may in turn also result in a change to the audit process (including duration), we may provide you with a variation to this Agreement in response to the change of scope. We will provide a service description form to reconfirm the scope of audit prior to the assessment. Where the scope differs from your Initial Scope of Audit document this proposal may be varied (increased or reduced in accordance with the changes to your organisation and the Guidelines requirements).

Name of guiding documents

In providing verification and certification services to providers of NDIS, HDAA is required to adhere to the [National Disability Insurance Scheme \(Approved Quality Auditors Scheme\) Guidelines 2018](#). The following Schedule provides a summary of this information and the reader should refer to the legislative instrument for full details of the Scheme. The “National Disability Insurance Scheme (Quality Indicators) Guidelines 2018” set out indicators and other matters that need to be considered when assessing compliance with the NDIS Practice Standards. Further detail should be accessed in the documents described above.

Standards to be assessed

In conducting a verification audit, the applicable NDIS Practice Standards to be assessed are:

- a) Schedule 8 of the National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018 for provider verification; and
- b) Part 2 of the National Disability Insurance Scheme (Practice Standards-Worker Screening) Rules for provider certification and verification.

Process requirements

Code of conduct

In providing audit services we will adhere to “Annex A – Code of Conduct for Approved Quality Auditors” set out in the “National Disability Insurance Scheme (Approved Quality Auditors Scheme) Guidelines 2018. As required by our Deed Poll, clause 5 with JAS-ANZ and the NDIS Commission, HDAA has a procedure for handling whistleblowing with respect to alleged abuse or harm related to HDAA verified NDIS providers. The process includes mechanisms to support and protect whistle-blowers, and engage with relevant authorities to investigate issues raised. Service providers are required to advise personnel in the organisation of the opportunity to contact HDAA in such situations.

Application for audit

On signing this agreement, you agree to provide us with the Application Reference Number provided to you by the NDIS Commission so that we can use this to access the relevant sections of your NDIS provider record on the NDIS Commission’s system.

Prior to conducting verification audits, we shall review the **Initial scope of Audit** document to confirm:

- a) the range of registration groups selected to provide reflects actual or intended services provided;
- b) types of participants receiving services, including disability type, age groups, diversity factors such as whether a participant is indigenous or culturally and linguistically diverse;
- c) geographic coverage of services provided;
- d) location and number of sites where supports are provided or coordinated;
- e) number of participants; and
- f) number of workers providing services to participants.

Should an update of your record on the Commission's system be required to accurately reflect the scope of audit we may ask that you make the relevant updates and any change in the scope of the audit may impact upon the time of the audit and or its cost.

Audit program

The verification audit includes those activities in a stage one certification audit. The verification audit is an off-site audit unless it is more cost-effective to conduct an on-site verification audit. The verification audit includes a review of:

- a) The self-assessment completed by you, associated documents provided by you, and information available through the NDIS application record accessed in the NDIS Commission's system;
- b) Any improvement actions, if applicable; and
- c) Any additional requirements raised by the NDIS Commission.

The initial Verification cycle is for three years and begins on the registration approval date. Verification audit occurs once every three years.

Audit type and process

Unless otherwise confirmed, the Verification Audit will include an off-site audit that reviews:

- a) the self-assessment responses completed by you as part of the registration application, or registration renewal process and associated documents submitted by you and available through the NDIS provider's application record on the Commission's system;
- b) any prior NDIS provider certification or verification outcome, corrective actions and audit report; and
- c) any additional requirements raised by the Commission.

A Verification Audit is usually conducted off-site or where cost effective on-site where prior written agreement to the audit being conducted on-site has been made.

The Verification Audit will:

- a) state whether the documents and information provided for audit were sufficient to meet the requirements of the relevant modules (or parts) of the NDIS Practice Standards;
- b) identify your registration groups to be included in the audit;
- c) key personnel involved in the audit,
- d) number of participants, and
- e) how key personnel and participants are best involved in the audit.

Verification Audit findings shall be reported in line with the requirements of subsection 16(6) of the Guidelines.

If the Verification Audit determines that your service is unlikely to be suitably prepared, we shall inform you and also inform the Commission using the Commission's system conditional on the identified non-conformities being corrected.

Reverification

Reverification shall occur every 3 years and include a desk top review of a new self-assessment and supporting evidence uploaded in the Commissions System.

Ratings (Findings)

In assessing the requirements of the Scheme, we shall adhere to the ratings of attainment as set out in the *Approved Quality Auditors Scheme*. Where improvements are identified these will be followed up to ensure satisfactory progress is made within the required timeframes. We shall conduct follow-up in a cost-effective manner that ensures that improvement actions have been properly downgraded or closed within the required timeframes. Follow-up may entail a desktop review of documentation or other review process as we determine. If any major non-conformance is identified we will specify time limits for correction and corrective actions.

Timeframes

We shall adhere to “*Annex C – Timeframe for correcting non-conformities*” when determining timeframes for responding to any identified improvement noting that *the Approved Quality Auditors Scheme* requires that you present a corrective action plan to us within seven calendar days of written notification of the improvement action.