Audit Checklist

6 months before:

- *Start self-assessment*
- *Short-list auditors who may be suitable for your organisation*
- *Start review of policies and procedures*
- *Assign tasks and responsibilities*

3 months before:

- *Select and engage an auditor*

2 months before:

- *Complete self-assessment*

1 month before:

- *Inform participants of the audit, what to expect, and their rights*

Essential audit documentation checklist

- *Risk Management Policy and Procedure*
- *Risk Register*
- *Continuous Improvement Policy and Procedure*
- *Continuous Improvement Register*
- *Incident Management Policy and Procedure*
- *Incident Register*
- *Complaint Management Policy and Procedure*
- *Complaints and Feedback Register*
- *Occupational Health and Safety Policy and Procedure*
- *Conflict of Interest Policy and Procedure*
- *Human Resources Register (with NDIS Worker Screening Check evidence)*
- *Training Register*
- *Privacy and Information Management Policy and Procedure*
- *Service Agreements for all participants*
- *Senior Team/Board Meeting Minutes*
- *Governance documents*

Please note: further documents may be required depending on the size, scale and scope of your organisation.