

# Demystifying the Audit Process

## Participant Workbook



Western Australian Association  
for Mental Health

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Western Australian Association for Mental Health (WAAMH)  
PO Box 8482  
Perth WA 6849

T: +61 8 6246 3000  
E: [info@waamh.org.au](mailto:info@waamh.org.au)  
W: [waamh.org.au](http://waamh.org.au)

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Government of **Western Australia**  
Department of **Communities**

## Acknowledgements

WAAMH acknowledges the Whadjuk Noongar people as the original custodians of the land on which this resource was developed and other Aboriginal Nations around Western Australia.

We pay our respects to their Elders past, present and future.

We also acknowledge the essential contribution made by people with a living or lived experience of mental health issues. We recognise the generosity, courage and resilience of those who share this unique perspective for the purpose of learning and growing together and working towards better outcomes for all.

## About WAAMH

The Western Australian Association for Mental Health (WAAMH) is the peak body of the community-managed mental health sector in Western Australia, with more than 150 members.

Community-managed organisations provide a critical network of services that support people affected by mental illness and their families and help them live valued lives in their community.

WAAMH has been engaged in the mental health sector for more than 50 years. We advocate for effective public policy on mental health issues, deliver workforce training and sector development, and promote positive attitudes to mental health.

## About the WAAMH NDIS Quality and Safeguards Sector Readiness Project

WAAMH is funded by the Department of Communities to deliver a project to support the capacity building of Western Australian psychosocial disability service providers to operate in compliance with the NDIS QSC requirements. Western Australia came under the jurisdiction of the NDIS Quality & Safeguards Commission (NDIS Commission) on 1 December 2020. This aligned WA with the other states and territories in a nationally consistent approach to the provision of quality and safe disability services in Australia. All service providers who wish to deliver NDIS supports must comply with the requirements put in place by the NDIS Commission.

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## Overview

- NDIS Context
- What is involved in an audit?
- Steps in the process
- Self- assessments
- Selecting an auditor
- Compliance



## Notes

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## Setting the scene

- Comply with NDIS Code of Conduct and Practice Standards
- Complaints system, and support to make a complaint
- Incident management system - notify of reportable incidents
- Comply with the worker screening requirements
- Meet behaviour support requirements, including reporting restrictive practices
- Comply with any additional conditions by NDIS Commission
- Notify Commission of changes/events affecting registration



<https://www.ndiscommission.gov.au/sites/default/files/documents/2020-11/intro-provider-registration-ov-december-2020.pdf>

## Notes

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## Online Self-Assessment

- Gaps analysis sent to NDIS to determine scope of audit
- Registration groups
- Audit pathway: certification or verification
- What modules of Practices Standards you need to comply with
- It acts as an initial guide for auditors
- Are you meeting the minimum requirements
- Do you understand the specific requirements that you are responding to

## Notes

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## Online Self-Assessment Timeline

- ✓ Begin self-assessment up to six months before renewal date
- ✓ Complete self-assessment within 60 days of commencement
- ✓ Submit online self-assessment before renewal date
- ✓ Scope of Audit provided in response to self-assessment
- ✓ Engage with preferred auditors to get quote and secure auditor
- ✓ Complete process before date in certificate of registration

## Notes

[illegible]

# What is an audit?

- Completed NDIS training and authorised by NDIS Quality and Safeguards Commission to undertake NDIS Audits
- Comply with NDIS rules for Auditors
- Provides assurance you are an appropriate and fit organisation to provide services in terms of Quality and Safeguarding
- Assess terms of registration
- Response to NDIS Practice Standards



<https://www.ndiscommission.gov.au/resources/ndis-provider-register-and-compliance-and-enforcement/auditors>

## Notes

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## NDIS auditors

- Completed accredited specialist training
- Comply with National Disability Insurance Scheme (Approved Quality Auditors Scheme) Guidelines 2018



<https://www.ndiscommission.gov.au/resources/ndis-provider-register-and-compliance-and-enforcement/auditors>

<https://www.legislation.gov.au/Details/F2020C00100>

## Notes

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Shortlist auditors some months before you need them

Create a word doc to paste into your self - assessment so you can keep a copy

WAAMH guide is great resource for gaps analysis

## Notes

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## Verification Audit



- Low risk supports
- Document-based
- Every three years
- Mainly sole providers and small organisations



<https://www.ndiscommission.gov.au/document/1051>

## Notes

[illegible]

## Reflection Questions

1. Do you know what kind of audit you need to undertake?
2. How well prepared are you?

## NDIS Commission Compliance and Enforcement Priorities – Reflection Questions

1. How do you perform in these areas?
2. Do you have any concerns that need to be addressed?

## Useful contacts

### **WAAMH NDIS Project Team**

Email: [ready4QSC@waamh.org.au](mailto:ready4QSC@waamh.org.au)

Webpage: <https://waamh.org.au/ndis>