# NDIS Audit and Compliance Checklist

## Organisational Governance and Management

- ☐ Business is registered with valid ABN
- ☐ Organisational structure chart is documented
- ☐ Clear roles and responsibilities are defined
- ☐ Strategic and operational plans are current
- ☐ Risk management framework is in place
- ☐ Insurance documents (public liability, workers comp) are current
- ☐ Complaints and feedback systems are operational

## Human Resource Management

- ☐ Staff have current job descriptions
- ☐ Employment contracts and agreements are up to date
- ☐ NDIS Worker Screening Checks are completed
- ☐ Working With Children Checks (where applicable) are valid
- ☐ Ongoing staff training and induction programs are documented
- ☐ Staff qualifications and certifications are on file and valid
- ☐ Performance reviews are scheduled and conducted

## Policies and Procedures

- ☐ Comprehensive Policy and Procedure Manual is available
- ☐ Policies are version-controlled and reviewed regularly
- ☐ Incident management and reporting procedures are defined
- ☐ Risk, safety, and emergency procedures are outlined
- ☐ Privacy and confidentiality policy is compliant with NDIS Code of Conduct
- ☐ Cultural competency and inclusion policies are implemented

## Participant Safeguards and Rights

- ☐ Service agreements are signed and provided to participants
- ☐ Participants are informed of their rights and responsibilities
- ☐ Consent forms and privacy consents are properly signed and stored
- ☐ Feedback and complaints mechanisms are explained to participants
- ☐ Behaviour support plans are in place (if applicable)
- ☐ Abuse and neglect prevention strategies are in place

## Service Delivery & Quality Management

- ☐ Services delivered align with participant NDIS plans
- ☐ Participant goals are documented and reviewed regularly
- ☐ Participant records are secure, up to date, and accessible
- ☐ Continuous improvement plan is documented
- ☐ Participant satisfaction is collected and analysed
- ☐ Exit processes and documentation are clear

## NDIS Audit-Specific Preparation

- ☐ Internal audit has been completed prior to NDIS audit
- ☐ All documents and policies are ready for auditor review
- ☐ Staff are trained and aware of audit procedures
- ☐ Past non-conformities (if any) are resolved and documented
- ☐ An audit compliance folder is prepared (physical or digital)
- ☐ A lead compliance officer is assigned for audit coordination