

# Follow-Up Audit

After your audit, if you have any non-conformities, you will receive a non-conformity management sheet (NC Management Sheet). This spreadsheet has all your Non-Conformities listed and a column to explain how you will address these non-conformities. In the case of major non-conformities, a follow-up audit is required within 90 days to close the non-conformities. If you only have minor non-conformities, we can still recommend you given that you have provided your auditor with a suitable action plan.



## What is the process for a Follow-Up Audit?

### 1 Complete your Action Plan

After the audit, your auditor will supply you with the NC Management Sheet, which explains the non-conformities that were raised. Please complete section 2 with how you intend to address the non-conformities and return this to your auditor within 7 days.

### 2 Report is reviewed by GCC

Your audit report and NC sheet will undergo a review by our technical team before it is provided to you. You will receive an email from the GCC office with the draft report, along with information about contacting us to arrange your follow-up audit date. You will also be advised of the cost of the follow-up audit, depending on the amount of time that is required for the follow-up audit.

### 3 Prepare for your audit and schedule an audit date

Review the details of the non-conformities and implement your action plan. You will be required to provide evidence of how you have addressed the non-conformity during the follow-up audit. Contact the scheduling team to arrange a date for your audit. You will also receive reminders from our team to schedule your audit before the due date.

### 4 Complete your audit and report

The follow-up audit will verify the evidence of how you have addressed the non-conformity. Once the non-conformities have been closed, your report will be completed and undergo a final technical review before being submitted to the NDIS Commission. A copy will be sent to you for your records.

## Why do I have to undergo another audit?

Another audit is needed to ensure you have taken the relevant measures to close any gaps identified to comply with the NDIS practice standards. This audit will only focus on reviewing policies and procedures related to the non-conformities raised during your first audit. It is a requirement under the National Disability Insurance Scheme (Approved Quality Auditors Scheme) Guidelines 2018 where a major non-conformity is found, a follow-up audit must be conducted within 90 days to close or downgrade the non-conformity.

## How to prepare for the Follow-Up Audit?

Your GCC auditor will let you know why a major non-conformity was raised during your first audit and the gaps identified in relation to the NDIS Practice Standards. You can use this information to rework the documentation for your follow-up audit.

### How long do I have to address the major non-conformities identified?

You will have 90 days to address the major non-conformities raised during your audit. The deadline will be advised to you by the GCC office. Failure to complete the follow-up audit and successfully close the non-conformity within 90 days requires GCC to submit your report with a negative recommendation. For new providers, this means your application will not progress further, and you will need to apply again if you would like to apply for registration again in the future. For registered providers, this may put you in breach of the conditions of your registration and the NDIS Commission may decide to take enforceable action, risking your registration.

### What is a major non-conformity?

A major non-conformity is raised where a requirement is not met that indicates a systemic gap or total absence in process/policy or constitutes a high risk. 3 minor non-conformities in the same module/area may be raised as a major NC if it indicates a significant gap in the overall system.

### Will I have the same auditor complete my audit as last time?

For consistency, we endeavour to assign the same NDIS auditor that completed your first audit where possible, with consideration to auditor availability and location, as they have an understanding of your business from the previous audit. For this reason, we encourage you to begin planning your Follow-Up Audit early and schedule your audit in advance to ensure your preferred auditor is available. If you would like to request a different auditor, please feel free to let our scheduling team know when arranging your audit date.