

# Non-Conformities (NCs)

Non-conformities are categorised as either minor or major non-conformities. Minor NCs are raised where a requirement is partially met or is a lower risk. Major NCs are raised where there is a total absence of evidence to meet the requirement or the gap in the system is considered to be high risk. 3 minor NCs in one area may be escalated to a major NC if it indicates a systemic gap in the system. Major NCs are required to be rectified within 90 days.



## How to manage Non-Conformities?

1

### Identify the type of Non-Conformity

Review your audit findings and identify the type of NCs you have either, minor or major.

2

### Complete your Corrective Action Plan

Your auditor will supply you with an NC Management Sheet explaining the NCs that were raised. Complete section 2 (the blue section) with the planned actions you will take to address the non-conformity. Return this document to your auditor within 7 days.

3

### Minor Non-Conformities

If you have provided an acceptable action plan to your auditor, minor NCs can be closed at your next audit. For minor NCs, you are just required to give an action plan, and the actions you have taken will be verified by your auditor at your next scheduled audit. Note that 3 or more minor NCs in the same area can be escalated to a major NC at the auditor's discretion.

4

### Major Non-Conformities

If major NCs have been raised, these must be either closed or downgraded within 90 days. A follow-up audit will be required to verify the actions you have taken to address the NC. Our operations team will contact you with further information about arranging a follow-up audit date.

5

### Follow-up Audit

If a follow-up audit is required, our operations team will contact you with a quote and to arrange an audit date once you are ready to close the NCs within (3) months.

## What are the consequences of a Non-Conformity?

If non-conformities are found, you will need to fill out the NC Management Sheet with your action plan. You will receive this spreadsheet from your GCC auditor. This plan needs to be submitted to your auditor within 7 days. In the case of minor non-conformities, the implementation of your actions will be reviewed at your next audit. In the case of major non-conformities, you will need to undertake a follow-up audit within 90 days to assess the actions you have taken. The follow-up audit will only review the implementation of your actions to address the non-conformities.

## How can you avoid Non-Conformities?

The number of non-conformities will depend on your level of preparation for your NDIS audit. To minimise the possibility of Non-Conformities, we recommend carefully reviewing the NDIS Practice Standards and Quality Indicators and presenting evidence that shows you meet each indicator. You will need to demonstrate an understanding of your policies/procedures and be able to show completed evidence of the requirements. An internal audit should be conducted prior to your NDIS audit to identify any gaps in your documentation or systems. Ultimately, Non-Conformities are opportunities for improvement and will help your business provide safe and effective services to NDIS participants.