

Provisional Audit

Provisional audits are undertaken where a provider doesn't have any NDIS participants that they currently provide services to, which is often the case for new businesses but is also sometimes the case for established businesses. Provisional audits assess the documentation and readiness of a provider to start providing NDIS services. It does not require involvement from participants or evidence of implementation, as service delivery has not yet commenced.

If you undertake a provisional audit, you may receive a condition on your registration to undergo another audit to assess the remaining elements of certification (REC Audit) once service delivery begins. It is crucial that you carefully read your certificate of registration when approved to understand if this condition applies to you.



What is the process for a Provisional Audit?

- 1 Apply for Registration - NDIS Commission**

To register you will need to visit the NDIS Website [here](#). Upon completing the registration you will receive an "Initial scope of audit" via email.
- 2 Request a Quote from GCC**

Fill out the quote request form [here](#), and a GCC representative will contact you and walk you through the process and audit costs.
- 3 Prepare the documents & confirm the audit date**

GCC will provide you with a checklist to assist with your audit preparation. You will need to prepare your documents to meet the NDIS Practice Standards and required qualifications specific to your registration groups. You can also ask your NDIS Coordinator, any questions you may have. The NDIS Practice Standards are available on the NDIS Commission's website [here](#). You will be offered a potential audit date when the checklist is provided based on the next availability. If the date is suitable for you, please confirm this with your NDIS Coordinator ASAP to secure your audit date.
- 4 Undertake the Provisional Audit**

The provisional audit is similar to a stage 1 audit. It focuses on the policies/procedures and documentation you have in place to meet the NDIS Practice Standards. Your auditor will also speak with you to confirm your understanding of your documentation and clarify any questions they may have.
- 5 Submission to the NDIS**

After the audit is complete and your auditor has finalised their report, this will undergo a technical review by our technical team before being submitted to the NDIS Commission. You will also receive a copy of your final report by email, along with a link to access GCC's Certification Mark download portal.
- 6 Registration**

The NDIS Commission will notify you about the outcome of your registration. Note that the NDIS Commission does not give a timeframe for approval as every application is different. To follow up on the status of your application, you will need to contact the NDIS Commission directly. Remember to check your registration certificate for any conditions on your registration to complete a REC audit and contact GCC to arrange your REC audit if required.
- 7 Stage Two Audit**

Once registration is granted, check your registration certificate carefully to check if a condition has been applied to your registration. If a REC audit is required, your registration certificate will identify this and also advise the timeframe in which you are required to complete the audit. Typically, the time frame can be 3, 6 or 18 months after service delivery to participants has commenced, but the Commission ultimately decides which condition, if any, to impose on a provider's registration.

How can you prepare for your Provisional Audit?

The NDIS Commission provides resources to assist you with the preparation for a provisional audit. Moreover, GCC will provide you with a pre-audit checklist and a qualifications guide with compliance requirements.

Core Module

Covers the provider's rights & responsibilities, governance & operational management, the delivery of supports & the environment in which supports are delivered.

Supplementary Modules

Include: High-intensity activities, Specialist Behaviour Support, Early Childhood Intervention, Specialised Support Coordination and Specialist Disability Accommodation.

Which Modules are applicable to me?

Your "Initial Scope of Audit and Self-Assessment summary" provided by the NDIS list these.

What are the NDIS Practice Standards?

The NDIS Practice Standards specify the quality standards each provider must meet for approval. The most up to date information about the Practice Standards can be found [here](#).

