

NDIS Pre-audit Documents – Stage 1, Stage 2 and Surveillance

This list identifies places where providers may demonstrate evidence that meets the requirements of the NDIS Practice Standards, however it is not exhaustive. Providers may have evidence that meets requirements in a variety of forms and are encouraged to present any evidence they feel may be relevant.

Core Module

Division 1 – Rights and Responsibilities

- Relevant policies, documents or information given to participants on person-centred supports, individual values and beliefs, privacy and dignity, and independence and informed choice
- Documents that evidence how participants are advised of confidentiality
- Relevant policies on violence, abuse, neglect, exploitation and discrimination
- Information provided to participants on the use of an advocate.

Division 2 – Governance and Operational Management

- Processes for client contribution to governance processes
- Structure of the organisation
- Training, qualifications and review of governing body
- Information on strategic planning
- How the organisation considers legislative and regulatory requirements
- Continuous improvement processes
- Delegations
- Management of conflicts of interest
- Documentation on the identification, analysis and management of risks
- Systems on:
 - Incident management compliant with the *National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018*;
 - Complaint management aligned to *National Disability Insurance Scheme (Complaints Management and Resolution) Rules 2018*;
 - Work Health and Safety;
 - Human Resource Management including pre-employment checks, position descriptions, orientation/induction processes, performance review processes;
 - Financial Management;
 - Information Management; and
 - Governance.
- Quality Management system which defines how the organisation meets the requirements of legislation and NDIS Practice Standards
- Information on internal audits
- Information clients receive on collection, use, retention or disclosure of their information including details of the purpose of collection, use and disclosure
- Relevant policies or documents outlining processes of ensuring continuity of supports.

Division 3 – Provision of Supports

- Access/Entry Criteria
- Information on support planning, including assessment, and support plan development processes

Division 4 – Support Provision Environment

- Work health and safety processes
- Medication management processes (if applicable)
- Policies, procedures and practices are in place for the safe and appropriate storage and disposal of waste, infectious or hazardous substances that comply with current legislation and local health district requirements and an emergency plan (if applicable)

Module 1: High Intensity Daily Personal Activities Module

- Processes for the development of complex bowel care management plans, enteral feeding and management plans, tracheostomy suctioning and management plans, catheter management plans, ventilator management plans, subcutaneous injections plans and/or complex wound management plans, as relevant.
- Policies and procedures on complex bowel care management, enteral feeding and management, tracheostomy suctioning and management, catheter management, ventilator management, subcutaneous injections and/or complex wound management including training plans for workers, as relevant.

Module 2: Specialist Behaviour Support Module

- Documentation on how the *National Disability Insurance Scheme (Restrictive Practices and Behaviour Support) Rules 2018* are understood and applied
- Qualifications and ongoing training of Behaviour Support Practitioners
- Policies and procedures on behaviour support planning and the use of restrictive practices

Module 2A: Implementing Behaviour Support Plans Module

- Knowledge and understanding of regulated restrictive practices as described in the *National Disability Insurance Scheme (Restrictive Practices and Behaviour Support) Rules 2018* and knowledge and understanding of any relevant state or territory legislation and/or policy requirements and processes for obtaining authorisation
- Processes for monitoring and reporting the use of regulated restrictive practices

Module 3: Early Childhood Supports Module

- Practices and procedures to manage risk with a focus on creating a safe environment for children
- Evidence of compliance with all relevant state and territory legislation relating to the reporting of risk of harm to children
- Intervention strategies based on explicit principles, validated practices, best available research and relevant laws and regulations

Module 4: Specialist Support Co-ordination Module

- Conflict of interest policy
- Information provided to participants to support them to understand their plan, information about their support options and distinction between the provision of specialised support coordination and other reasonable and necessary supports

Module 5: Specialist Disability Accommodation Module

- Policy that details how perceived or actual conflicts of interests are managed
- Evidence of adherence to the requirements established in the *National Disability Insurance Scheme (Specialist Disability Accommodation Conditions) Rules 2018*, including that service agreements are compliant and there are mechanisms in place to ensure dwellings are compliant.