



# Maintenance, Records and Audit

## Introduction

When running a business, good record keeping is important as it helps:

- Participants achieve better outcomes
- Decision makers make informed decisions
- Protect the business from risk
- Meet legislative requirements
- Support accountability

## Applicability

### When

- Applies to supports and services provided to all participants.

### Who

- Applies to all representatives including key management personnel, directors, full time workers, part time workers, casual workers, contractors and volunteers.

## Regulations relevant to this policy

- NDIS (Quality Indicators) Guidelines 2018 (Cth)
- NDIS Terms of Business
- Freedom of Information Act 1982 (Cth)

## Types of records

At a minimum, the organisation will keep full and accurate accounts and financial records of:

- Participant service agreements containing the schedule, cost, type and quality of supports to be delivered; as well as the expected outcomes for the participant, and any regulated restrictive practices in place for the participant
- Approved quotes as appropriate
- Evidence of support quantity and type delivered

The accounts and financial records are maintained on a regular basis with accurate details on the quantity, type and duration of support delivered. The evidence of supports delivered is one or more of the following, depending on the type of support delivered

Evidence type	Description
<ul style="list-style-type: none"><li>● Case notes</li></ul>	Activities engaged in and how they relate to the specific support item and participant goals.
<ul style="list-style-type: none"><li>● Rosters</li></ul>	The activities engaged in, staff to participant ratios and record that a participant attended as scheduled.



<ul style="list-style-type: none"><li>● Service agreements</li><li>● Support logs</li></ul>	<p>The schedule, cost, nature and quality of supports to be provided and expected outcomes</p> <p>The support type (including ratio/intensity) delivered and a participant, nominee or carer signature confirming receipt of each instance of support</p>
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Records must be kept for at least 7 years from the date of the document.

## Records to maintain

We retain all financial records and accounts for 5 years from the date of issue in line with relevant statutes, regulations, by-laws and requirements of any Commonwealth, state, territory or local authority.

## Terms of Business

We are recommitted to the NDIS Terms of Business and will renew this commitment annually on the Provider Portal (myplace). We understand that failing to renew the Terms of Business will result in delayed or missed payments until renewal.

If requested by the NDIA, in 30 days we will provide from the date of the request or within the time specified in the request, any of the following documents:

- A copy of the organisation's most recent financial statements
- A copy of the organisation's most recent insurance certificate, and
- Any document that would reasonably be connected with the organisation's provision of supports

We will maintain accurate contact details with the NDIA and advise the NDIA of any changes to the information contained within the application for registration as soon as is practicable.

## Inspection of records

The organisation may be reviewed by the NDIA in relation to supports funded for a NDIS participant. The organisation will cooperate fully with NDIA officers undertaking review activities.

As part of any review, or as otherwise reasonable request by the NDIA to carry out its rights and obligations under law, we must give the NDIA or persons authorised by the NDIA ('those permitted') access to premises where accounts and records associated with the provision of services to participants are stored and allow those permitted to inspect and copy all records associated with the provision of services to participants.

We will provide all reasonable assistance requested by those permitted including making available all accounts and records relating to the provision of services to participants subject to:

- Reasonable prior notice by those permitted (except where those permitted believe there is an actual or apprehended breach of the law)
- The organisation's reasonable security procedures

The requirement for access as specified above does not in any way reduce the organisation's responsibility to perform its obligations in accordance with any agreement related to the provision of services to participants.

We will ensure that any subcontract entered into for the purposes of providing services to participants allows those permitted to have access to accounts and records associated with the provision of services to participants

Where a decision by the NDIA is the subject of a merits review or complaint, we will cooperate in providing any documents or other information requested. Pursuant to section 6C of the Freedom of Information Act 1982 (Cth) (FOI Act), we will provide all documents to the NDIS that are relevant to a request made under the FOI Act within 7 days receipt of a request from the NDIA.