

Quick Reference Guide (QRG) for Approved Quality Auditors

Recording the closure of minor non-conformities post-Verification audit for providers with a condition of registration imposed.

Overview

Registered NDIS providers are subject to conditions under the [National Disability Insurance Scheme Act 2013](#) (NDIS Act) and the [National Disability Insurance Scheme \(Provider Registration and Practice Standards\) Rules 2018](#) (Registration Rules).

Information for providers regarding conditions of registration is available on the [NDIS Commission website](#).

The NDIS Quality and Safeguards Commission (NDIS Commission) provides information and guidance to support registered providers meet their registration obligations under the NDIS Act and Registration Rules, and monitors providers compliance with their conditions of registration.

A failure to comply with a condition of registration is subject to a civil penalty of 250 penalty units. In addition, the NDIS Commission can take other compliance or enforcement action including imposing a (further) condition of registration or suspending, varying or revoking a registered NDIS provider's registration.

Condition of Registration

Registered NDIS providers that undertook a verification audit and have open minor non-conformities at the close of audit, may have had a condition imposed on their registration as follows:

'A condition imposed under Section 73G of the NDIS Act for minor non-conformities identified at the time of audit to be assessed and closed out by an approved quality auditor no later than 18 months after registration.'

To monitor a provider's adherence to this condition, the NDIS Commission requests that Approved Quality Auditors notify the NDIS Commission when the minor non-conformities have been addressed (closed), using the Commission Operating System (COS).

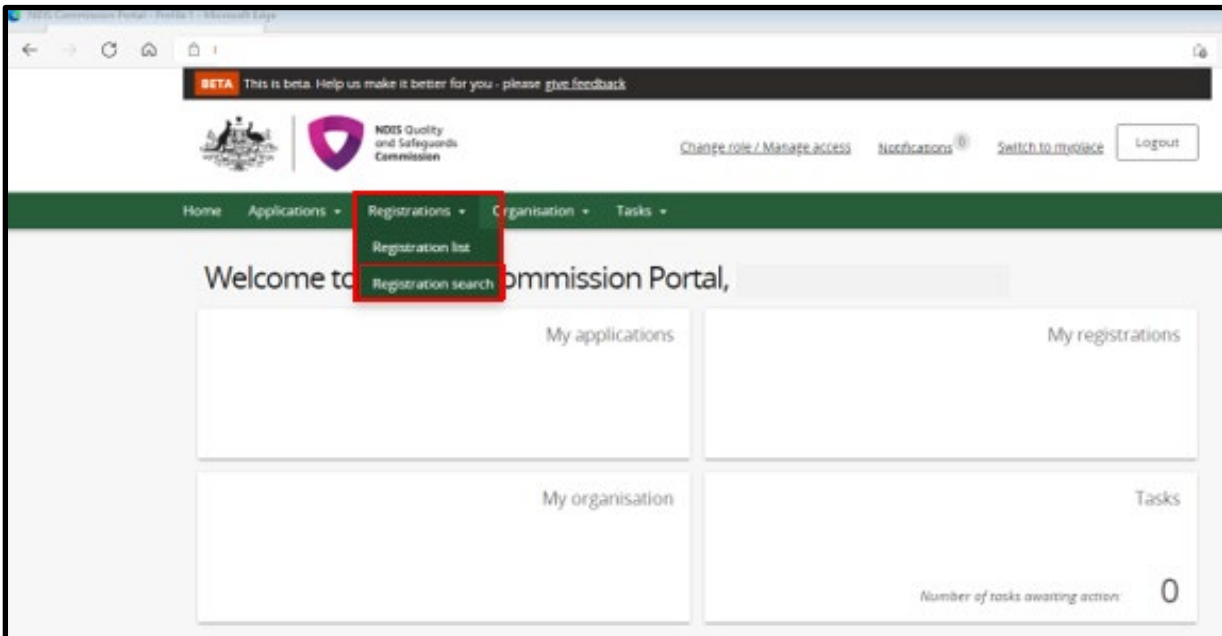
Notification is to be made by:

- Attaching a copy of the completed Corrective Action Plan to the provider's **application** record in COS, indicating closure of minor non-conformities (where possible) and;
- Adding a *Task* to the provider's **registration** record in COS.

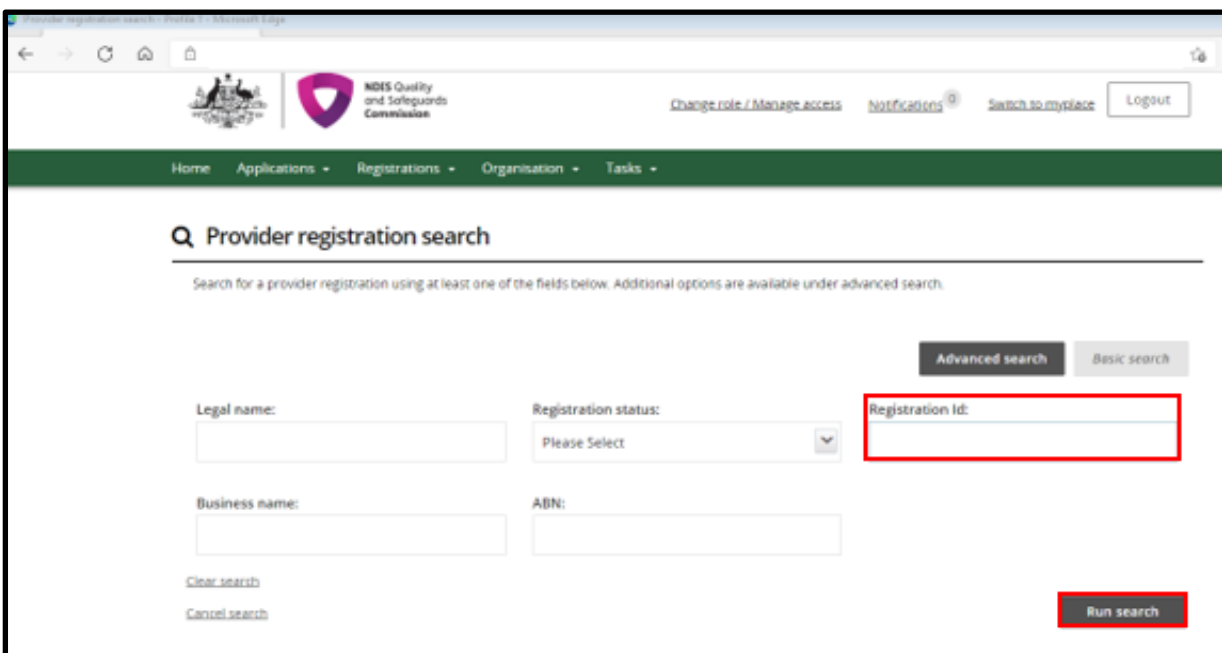
Note: This QRG is only applicable to provider's that have the above condition imposed.

Part A – Locate a provider’s registration record

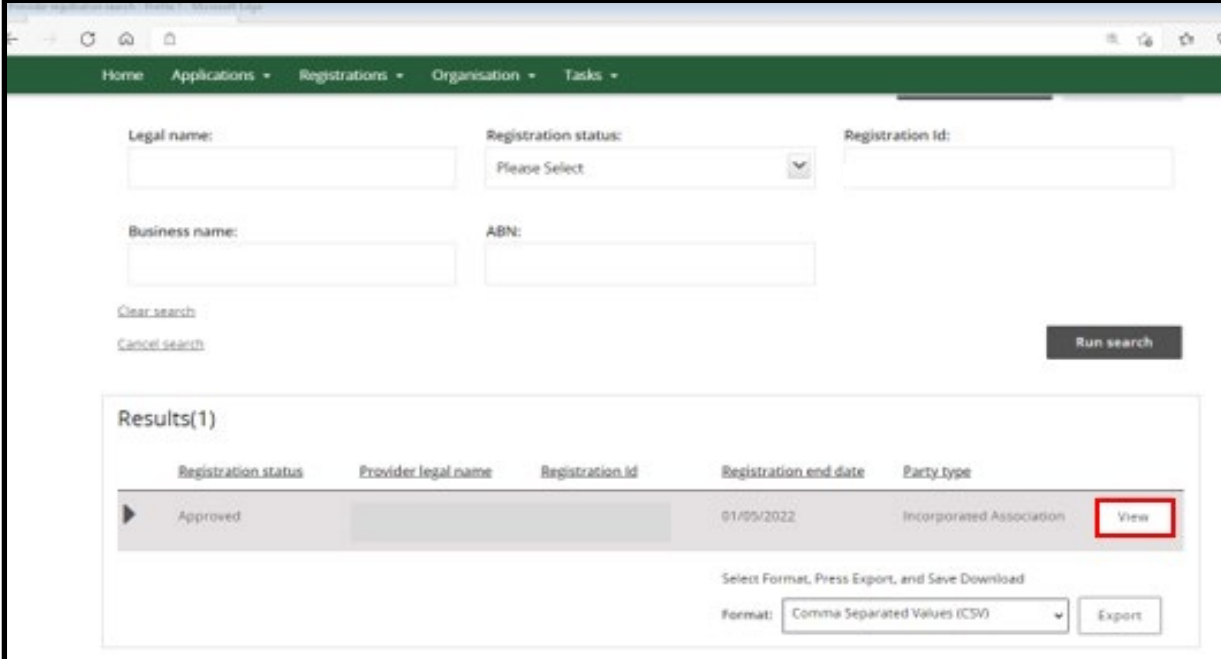
1. Log in to the NDIS Commission Operation System (COS) via the [Quality Auditor Portal](#).
2. Select **Registration** from the menu bar then click **Registration search**.



3. Enter the **Registration Id** and click **Run search**.



4. Select **View** from the result list.



The screenshot shows a web application interface for searching registrations. At the top, there is a navigation bar with links for Home, Applications, Registrations, Organisation, and Tasks. Below this is a search form with the following fields:

- Legal name:
- Registration status:
- Registration id:
- Business name:
- ABN:

Below the search fields are links for "Clear search" and "Cancel search", and a "Run search" button.

The search results are displayed in a table under the heading "Results(1)". The table has the following columns: Registration status, Provider legal name, Registration id, Registration end date, and Party type. The first row contains the following data:

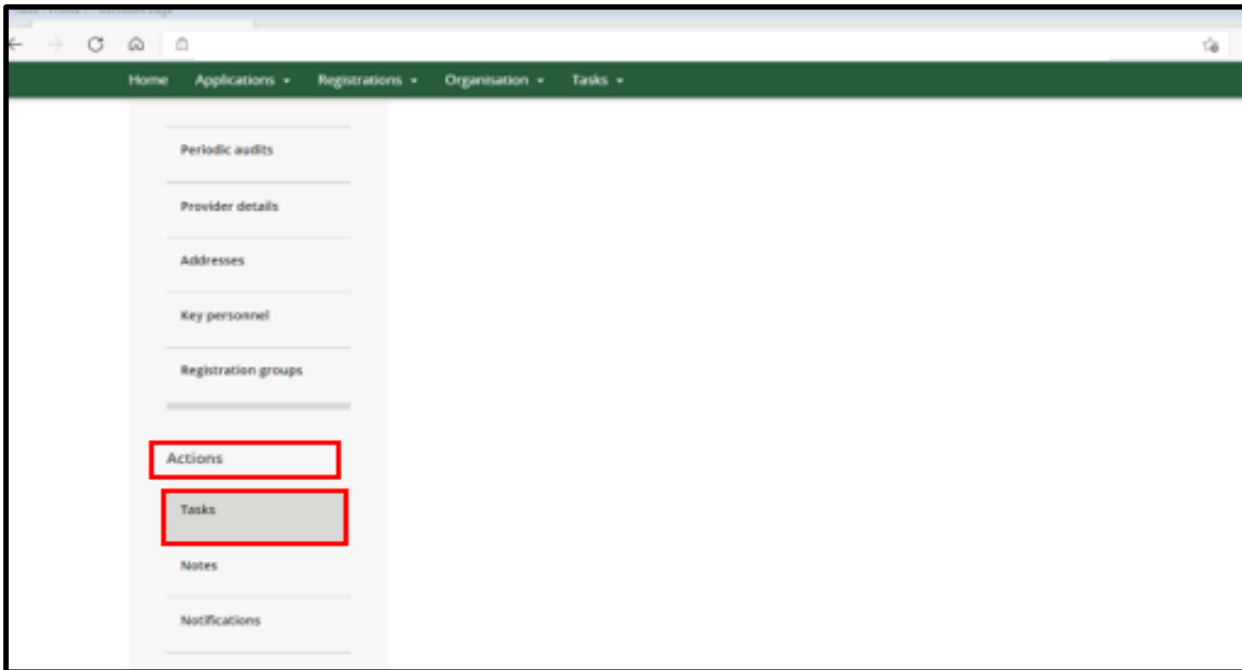
Registration status	Provider legal name	Registration id	Registration end date	Party type
Approved	[Redacted]	[Redacted]	01/05/2022	Incorporated Association

A "View" button is located to the right of the first row, highlighted with a red box. Below the table, there is a section for "Select Format, Press Export, and Save Download" with a "Format" dropdown menu set to "Comma Separated Values (CSV)" and an "Export" button.

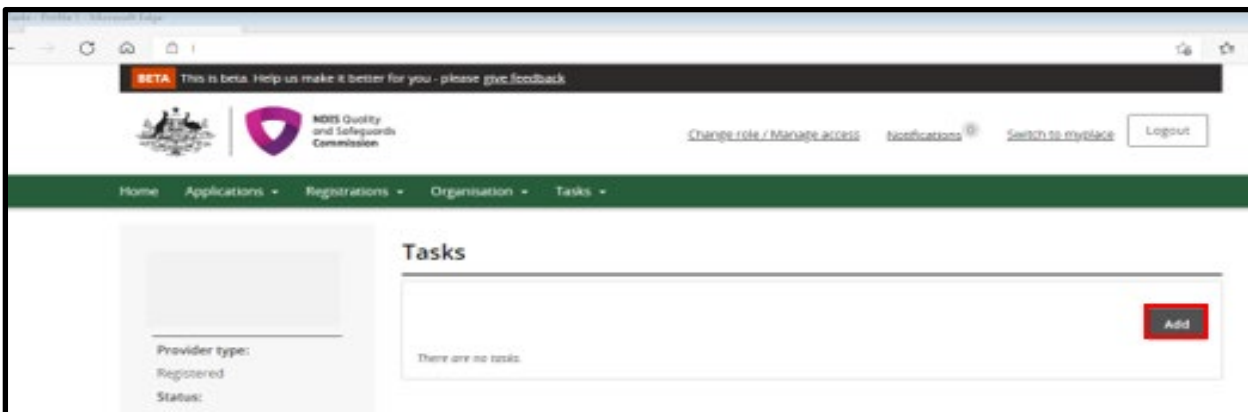
Please continue to page 4 for Part B – Create a task in COS.

Part B – Create a Task in COS

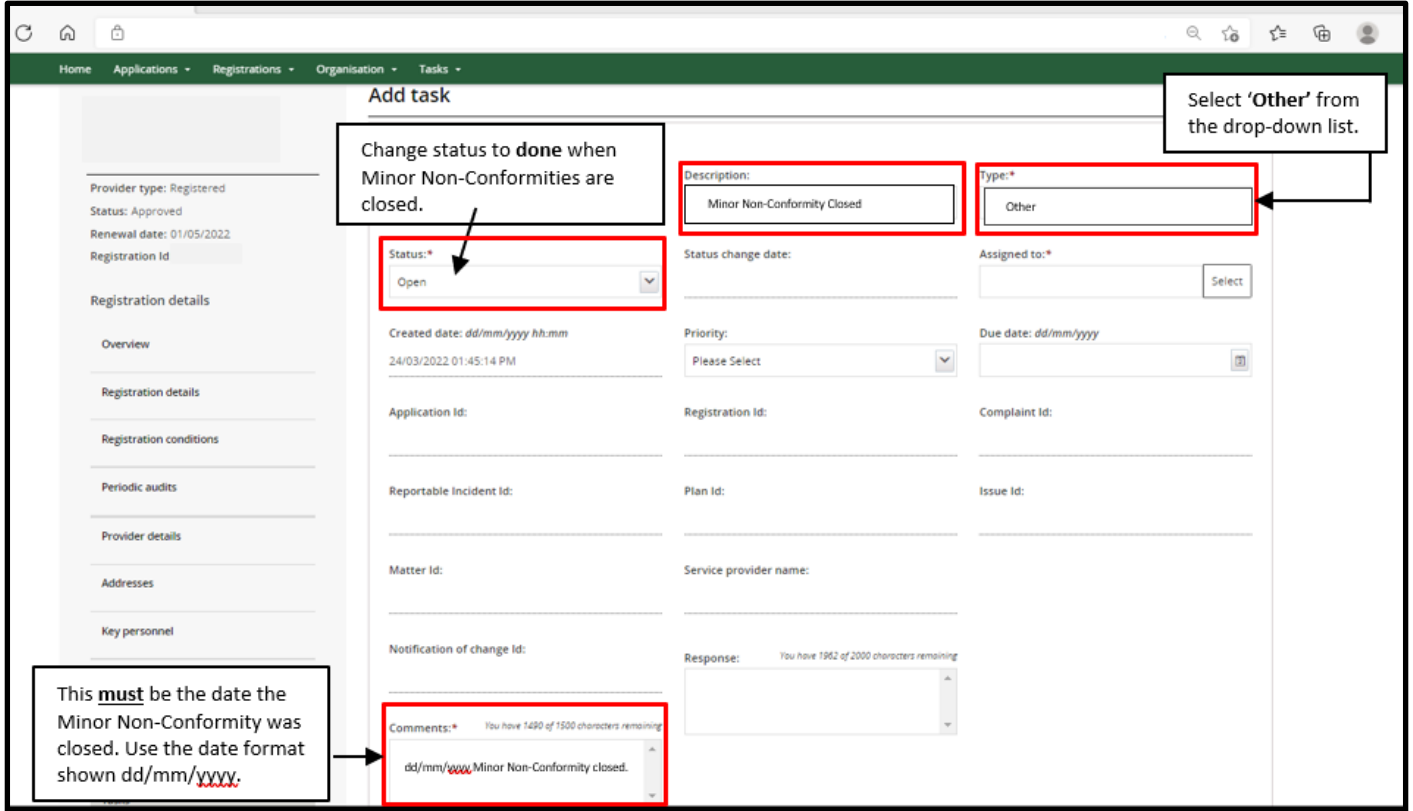
5. Scroll down the left-hand tabs and under the **Actions** heading select **Tasks**.
This will open the Tasks box.



6. In the Task box select, **Add**.



7. Complete the below Task fields in **red**, using the **exact** wording below.



The screenshot shows the 'Add task' form in COS. The following fields are highlighted in red and annotated with callouts:

- Status:** A dropdown menu with 'Open' selected. Callout: "Change status to **done** when Minor Non-Conformities are closed."
- Description:** A text field containing "Minor Non-Conformity Closed".
- Type:** A dropdown menu with 'Other' selected. Callout: "Select '**Other**' from the drop-down list."
- Comments:** A text area containing "dd/mm/yyyy Minor Non-Conformity closed.". Callout: "This **must** be the date the Minor Non-Conformity was closed. Use the date format shown dd/mm/yyyy."

8. Once completed, select **Save and return**.



The screenshot shows the bottom of the 'Add task' form. On the left, there are sections for 'Actions', 'Tasks', 'Notes', and 'Notifications'. On the right, there is a 'Discard changes and return' link and a red 'Save and return' button.

Part C – Attach the completed Corrective Action Plan to COS

9. Attach a copy of the completed Corrective Action Plan to the provider's **application** record in COS, indicating closure of minor non-conformities (where possible).

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