



## Maintenance – Records & Audits

## Policies & Procedures

Shop 5, 38 Princess Street  
Bundaberg East Qld 4670

**07 4361 6848**

[www.123supports.com](http://www.123supports.com)

[www.facebook.com/123supports](http://www.facebook.com/123supports)

**ABN:** 14 930 943 229

## TABLE OF CONTENT

Policy / Procedure	Page
MAINTENANCE – RECORDS AND AUDIT .....	3
Scope .....	3
When .....	3
Who .....	3
Purpose .....	3
Types of records .....	3
Records to maintain .....	4
Terms of Business .....	4
Inspection of records .....	4
Further Advice or Assistance .....	5
Effectiveness and Review .....	5

# MAINTENANCE – RECORDS AND AUDIT

## Scope

### When

- Applies to supports and services provided to all clients

### Who

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

## Purpose

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

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

## Types of records

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

- Client service agreements containing the schedule, cost, type, and quality of supports to be delivered, as well as the expected outcomes for the client, and any regulated restrictive practices in place for the client
- 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
Shift Notes	Activities engaged in and how they relate to the specific support item and client goals

Rosters	The activities engaged in, staff to client ratios and record that a client attended as scheduled
Service agreements	The schedule, cost, nature, and quality of supports to be provided and expected outcomes

Records must be kept for at least 7 years from the date of the document.

## Records to maintain

123 Support Services 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

123 Support Services are recommitted to the NDIS Terms of Business and will renew this commitment annually on the Provider Portal (myplace). 123 Support Services 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 123 Support Services 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 organisations most recent financial statements
- A copy of the organisations most recent insurance certificate, and
- Any document that would reasonably be connected with the organisations provision of supports

123 Support Services 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 client. 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, 123 Support Services must give the NDIA or persons authorised by the NDIA ('those permitted') access to the premises where accounts and records associated with the provision of services to clients are stored and allow those permitted to inspect and copy all records associated with the provision of services to clients.

123 Support Services will provide all reasonable assistance requested by those permitted including making available all accounts and records relating to the provision of services to clients subject to:

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

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

123 Support Services will ensure that any subcontract entered into for the purposes of providing services to clients allows those permitted to have access to accounts and records associated with the provision of services to clients.

Where a decision by the NDIA is the subject of a merits review or complaint, 123 Support Services will cooperate in providing any documents or other information requested. Pursuant to section 6C of the Freedom of Information Act 1982 (CTH) (FOI Act), 123 Support Services 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.

## **Further Advice or Assistance**

Further advice and information can be obtained from the:

» 123 Support Services' Administration Officer:

- by phoning: 07 4361 6848;
- by emailing: [admin@123supports.com](mailto:admin@123supports.com)

## **Effectiveness and Review**

The Director will review this Policy and Procedures document each 12 months on the anniversary of its approval.