



CAA Certification Audit Process Flowchart

STAGE 1 PRE-AUDIT

Service Agreement signed Initial planning of the audit including review of the Organisations audit scope.

Appropriately skilled and qualified auditor discussed and allocated to the audit team including conflict of interest declaration.

Stage 1 audit conducted of the clients' documents and response on each outcome is given to the client.

STAGE 2 PREPARATION

Stage 2 preparation and confirmation with client of:

- audit scope and sampling requirements
- key contact details of personnel and location for each site identified

STAGE 2 ONSITE

Conduct interviews of staff and participants, review policies and procedures and examine client records and documentation to verify compliance to policies and procedures.

During this process the auditor/s are able to determine compliance to the standards.
At the completion of audit the Lead Auditor will conduct a meeting with client staff to consider and discuss findings for the purpose of reporting

AUDIT REPORTING

Completion of Certification Audit Report.
Report is then Independently reviewed (Independent Peer Review).

Recommendation submitted to either the NDIS Commission or ACIA and where indicated, follow up of Corrective Actions.