

CAA Verification Audit Process Flowchart

ENQUIRY STAGE

Enquiry via phone: Call is transferred to Administrator to discuss details of Provider and CAA capability to conduct business. If call cannot be transferred, message sent by email to contacts@communityaudits.com.au for callback

Enquiry via email: Administrator calls Provider to clarify details required (scope of audit, and number of staff)



Administrator to document enquiry on the Client database. Administrator to discuss Scope of Audit and requirements of audit with Provider



Administrator to provide a Quote including link to resources to Provider, based on initial information provided by enquirer and subsequent discussions



Quote accepted by enquirer



Service agreement generated and sent with an invoice to Provider



Service agreement signed and returned, payment made in full, and Application Reference Number provided by Provider



Chief Operating Officer or delegate to accept and link to the provider as the auditor on the NDIS Portal for self-assessment using Application Reference Number



Provider to submit all documentary evidence as required for Verification audit to CAA in preparation for audit



Administrator to confirm appropriate date for audit with Provider taking into account the NDIS Commission's timeframes and potential requests for extensions, and add to Outlook calendar



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Auditor assigned by Chief Operating Officer or trained delegate

AUDIT STAGE

Administrator or delegate to inform the Provider:
Timeframe of audit
Communication methods
Provide objectives of the audit, scope and criteria and methods the audit team will use to conduct the audit



Auditor to conduct the audit using Desktop method



On completion of the audit, and within 2 days of audit, CAA auditor provides a draft audit report to client and advises of areas of non-compliance, follow-up process and next steps to be completed within 14 days of draft audit report



Within 14 days of the draft audit report being provided to the Provider, and where corrective action requests (CAR's) are identified in the draft audit report the Provider will submit the required or missing documents/information to CAA in the agreed timeframe.



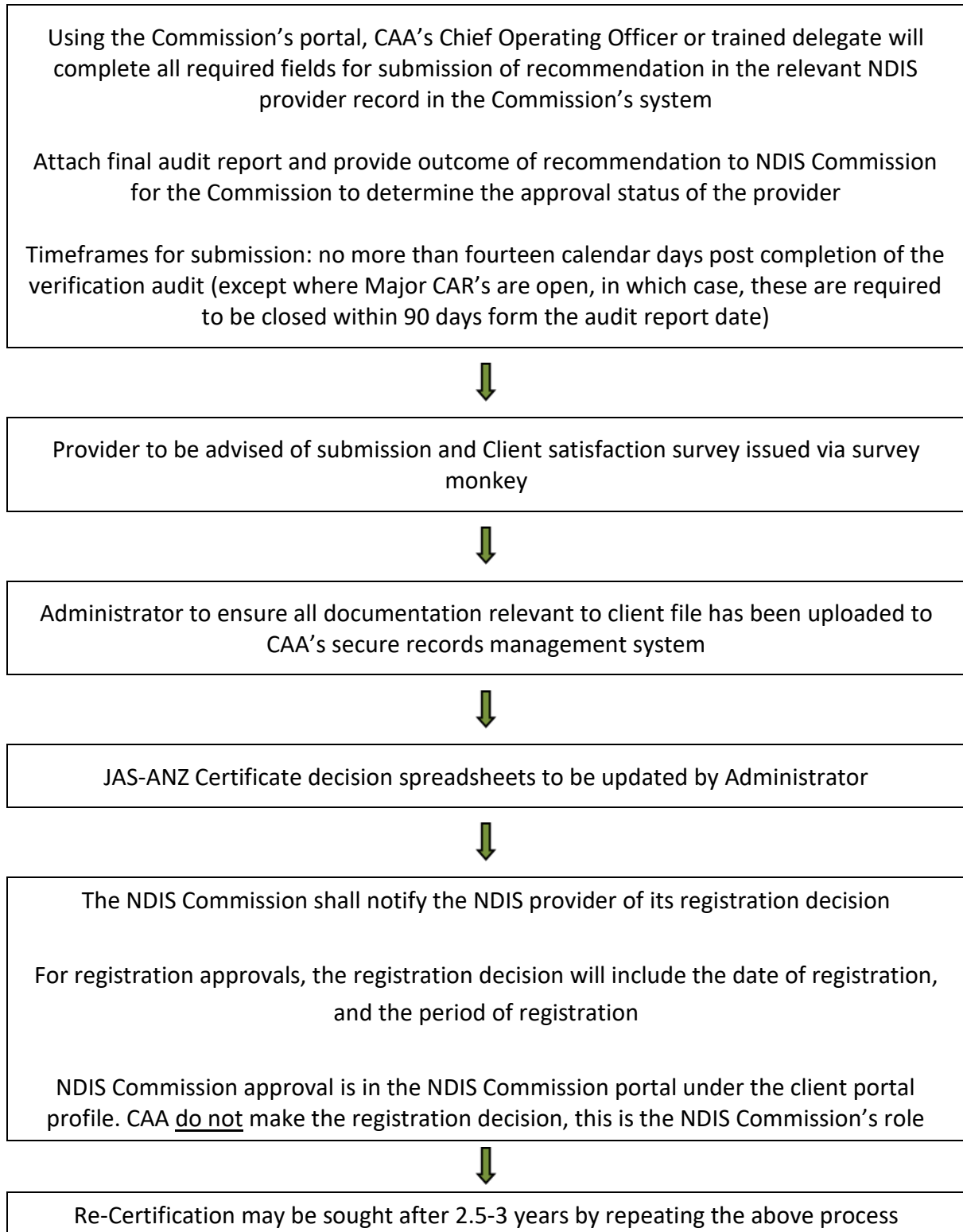
CAA auditor will finalise and prepare the Final Audit Report and provide to client for review and comment



Feedback and comment from Provider will be reviewed and Final report will be provided to the Chief Operating Officer or trained delegate for review of report and for decision to be made.

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SUBMISSION STAGE



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JAS-ANZ REPORTING STAGE

