



Records and Internal Audit Policy

Scope

This policy applies to anyone involved in the delivery of Brook RED NDIS services and supports.

Purpose

To outline record keeping and internal audit requirements.

Principles

Brook RED believes that good record keeping is important to support accountability, meet legislative requirements and to protect us from risk.

Policy

Brook RED will keep full and accurate accounts and financial records of the following:

- Service agreements
- Approved quotes as appropriate
- Evidence of quantity and type of support delivered including progress notes and rosters

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

We are committed to the NDIS Terms of Business and will renew this commitment annually on the Provider Portal (myplace). We will maintain accurate contact details with the NDIA and advise of any changes as soon as practicable. We understand that we may be reviewed by the NDIS in relation to support funded for a NDIS Participant and will provide all reasonable assistance including making records available.

Procedure

Progress Notes

Why do we write notes?

- To provide a record of the person's history, current situation and recovery goals
- To document events which may otherwise be forgotten, this is helpful for when working in a team so that a staff can catch up on what's been happening for the person
- To use as evidence for funding
- For legal issues/duty of care
- Accountability for the participant, staff and the service

What is a note?

- A summary of the support
- Relevant and concise
- Based in fact not in assumption/opinion
- Free from derogatory or emotive language
- Non-judgmental and unambiguous
- Recovery oriented

How do we write notes?

- Notes are entered in to Careview database or manually written in Handover Sheets

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Files

Each NDIS Participant has a file which contains relevant forms and documents pertaining to their care.

Internal Audits

We carry out annual internal file audits for NDIS Participants and employees to ensure that we have all the documentation required to meet our obligations. We also regularly review the following:

- Organisational Risk Register
- Incidents Register
- Complaints Register
- Restrictive Practices Review
- Staff Performance Reviews
- Continuous Improvement Projects
- Review of all Policies and Procedures

Please see the Brook RED Governance Compliance Calendar in the Governance Manual for review periods.

Definitions of Terms Used

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References

Brook RED Governance Manual
 NDIS (Quality Indicators) Guidelines 2018
 NDIS Terms of Business
 Monthly SIL Reporting Template

Document Control and Record of Changes

Version	Effective Date	Approved by	Summary of Change	Date of Next Review
Version 01	September 2019	Eschleigh Balzamo	Introduction of new policy	January 2020
Version 02	July 2021	Eschleigh Balzamo	Review and Update	July 2023

The General Manager has overall responsibility for this policy. If there are any questions regarding this policy, please direct these to the Business Services Manager or General Manager.