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Audit

SDAP Workshops 2026



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Purpose & scope of the session

- Audit methodology
- Audit stages
- Supporting first nations providers
- Where audit fits in regulatory environment
- Questions



We welcome your engagement, questions and feedback.

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Types of Audit

- Registration Audits
- Renewal Audits
- Variation Audits

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Audit methodology

Principles

- Provider-level evidence gathered once
- Single point of contact with Audit Manager
- Service offerings that sit under categories 1, 2 and 3 are not included in scope for providers subject to audit
- Some audits to be completely desk based
- Audit outcomes provided at the **closing** meeting
- Forward facing audits

No surprises approach

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Audit stages

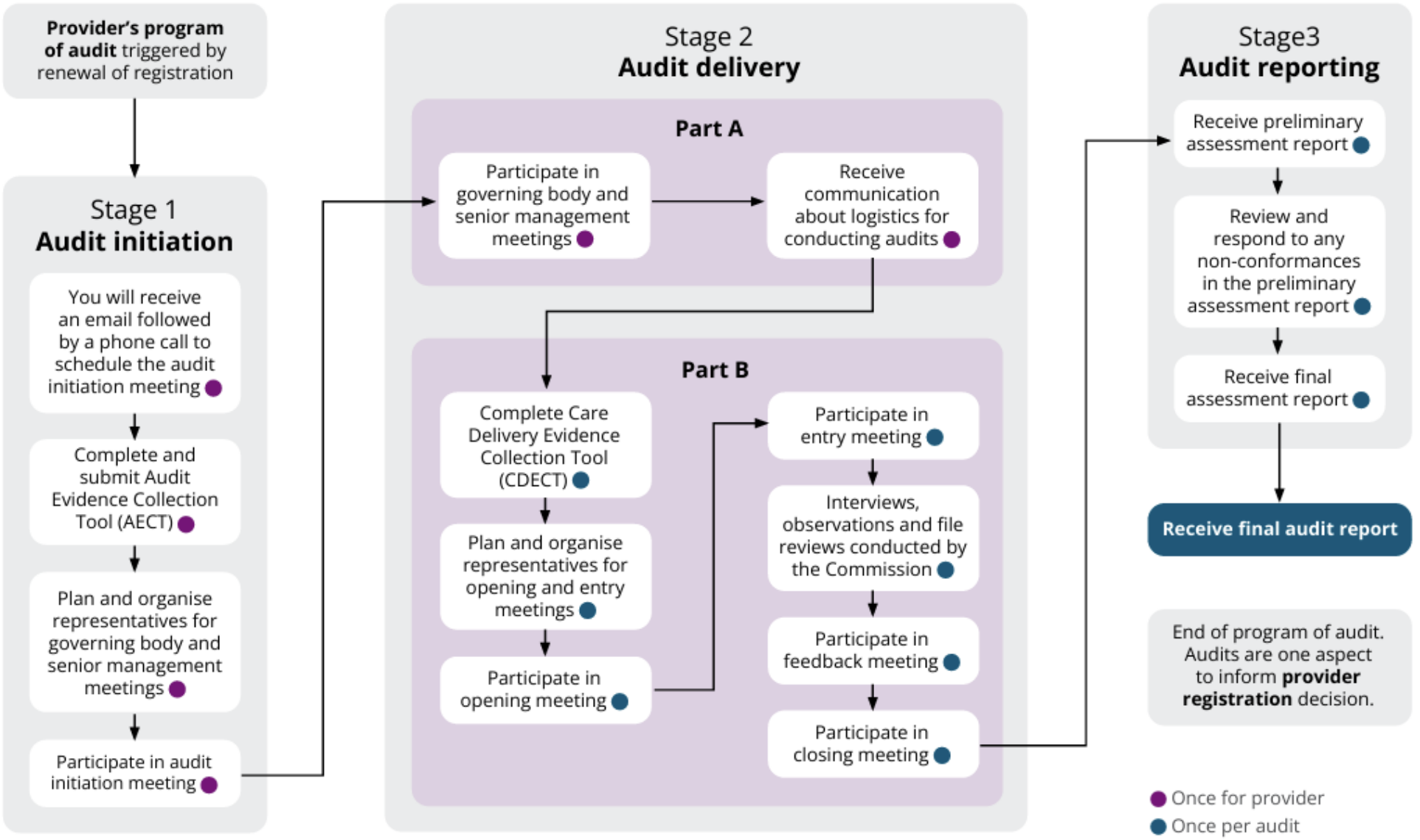
Stage 1
Audit Initiation

Stage 2
Audit Delivery

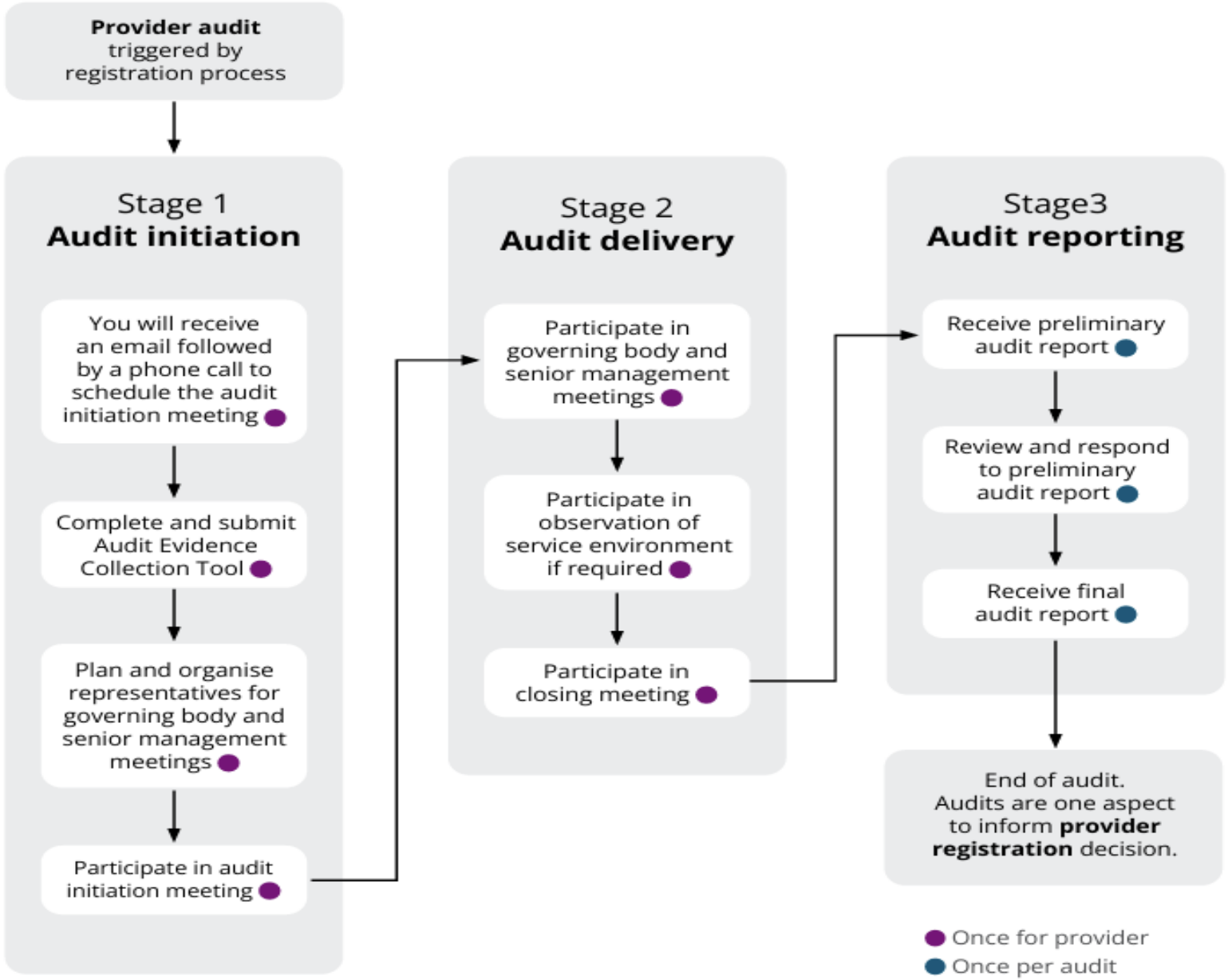
Stage 3
Audit Reporting

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Renewal Audit: Stages and Processes



Registration and Variation Audit: Stages and Processes



Audit Evidence Collection Tool

Audit Evidence Collection Tool (AECT) – Renewal | Aged Care Quality and Safety Commission

Purpose

The purpose of the Audit Evidence Collection Tool (AECT) is designed for you (the provider) to complete in preparation for your audit program, including supporting documentation, which the Aged Care Quality and Safety Commission (Commission) will use to assess conformance with the Quality Standards.

The evidence will explain:

- your systems and processes
- how you deliver high-quality care to older people.

When completing the tool, you may identify areas for improvement in your systems and processes to conform with the Quality Standards.

The AECT must be completed and returned to the Commission with supporting documentation at the commencement of the audit program for aged care providers that are seeking to renew their registration in Category 4, 5 and 6.

Privacy & confidentiality: The personal information we collect in this form is protected by law, including the Privacy Act 1988, the Australian Privacy Principles, and the Aged Care Act. This includes personal information such as contact details.
We use the information you provide in this form, and other relevant information we get or receive, to carry out our functions under the Aged Care Act. This information is used to make decisions about the registration of providers and the approval of residential care homes (if applicable). This includes publication of a Provider Register.
Information may be shared with other regulators for their regulatory functions. This includes the Department of Health and Aged Care (DoHAC), other State and Commonwealth agencies and where otherwise permitted or required by law.
Read the Commission's Notice of Collection which explains how we use personal information at https://www.agedcarequality.gov.au/resource-library/notice-collection

How to use the tool

You must complete relevant worksheets (tabs) for the category of services you deliver. Each worksheet matches the relevant Quality Standards as described in the table below.

Worksheet	Category 4	Category 5	Category 6
Standard 1 - The Individual	✓	✓	✓
Standard 2 - The Organisation	✓	✓	✓
Standard 3 - The Care and Services	✓	✓	✓
Standard 4 - The Environment	✓	✓	✓
Standard 5 - Clinical Care	Standard 5: Clinical care, Outcome 5.1 Clinical Governance applies to the service types of care management and restorative care management only.	✓ Only if delivering clinical care	✓
Standard 6 - Food and Nutrition			✓
Standard 7 - The Residential Community			✓

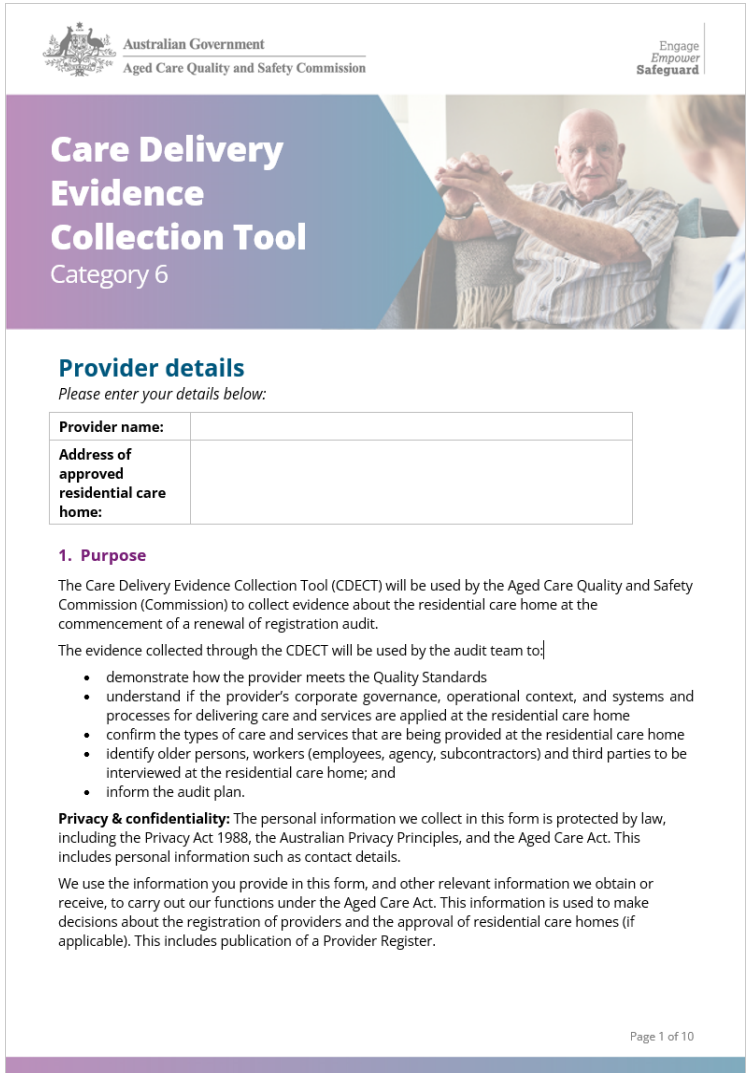
How to complete the Standards worksheets

This will help you to prepare for the audit and how you show that you conform with each Outcome for each Quality Standard that applies to your organisation.

Care Delivery Evidence Collection Tool

Care Delivery Evidence Collection Tool (CDECT) – Residential (Category 6) | Aged Care Quality and Safety Commission

Care Delivery Evidence Collection Tool (CDECT) – Residential (Category 4 and 5) | Aged Care Quality and Safety Commission



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Engage Empower Safeguard

Care Delivery Evidence Collection Tool
Category 6

Provider details

Please enter your details below:

Provider name:	
Address of approved residential care home:	

1. Purpose

The Care Delivery Evidence Collection Tool (CDECT) will be used by the Aged Care Quality and Safety Commission (Commission) to collect evidence about the residential care home at the commencement of a renewal of registration audit.

The evidence collected through the CDECT will be used by the audit team to:

- demonstrate how the provider meets the Quality Standards
- understand if the provider's corporate governance, operational context, and systems and processes for delivering care and services are applied at the residential care home
- confirm the types of care and services that are being provided at the residential care home
- identify older persons, workers (employees, agency, subcontractors) and third parties to be interviewed at the residential care home; and
- inform the audit plan.

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Provider Audit Guides

- Registration audit guide
- Renewal of registration audit guide
- Variation of registration guide

Helps you prepare and take part in audits. It describes:

- The purpose of audits and how they inform (help us make) registration decisions.
- The stages of audit processes.
- What to expect and what to do at each stage.
- The types of evidence we consider during audits.
- How we define our audit ratings.
- The audit tools we use.
- Other relevant resources.

Strengthened Quality Standards guidance

Select all service categories that apply to your service

Does your service provide clinical care?

Select the role types you want to view

Tailored guidance

Strengthened Quality Standards guidance | Aged Care Quality and Safety Commission

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Supporting First Nations providers

- fit for purpose
- culturally appropriate
- tailored resources
- guidance and support



Auditing First Nations Providers

- Adapting our approach
- First nations audit staff members
- Commitment to cultural training for its staff
- Two-way dialogue
- Positive feedback about tailoring our approach

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Where audit fits in regulatory environment



	Continuous Improvement		Safeguarding	
Activity	Audit	Education	Request for Information	Contact visit / inspection
Purpose	Forward looking – assess if a provider can deliver quality, safe care	Forward looking - Build relationships and capability	In response to specific concerns – eg complaints, SIRS, financial reporting Aiming to understand effectiveness of relevant provider risk controls and provider response to concern	
What is being considered	Conformance with Quality Standards	Potential areas of sector risk that can be addressed through sharing of good practice	Provider approach to managing risk and engagement in continuous improvement	Identify if uncontrolled risk is present
If concerns exist / persist after this	Continuous improvement plan (CIP) or condition of registration	Continuous improvement plan, SDAP / BWAS referral	Inspection	Reminder / caution letter, compliance notice etc
Moving forward	Monitoring of CIP	Monitoring of CIP	Monitoring and support as needed	Monitoring e.g. additional contacts or reporting

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Audit vs RBM

Topic	Audit Function	RBM Inspection Function
Purpose	Assess whether a provider can conform with the Strengthened Aged Care Quality Standards and deliver safe, quality care. Audit findings support registration, renewal and variation decisions.	Monitors provider compliance with obligation to identify, assess and manage risks to the safety and wellbeing of older people. Through proactive supervision, RBM seeks to detect emerging risks early, prevent harm, and support providers to implement improvements before risks escalate.
Key Question	"Can the provider demonstrate conformance with the Quality Standards?	"Are risks being effectively managed, and is the provider's risk profile improving over time?"
Primary Focus	Governance, systems, processes, care delivery and outcomes against the Quality Standards.	Understanding risks, monitoring provider performance over time, and seeking assurance that identified risks are being managed effectively.
Approach	Structured assessment against specific standards and outcomes.	Risk-based supervision that is responsive, proportionate and tailored to the provider's circumstances.
Activities	Document review, interviews, observations, file reviews, assessment of governance and care systems.	Targeted enquiries, targeted reviews, inspections, provider engagements, monitoring activities and review of risk information.
Outcome	Conformance, Minor Non-Conformance, Major Non-Conformance.	Decisions about ongoing supervision, monitoring, provider assurances, escalation pathways or closure of identified risks.

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Feedback and questions



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Registration categories and service types

Registration category	Description	Service types
Category 1	Home and community services	•Domestic assistance •Home maintenance and repairs •Meals •Transport
Category 2	Assistive technology and home modifications	•Equipment and products •Home adjustments
Category 3	Advisory and support services	•Hoarding and squalor assistance •Social support and community engagement
Category 4	Personal and care support in the home or community	•Allied health and therapy •Personal care •Nutrition •Therapeutic services for independent living •Home or community general respite •Community cottage respite •Care management •Restorative care management
Category 5	Nursing and transition care	•Nursing care •Assistance with transition care
Category 6	Residential care	•Residential accommodation •Residential everyday living •Residential clinical care •Residential non-clinical care

Guidance and resources

Resource	Link
Audit process	Audit process | Aged Care Quality and Safety Commission
Strengthened Quality Standards guidance	https://www.agedcarequality.gov.au/strengthened-quality-standards
Registration categories	Provider requirements | Australian Government Department of Health, Disability and Ageing
Audit Evidence Collection Tool (AECT)	Audit Evidence Collection Tool (AECT) – Renewal | Aged Care Quality and Safety Commission
Care Delivery Evidence Collection Tool (CDECT) Category 6	Care Delivery Evidence Collection Tool (CDECT) – Residential (Category 6) | Aged Care Quality and Safety Commission
Care Delivery Evidence Collection Tool (CDECT) Category 4 & 5	Care Delivery Evidence Collection Tool (CDECT) – Residential (Category 4 and 5) | Aged Care Quality and Safety Commission

Registration audit guide

Renewal of Registration audit guide

Variation of Registration audit guide