

# Recording a mid-term audit - tasking in COS

## Including tasking a change in scope as part of the mid-term

### Quick Reference Guide – Auditor

If there has been no change in the scope of the registration during the mid-term audit the Auditor is required to complete [Part A only of this QRG](#).

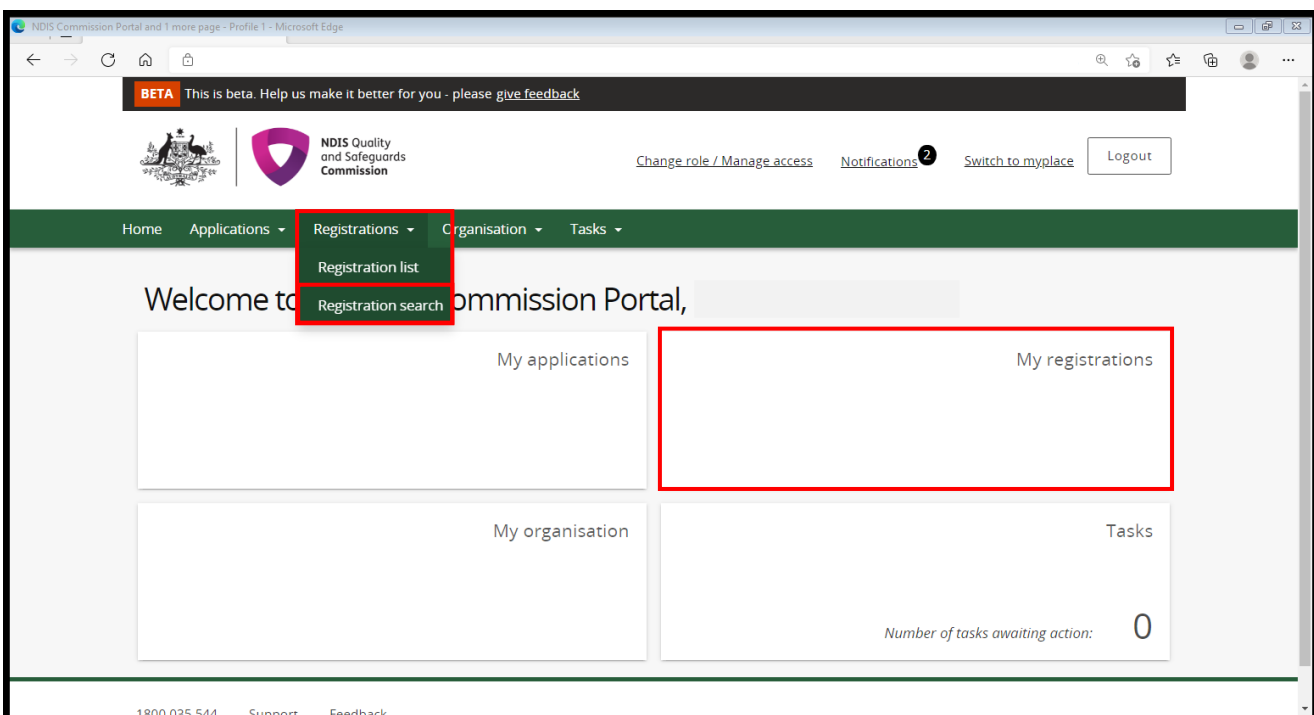
A change in scope to the current registration of a provider is a variation to the registration. **When this has occurred within the mid-term**, the Auditor is required to complete **Part A** and [Part B of this QRG](#).

For information on recording the result of assessment against Schedule 1, Part 3, subsection 16A Emergency and disaster management refer to QRG [Updating audit outcomes for new NDIS practice standards in COS](#).

### Part A - Add mid-term audit in COS

1. Log in to the NDIS Commission's business application system.

Select **Registrations** from the menu bar and select **Registration search**.



## 2. Enter the Registration ID and Select Run search.

Provider registration search - Profile 1 - Microsoft Edge

https://nte04-nqsc.ndiscommission.gov.au/services/app/nqsc\_p\_provider/enu?SWECmd=GotoView&SWEView=FaCS+UX2+NQSC+Portal+Registration+Search+View...

**BETA** This is beta. Help us make it better for you - please [give feedback](#)

NDIS Quality and Safeguards Commission

[Change role / Manage access](#) [Notifications 0](#) [Switch to myplace](#) [Logout](#)

Home Applications Registrations Organisation Tasks

### Q Provider registration search

Search for a provider registration using at least one of the fields below. Additional options are available under advanced search.

Advanced search Basic search

Legal name:

Registration status:

Registration Id:

Business name:

ABN:

[Clear search](#) [Cancel search](#) [Run search](#)

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## 3. Select View from the result list.

Provider registration search and 1 more page - Profile 1 - Microsoft Edge

Home Applications Registrations Organisation Tasks

Advanced search Basic search

Legal name:

Registration status:

Registration Id:

[Clear search](#) [Cancel search](#) [Run search](#)

#### Results(1)

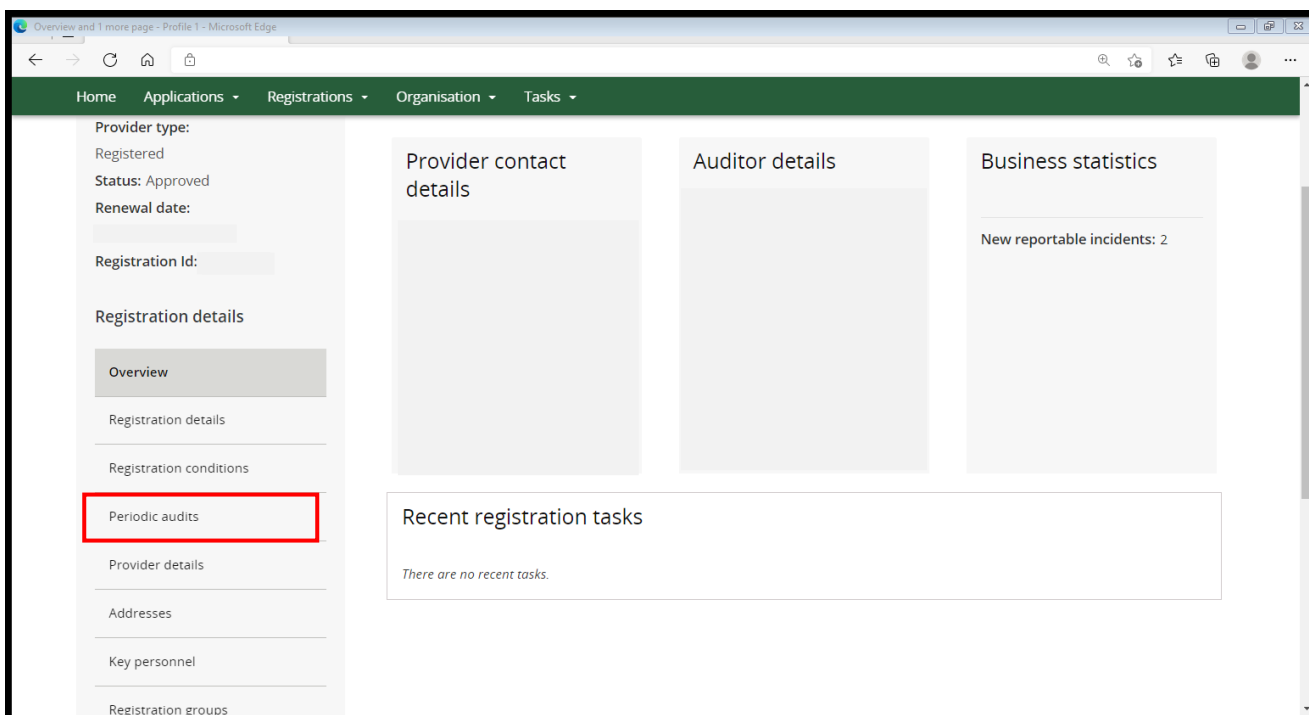
Registration status	Provider legal name	Registration Id	Registration end date	Party type
			19/02/2023 12:00:00 AM	Company

Select Format, Press Export, and Save Download

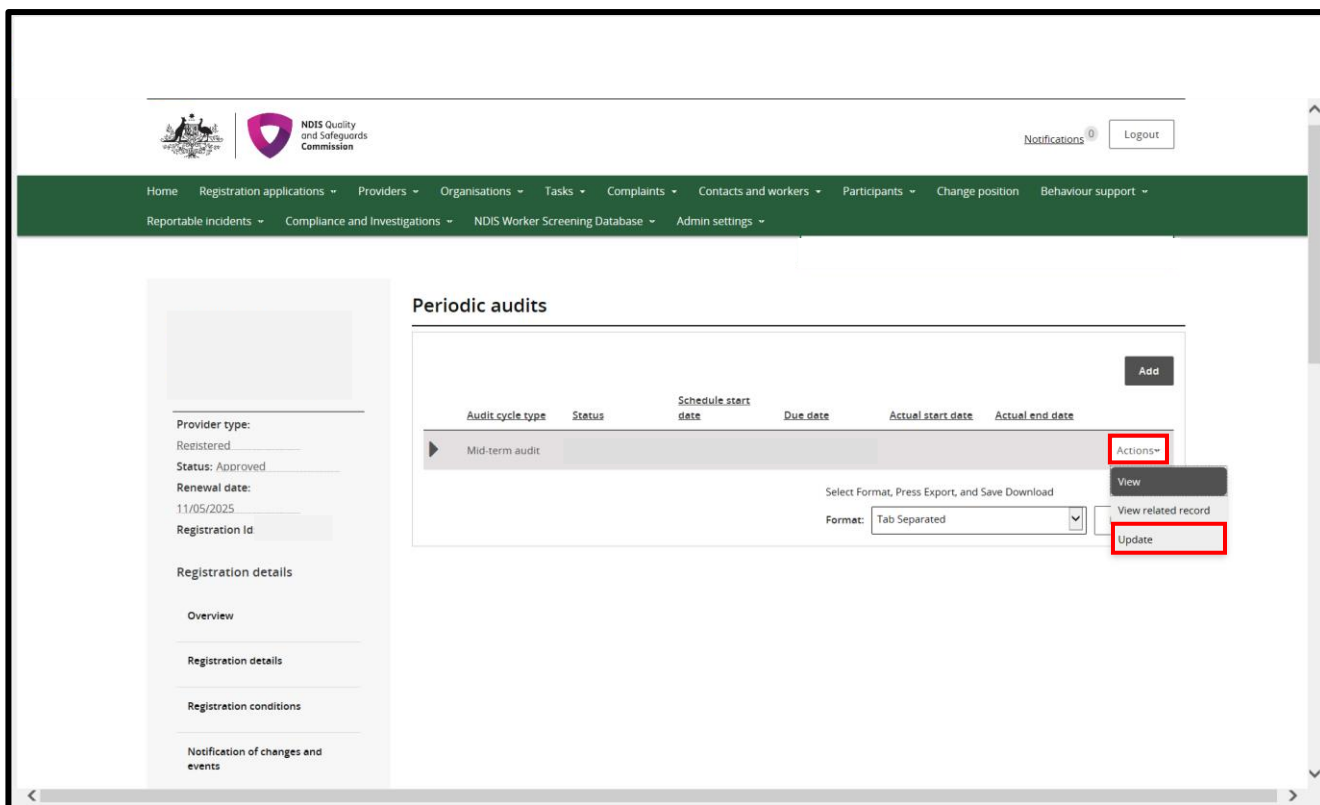
Format:  [Export](#)

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4. In the left hand tab select **Periodic audits**.



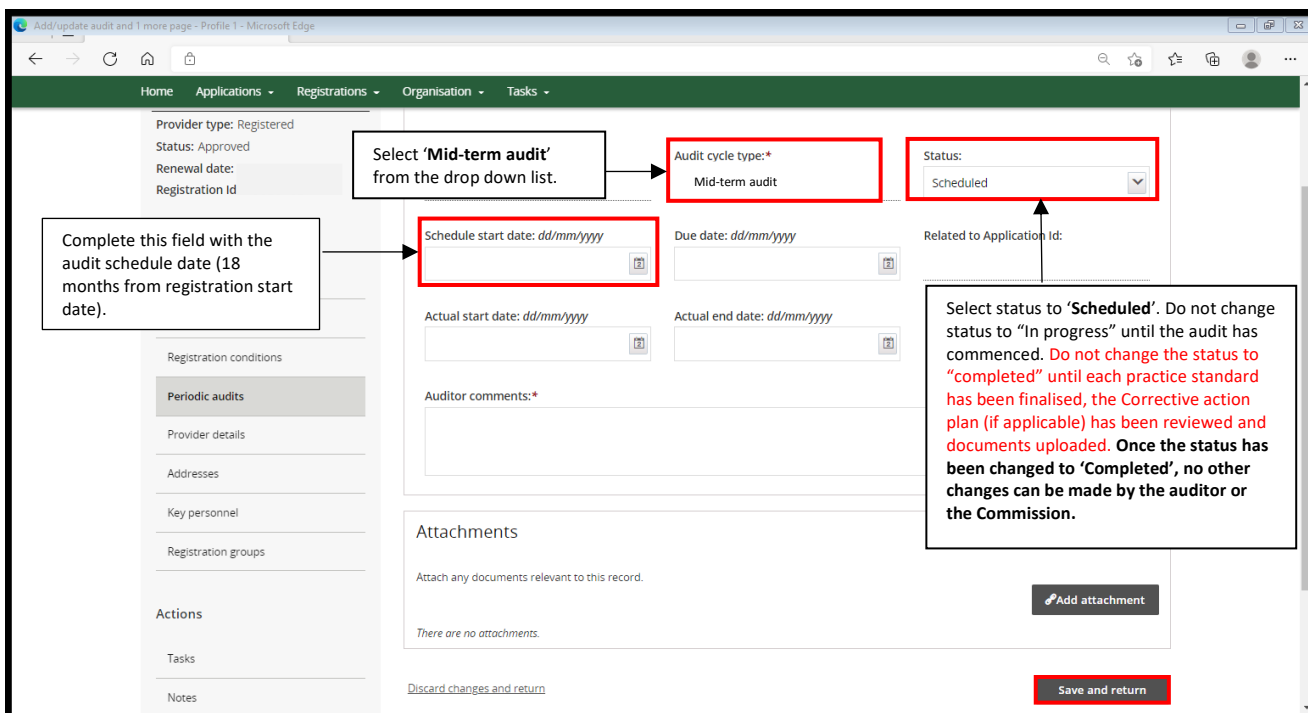
5. If the mid-term audit has been created, click on the **Action** button and select **Update**. Move to step 8.



6. If the mid-term audit has not been created, select **Add** to create.



7. Update the audit details (only complete the below fields in red), auditor to use exact wording/details shown below. Select **Save and return**. You have now created a mid-term audit. Move to step 8.



Cont'd

**\*\*\*IMPORTANT\*\*\*** From June 2022, providers will receive an automated notice if COS does not reflect that a mid-term audit has commenced by the 18 month mark.

Auditors must update the mid-term to **'In progress'** in COS as soon as the audit has commenced to prevent notices being sent to providers who have commenced the process.

- To move an audit to **In progress**, navigate to the **Periodic audits** tab and select update (only complete the below fields in red), auditor to use exact wording/details shown below. Select **Save and return**.

Complete this field with the audit start date.

Change status to 'In progress' once audit has commenced. Do not change status to 'Completed' until each practice standard has been finalised, the Corrective action plan (if applicable) has been reviewed and documents uploaded. Once the status has been changed to 'Completed', no other changes can be made by the auditor or the Commission.

Save and return

Cont'd

9. To move an audit to **Completed**, navigate to the **Periodic audits** tab and select update, (only complete the below fields in red), auditor to use exact wording/details shown below. Once the audit has been completed, upload any attachments by selecting **Add attachment** and attach audit report and any other supporting documentation. Select **Save and return**.

The screenshot shows the 'Add/update audit and 1 more page - Profile 1' form in Microsoft Edge. The form is divided into several sections:

- Provider type:** Registered
- Status:** Approved
- Renewal date:** [Field]
- Registration Id:** [Field]
- Registration details:** [Section]
- Periodic audits:** [Section]
- Provider details:** [Section]
- Addresses:** [Section]
- Key personnel:** [Section]
- Registration groups:** [Section]
- Actions:** [Section]
- Tasks:** [Section]
- Notes:** [Section]

The main form fields include:

- Audit Id:** [Field]
- Audit cycle type:\*** Mid-term audit
- Status:** Completed (highlighted in red)
- Schedule start date:** dd/mm/yyyy
- Due date:** dd/mm/yyyy
- Related to Application id:** [Field]
- Actual start date:** dd/mm/yyyy
- Actual end date:** dd/mm/yyyy (highlighted in red)
- Auditor comments:\*** [Text area]
- Attachments:** Attach any documents relevant to this record. There are no attachments. (Add attachment button highlighted in red)
- Discard changes and return** (button)
- Save and return** (button highlighted in red)

Callout boxes provide additional instructions:

- One box points to the **Actual end date** field with the text: "Complete this field with the audit report submitted date."
- Another box points to the **Status** dropdown with the text: "Change status to 'Completed' once audit and each practice standard has been finalised, the Corrective action plan (if applicable) has been reviewed and audit report submitted/ documents uploaded. Once the status has been changed to 'Completed', no other changes can be made by the auditor or the Commission."

End.

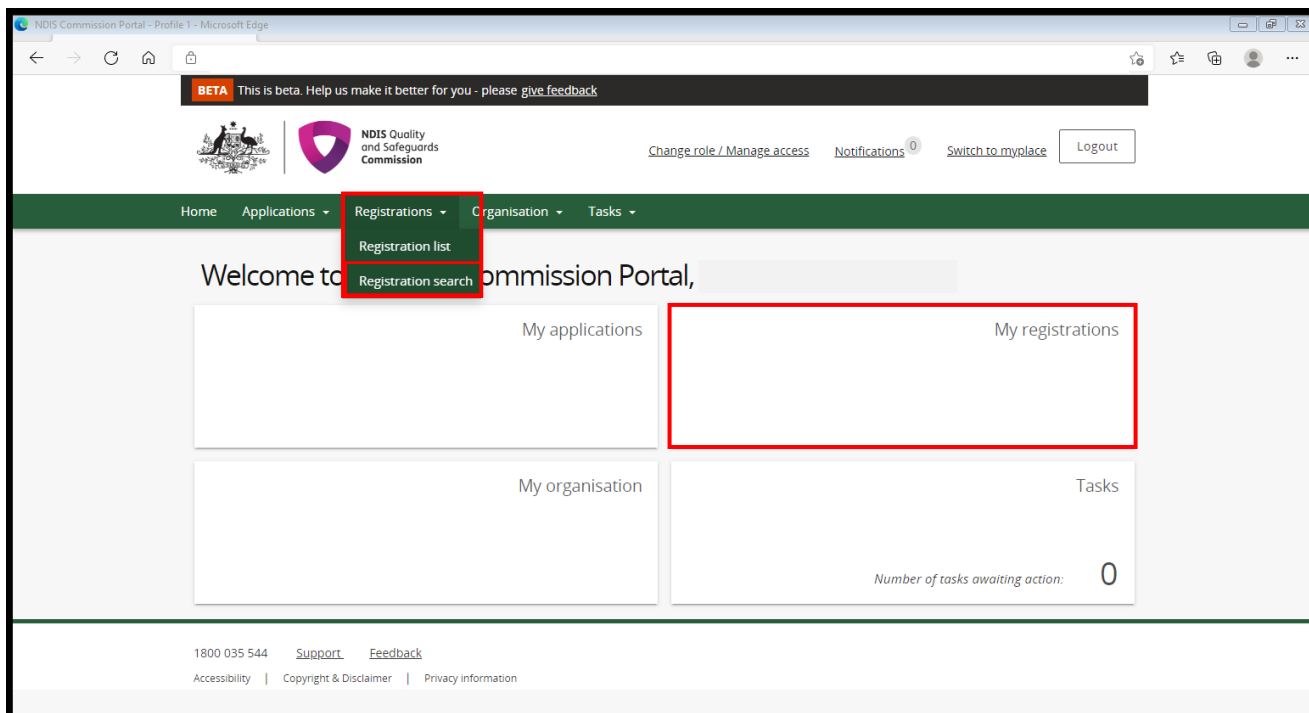
Continue to next page for Part B

## Part B – Create a task in COS

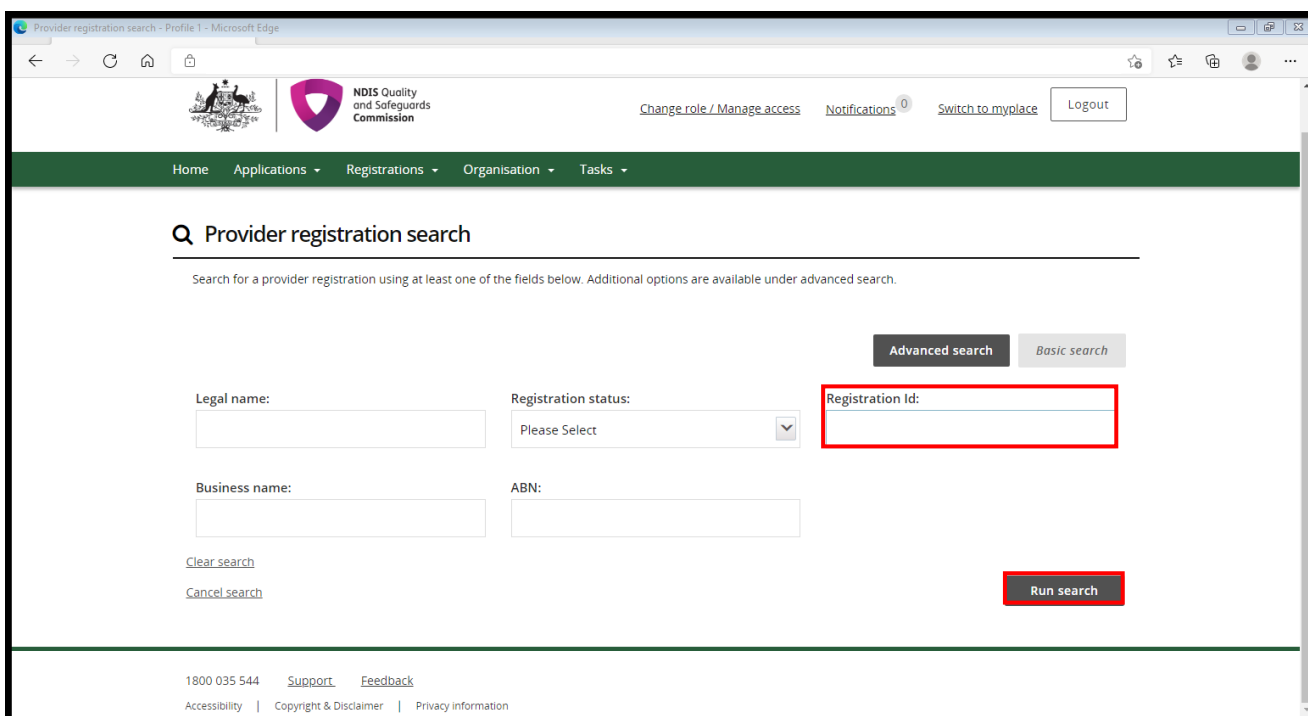
### PART B Create Task in COS - tasking a change in scope as part of the mid-term

To be completed **ONLY** if the mid-term is to increase/decrease scope in service delivery.

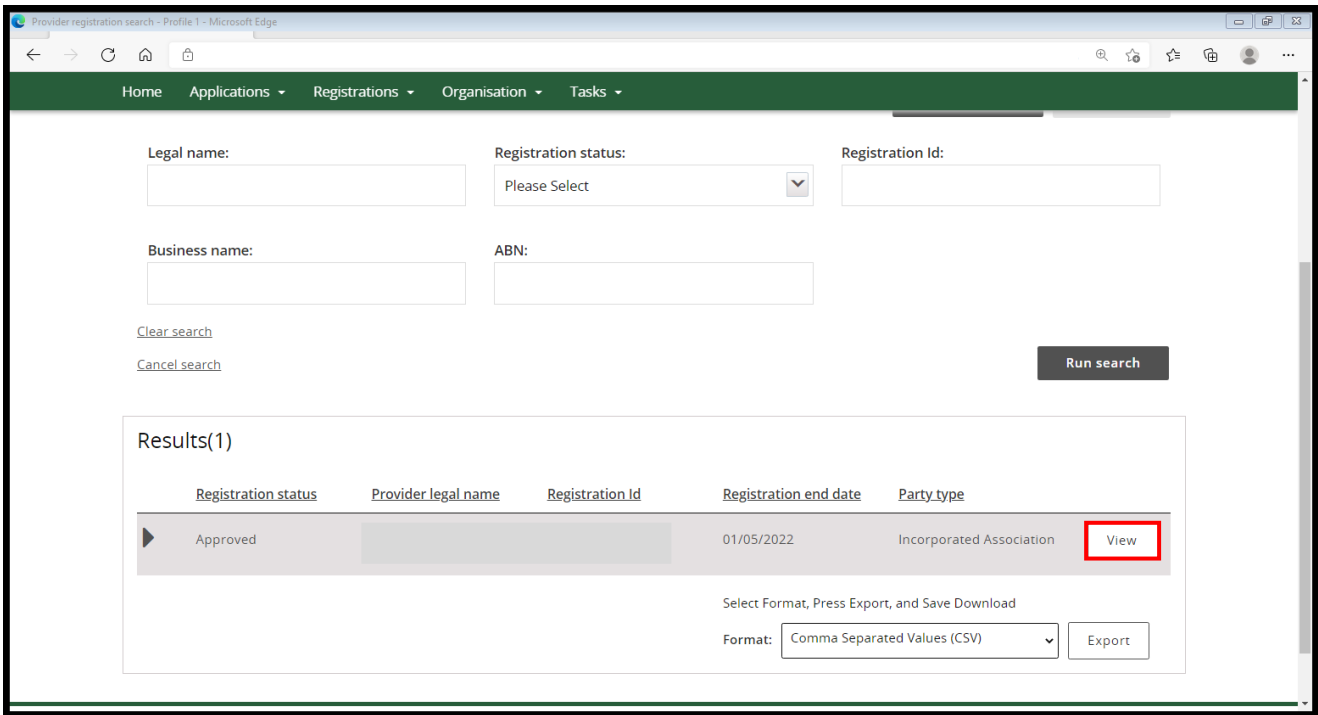
1. Select **Registration** from the menu bar then click **Registration search**



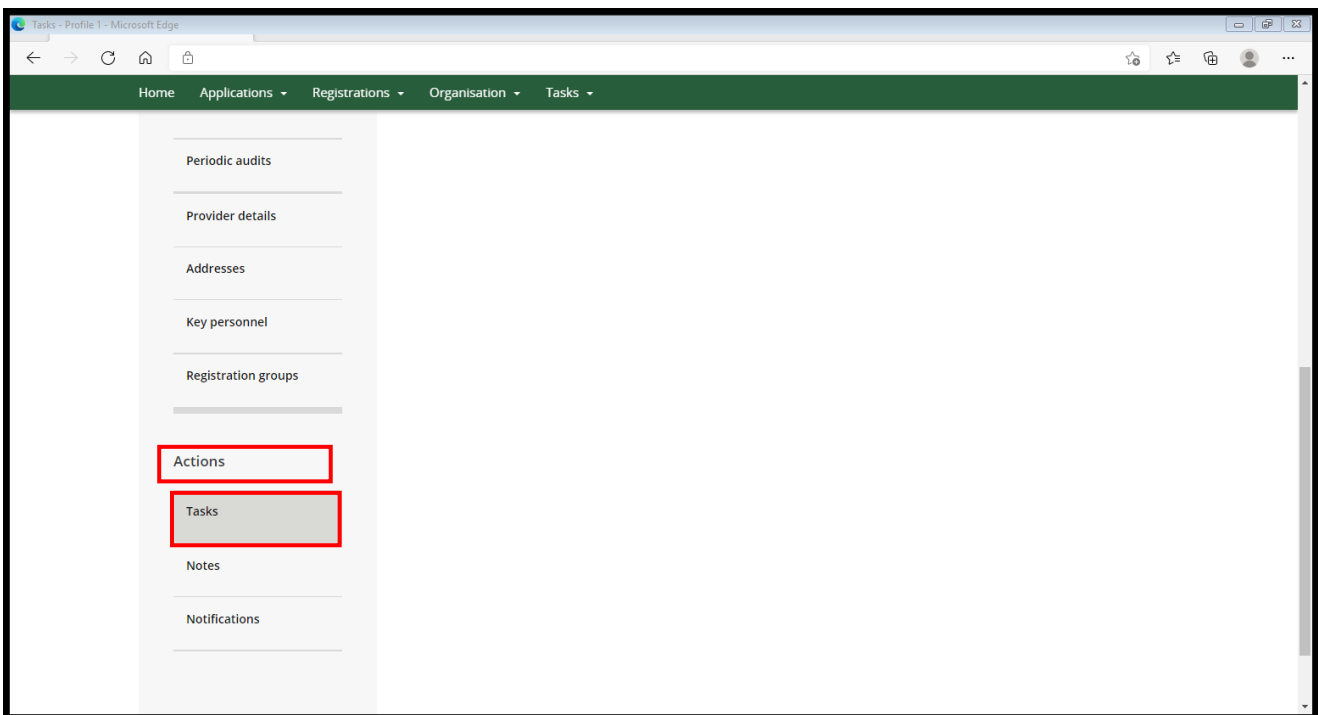
2. Enter the **Registration Id** and select **Run search**.



3. Select **View** from the result list.

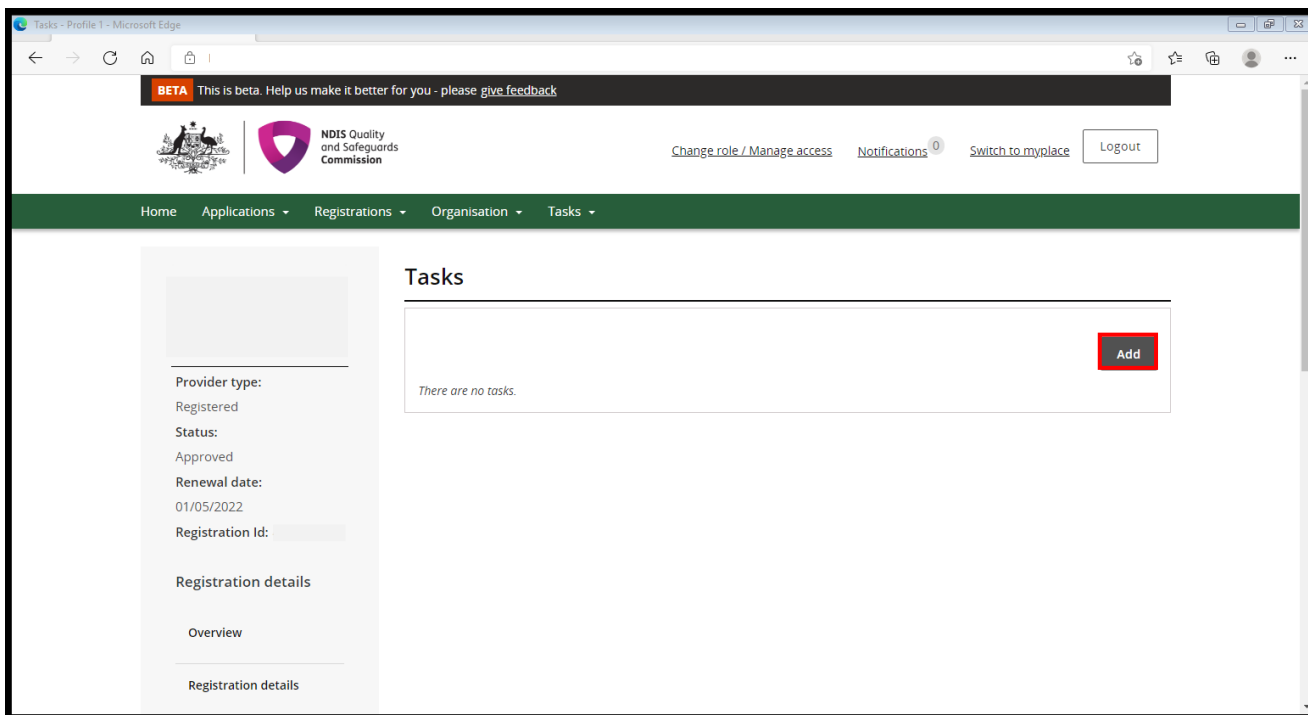


4. Scroll down the left hand tab and under the **Actions** heading select **Tasks** this will open the Task box.

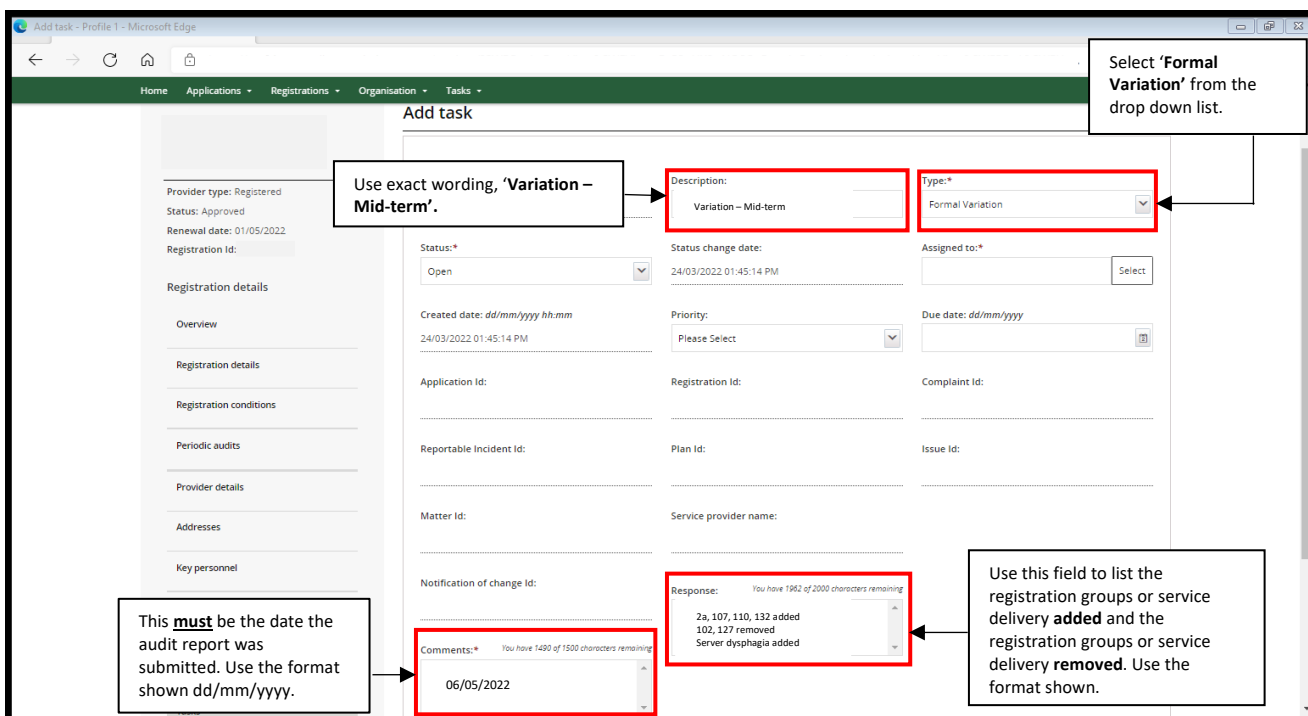




5. In the Task box select, **Add**.



6. Complete details (only complete the below fields in red), auditor to use exact wording below.



7. Once completed select **Save and return**.

The screenshot shows a web application interface for adding a task. The browser title is "Add task - Profile 1 - Microsoft Edge". The navigation menu on the left includes: Home, Applications, Registrations, Organisation, and Tasks. The main content area is titled "Add task" and shows a form with the following fields and sections:

- Registration details
- Registration conditions
- Periodic audits
- Provider details
- Addresses
- Key personnel
- Registration groups
- Actions
  - Tasks (highlighted)
  - Notes
  - Notifications

The form fields include:

- 24/03/2022 03:02:59 PM
- Please Select (dropdown)
- Application Id:
- Registration Id:
- Complaint Id:
- Reportable Incident Id:
- Plan Id:
- Issue Id:
- Matter Id:
- Service provider name:
- Notification of change Id:
- Response: You have 1991 of 2000 characters remaining
  - 24, 107, 110, 132 added
  - 102, 127 removed
- Comments\*: You have 1490 of 1500 characters remaining
  - 06/05/2022

At the bottom of the form, there are two buttons: [Discard changes and return](#) and **Save and return**.

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End.