

Psychosocial Sector NDIS Q&S Readiness Project

Bite-sized NDIS

Dishes: Illuminating Complex Terms & Audit Processes



Supported by:



Government of Western Australia
Department of Communities



WAAMH

Western Australian Association
for Mental Health



Engagement Today



Experiences and questions welcome in chat box at any time



Jump in to ask questions, 'raise' your hand or use the chat box at any time



Today we will be using Mentimeter – an interactive forum; make sure your smart phone is ready!



This is a brave space, let's be kind to each other in our interactions.

Introductions

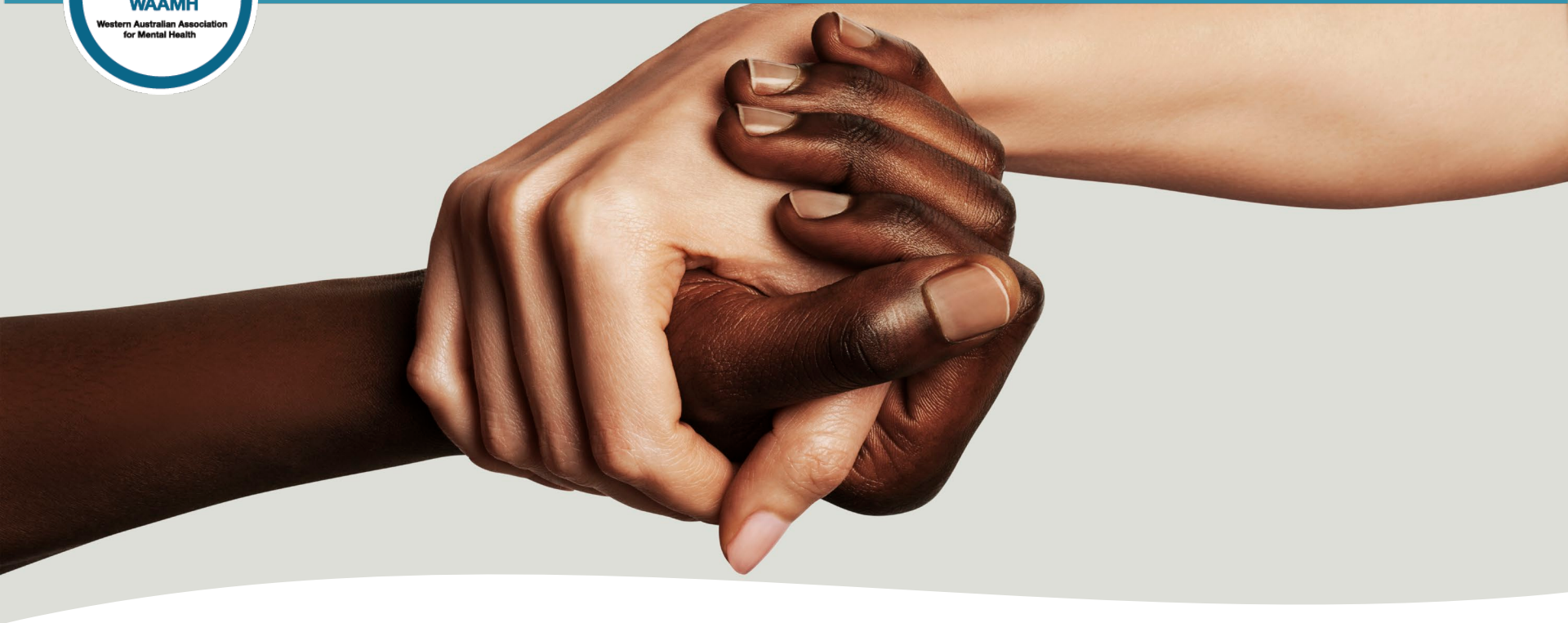




**We acknowledge the traditional
custodians of this land.**

**We recognise their continuing
connection
to land, water and community.**

**And we pay our respects to their Elders
past, present and future.**



We would like to acknowledge the courage and contribution of people with lived experience.



Reviewing Dessert

Positive Behaviour Support

- Processes
- Purpose
- Theories Underpinning PBS

Resources

- FAQs + Resources Page



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Audits: Why?





Responsibilities of Registered Providers

Comply with the NDIS Practice Standards

Comply with the NDIS Code of Conduct

Have an in-house complaints management and resolution system and support participants to make a complaint

Have an in-house incident management system, and notify NDIS Commission of reportable incidents

Comply with worker screening requirements

Meet behaviour support requirements (if applicable)

Comply with additional conditions imposed by NDIS commission

Notify of any changes or events affecting your registration



Audits: What?





“An independent approved quality auditor will assess your organisation against the components of the NDIS Practice Standards that are relevant to the services and supports you deliver.”

-NDIS Q&S Commission



Audits: When?





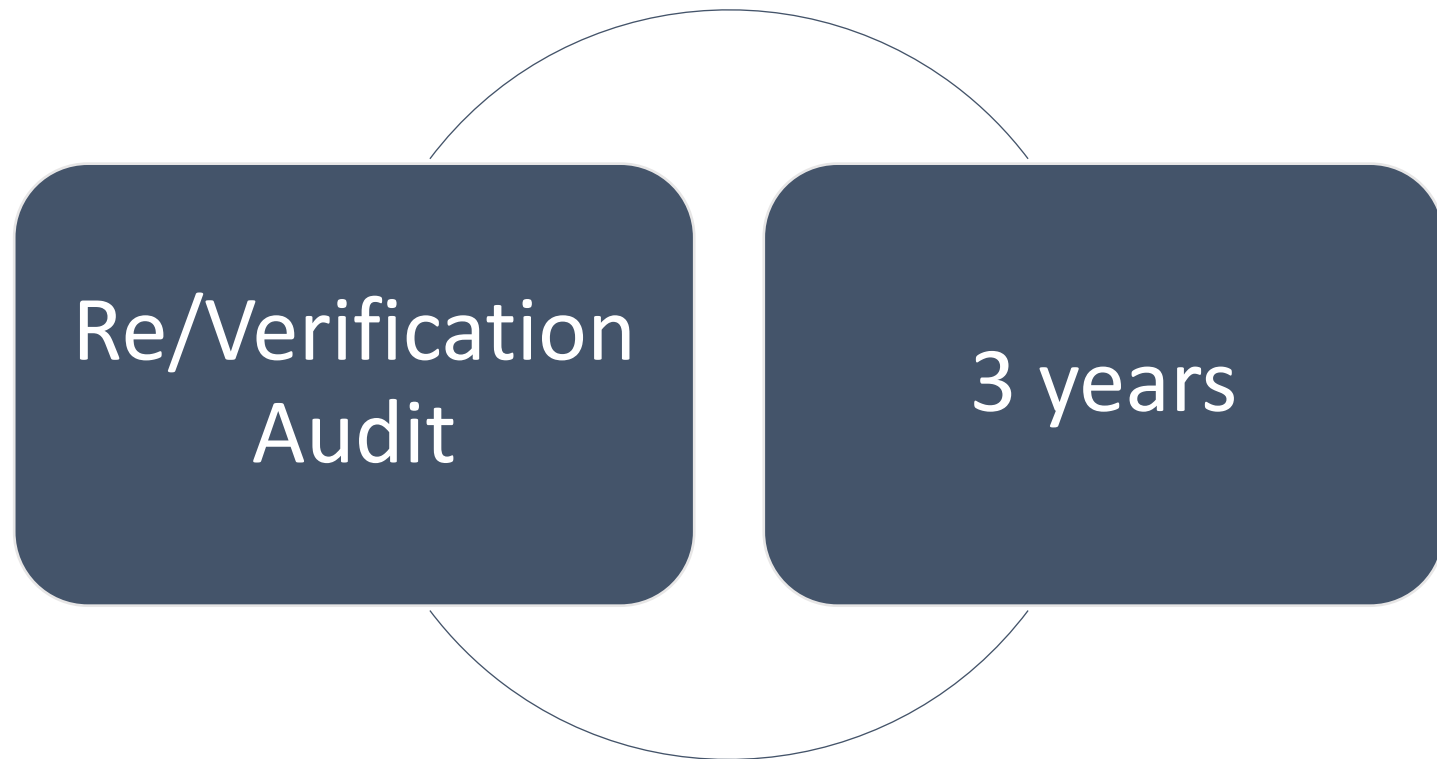


3 Year Audit Cycle: Certification Audit





3 Year Audit Cycle: Verification Audit





Registration Process

- Provide information
- Select registration groups
- Complete a self-assessment against Practice Standards

Start Application
on Portal





Registration Groups

Verification Registration groups (Low Risk)	Certification Registration Groups (Medium Risk)	Supplementary Modules (High Risk)
SERVICES 101. Accommodation/tenancy assistance 108. Assistance with travel/transport arrangements 109. Vehicle Modifications 111. Home modifications 114. Community nursing Care 116. Innovative community participation 119. Specialised hearing services 120. Household tasks 121. Interpreting and Translating 126. Exercise physiology and personal training 127. Management of funding for supports in participant's plans 128. Therapeutic Supports 129. Specialised driver Training 130. Assistance animals 134. Hearing services 135. Customised Prosthetics PRODUCTS 103. Assistive products for personal care and safety 105. Personal mobility Equipment 112. Assistive equipment for recreation 113. Vision equipment 122. Hearing equipment 123. Assistive products in household tasks 124. Communication and Information equipment	102. Assistance to access and maintain employment or higher education 106. Assistance in coordinating or managing life stages, transitions and supports 107. Assistance with daily personal activities 115. Assistance with daily life tasks in a group or shared living arrangement 117. Development of daily care and life skills 125. Participation in community, social and civic activities 133. Specialised supported employment 136. Group and centre-based activities	104. High intensity daily personal activities (Module 1) 110. Specialist positive behaviour support (Module 2) Implementation of restrictive practices (Module 2A) 118. Early intervention supports for early childhood (Module 3) 132. Specialised support Coordination (Module 4) 131. Specialist disability accommodation only (Module 5)



Registration Process





How to Find an Auditor

The screenshot shows the top of the NDIS Quality and Safeguards Commission website. The header includes the Australian Coat of Arms, the Commission's logo, the phone number 1800 035 544, and links for Languages, Portals, and a Search bar. A navigation menu below the header contains links for 'For participants', 'For providers', 'For workers', 'Resources', 'About', and 'Contact us', along with a green 'Make a complaint' button. The main content area has a large purple background with the text 'Find an auditor'. At the bottom, there is a breadcrumb trail 'Home · Resources · Find an auditor', a 'Listen' button with a speaker icon, a 'Print' button with a printer icon, and a partially visible 'Resources' link.

  **NDIS Quality and Safeguards Commission**

1800 035 544  Languages  Portals 

[For participants](#)  [For providers](#)  [For workers](#)  [Resources](#)  [About](#)  [Contact us](#) [Make a complaint](#)

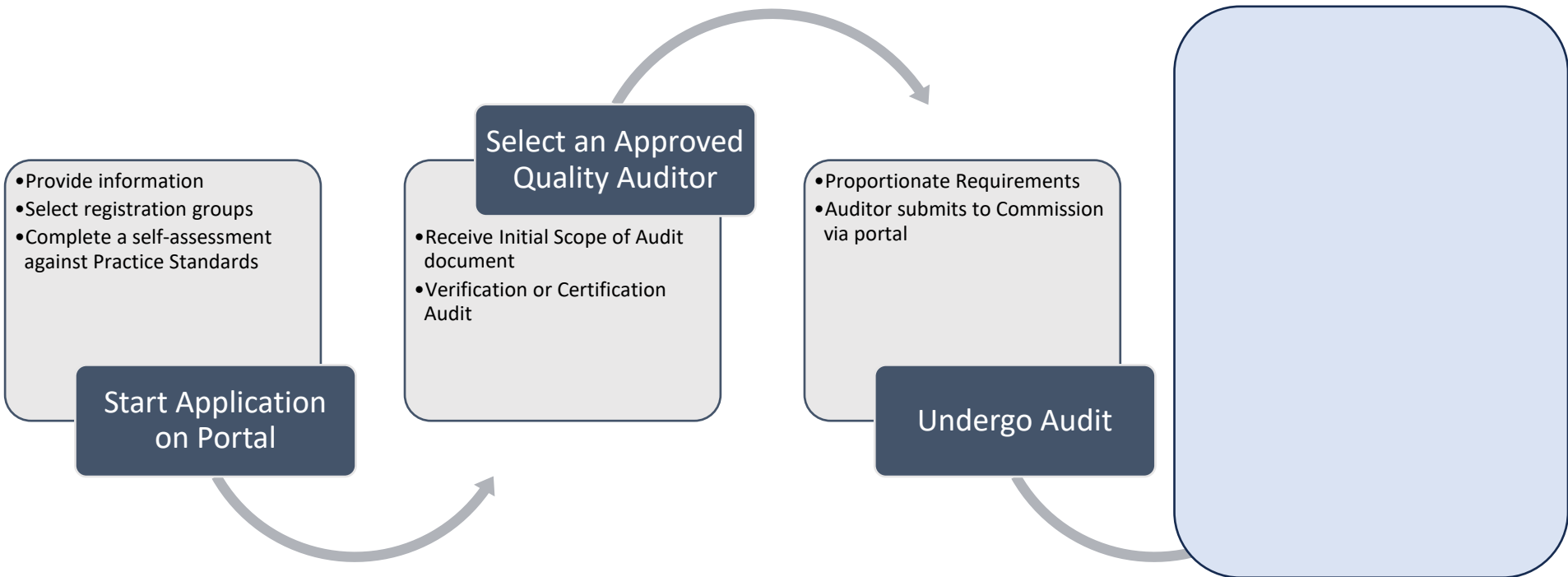
Find an auditor

[Home](#) · [Resources](#) · [Find an auditor](#)  Listen  Print [Resources](#)

<https://www.ndiscommission.gov.au>



Registration Process



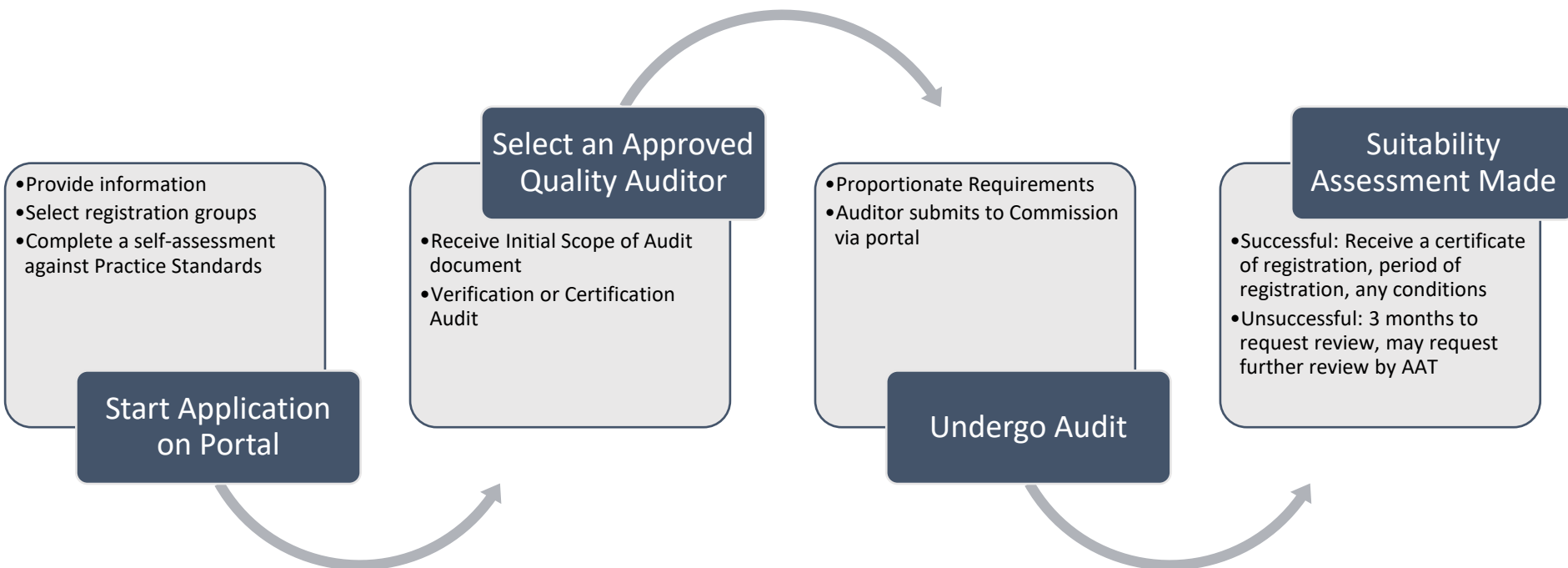
Proportional Requirements

“This means...a provider with only a few workers and a small number of participants needs to present a different level of evidence to meet requirements, compared to a national provider with a large workforce and many participants.”





Registration Process





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Audits: How?



Make a Plan

1.

- Access NDIS Q&S portal

2.

- Conduct self-assessment

3.

- Develop a plan/book auditor

4.

- Review documents

5.

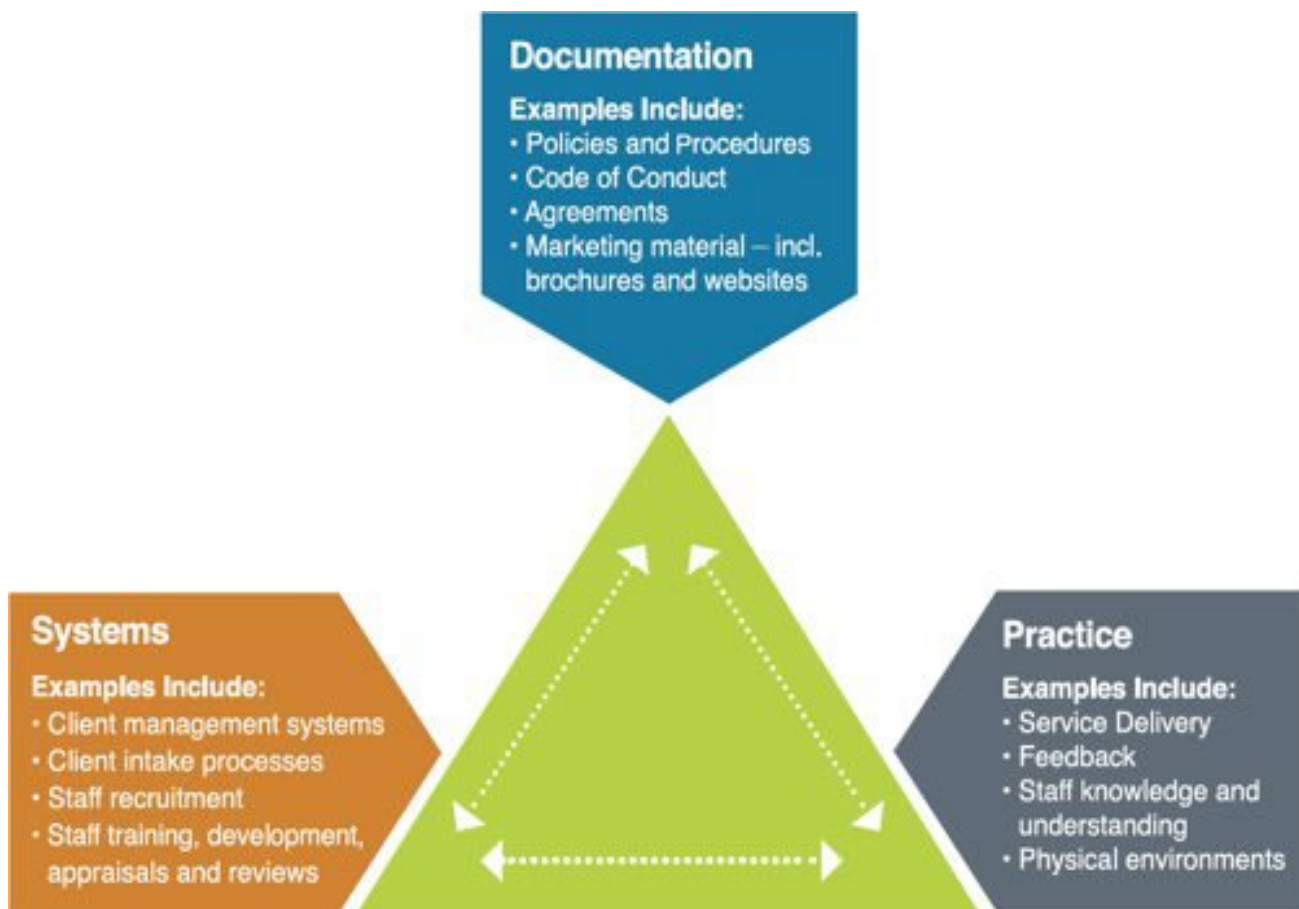
- Document future actions

6.

- Provide information to auditor as requested



What will I be audited on?





Sample Documentation Request

Documents	Y	N/A	Comments
Example: Complaints Forms		x	No complaints have been made
Consent Form <i>(1 for each participant)</i>			
Participant Risk Assessment <i>(1 for each participant)</i>			
Support Plans <i>(1 for each participant)</i>			
Service Agreement <i>(1 for each participant)</i>			
Emergency Plan <i>(1 for each participant)</i>			
Home/Environment Risk Assessment <i>(generally 1 for each participant)</i>			
Example Participant Progress/Case Notes			
Worker screening documents			



Sample Documentation Request

Worker screening documents

***Place these in separate folders under each worker's name**

Required for all workers:

- 100 points ID
- NDIS Orientation Module certificate

Documents that workers may have, if applicable:

- Relevant qualifications
- First Aid Certificates
- Infection Control Training
- Working with Children Check
- NDIS Worker Screening Check
- Police checks

Car license, registration and insurance for any workers who drive participants

Insurance Certificates of Currency

1. Public Liability
2. Professional Indemnity or Medical Malpractice
3. WorkCover or Accident



Sample Auditor Responses

CORE MODULE DIVISION 1 – RIGHTS AND RESPONSIBILITIES

6. Person-Centred Supports	Outcome: Each participant accesses supports that promote, uphold and respect their legal and human rights and is enabled to exercise informed choice and control. The provision of supports promotes, upholds and respects individual rights to freedom of expression, self-determination and decision-making.	Rating 2
Indicator 6.1	Each participant legal and human rights are understood and incorporated into everyday practice.	2
Indicator 6.2	Communication with each participant about the provision of supports is responsive to their needs and is provided in the language, mode of communication and terms that the participant is most likely to understand.	2
Indicator 6.3	Each participant is supported to engage with their support network and chosen community as directed by the participant.	2

Auditor Evidence and Comments:

The Able to Serve Community **Participant Rights and Responsibilities Policy and Procedure** and the **Service Delivery** – Able to serve Community states that the provider respects and fully commits to upholding the rights of all people and that participant rights and responsibilities will be discussed with them during intake and assessment.

The **Service Agreement** will be provided outlining the rights and responsibilities of both the participant and the worker regarding the provision of supports in response to their needs. Access to interpreters or advocates is provided where required. The participant's family /support representatives are engaged closely throughout all information sharing. Services are provided and delivered in a person-centred way to enable participant choice and control through the provision of clear, transparent, and well-documented service delivery options.

The **Service Agreement** includes information regarding how the provider will interact with the participant, including the right to be communicated with openly, and in an honest and timely manner, and be treated with dignity, courtesy and respect.

Supporting Documentation

- Abuse-Neglect and Exploitation Policy and Procedure
- Privacy and Confidentiality Policy and Procedure
- Diversity and Inclusion Policy and Procedure.



Compliance Ratings - 3



The NDIS provider can clearly demonstrate conformity with ***best practice*** against the criteria.

Best practice is demonstrated through ***innovative, responsive*** service delivery, underpinned by the principles of ***continuous improvement*** of the systems, processes and associated with the outcomes.



Compliance Ratings - 2



The NDIS provider can clearly demonstrate that the ***outcomes and indicators are met*** as proportionate to the size and scale of the provider – evidence may include practice evidence, training, records and visual evidence.

This would mean there was ***negligible risk*** and certification can be recommended.



Compliance Ratings - 1



A rating of 1 will ***require a corrective action plan*** which ***reduces*** the likelihood of any ***risks*** identified occurring or impacting participant safety ***before*** certification or verification can be recommended...



Compliance Ratings - 1



One of two situations usually exists in relation to Minor Non-Conformity:

- There is evidence of appropriate process, systems or structure implementation, ***without the required supporting documentation.***
- A documented process, system or structure is evident, but the provider is ***unable to demonstrate implementation, review or evaluation*** where this is required.



Compliance Ratings - 0

The NDIS provider is ***unable to demonstrate*** appropriate process systems or structures to meet the required outcome and indicators and/or the ***gaps in meeting the outcome present a high risk.***



Compliance Ratings - 0

Three Minor Non-Conformities (1s) within the same module may also constitute a Major Non-Conformity.

A rating of 0 will ***preclude a recommendation for verification.***



Sample Compliance Ratings



Compliance Status Standard	Name	Rating
Division 1: Rights and Responsibilities		2
6	Person-Centred Supports	2
7	Individual Values and Beliefs	2
8	Privacy And Dignity	2
9	Independence And Informed Choice	2
10	Violence, Abuse, Neglect, Exploitation and Discrimination	2
Division 2: Governance and Operational Management		0
11	Governance And Operational Management	1
12	Risk Management	2
13	Quality Management	1
14	Information Management	2
15	Feedback And Complaints Management	2
16	Incident Management	2
17	Human Resource Management	1



What are non-conformities?

Minor

Lacking evidence of policy/procedure or lacking evidence of implementation: Important but not always urgent. Corrective action plan required for audit to be completed via recommendation to NDIS.

Major

Not demonstrating meeting the NDIS requirements: urgent action required, prevents re-registration. Corrective action plan must be implemented within three months.



Example non-conformities

Non-Conformity

An Organisation Chart is sighted with the roles/positions identified as: Chief Executive, Administrative Support, Sales and Marketing Director, Operations Director and Finance Director. These roles are not supported with the respective Position Descriptions.

Position Descriptions are available for the Support Worker and Specialist Positive Behaviour Support Worker. However, the roles of the Support Worker and Specialist Positive Behaviour Support Worker are not in the Organisation Chart.

Also, the Position Description of the Specialist Positive Behaviour Support Worker is incomplete. The professional qualification and experience as pre-requisites for the role has not been defined.



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Terms



SECTOR READINESS PROJECT for Psychosocial Service Providers

NDIA

- National Disability Insurance Agency

NDIS

- National Disability Insurance Scheme

Q&S

- National Disability Insurance Scheme Quality and Safeguarding Commission
- 'The Commission'



SECTOR READINESS PROJECT for Psychosocial Service Providers

AT

- Assistive Technology

SDA

- Specialist Disability Accommodation

SIL

- Supported Independent Living

STA

- Short Term Accommodation

MTA

- Medium Term Accommodation



SECTOR READINESS PROJECT for Psychosocial Service Providers

PitC

- Partners in Community

LAC

- Local Area Coordinator

Planner

- National Disability Insurance Agency employee

SC

- Support Coordinator

RC

- (Psychosocial) Recovery Coach



SECTOR READINESS PROJECT for Psychosocial Service Providers

BSP

- Behaviour Support Plan
- Behaviour Support Practitioner

RP

- Restrictive Practice

ARP

- Authorised Restrictive Practice

RRP

- Regulated Restrictive Practice

PBS

- Positive Behaviour Support



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Resources

SAFEGUARDING SAFETY TOOLBOX



"Looking to the Other Side"

This Tool explores the differences between safeguarding and safety planning.



"Putting It Together"

This Tool explores the similarities between safeguarding and safety planning.



"Zooming In"

This Tool provides examples of how the NDIS Quality and Safeguarding Practice Standards align with safeguarding, and explores considerations about safeguarding for service providers.



"Support"

This Tool encourages you to grapple with the implications of safeguarding, as well as providing further resources and reading materials.

WAAMH CARE Hub





Any final questions?



“Clarity and simplicity are the antidotes to complexity and uncertainty.”
-General George Casey



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Thank You

Please note:
You will be sent a link to a
short quiz to be completed
over the next week.

This will assist you in
integrating your knowledge
from today's session.

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