

# NDIS Webinar: What to expect during a verification audit

Wednesday 5 February 2020



Quality  
Innovation  
Performance

# Welcome



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Accreditation Services





# Acknowledgement

We acknowledge the Aboriginal and Torres Strait Islander people as the Traditional Owners of these lands.

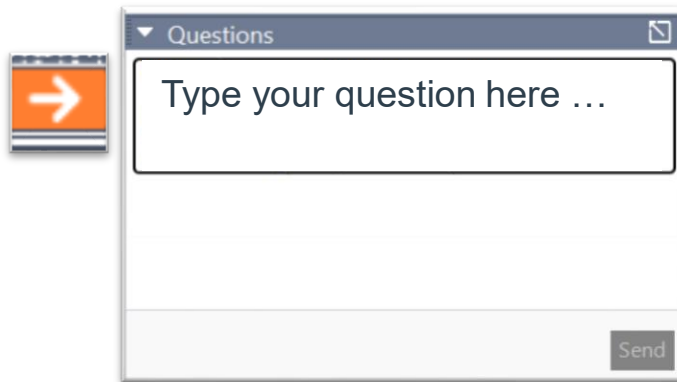
We wish to pay respect to their Elders – past, present and emerging – and acknowledge the important role Aboriginal and Torres Strait Islander people continue to play within our communities.

# Today's agenda

- About QIP
- The value of NDIS registration
- NDIS verification registration groups
- The verification audit
- NDIS Code of Conduct
- QIP NDIS verification process overview
- Q&A

# Before we get started

- Webinar recording uploaded to a QIP webpage and link will be emailed to you after webinar.
- For any QIP clients, the recording will also be uploaded to your QIP accreditation hub
- Submit questions at any time throughout the webinar



- Answered during Q&A time
- Any queries not covered will be in the follow-up information

Refer to NDIS Commission's website and resources





# About QIP



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**accreditation | certification | verification**  
health | community | disability services

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APPROVED  
**QUALITY  
AUDITOR**  
- UNDER THE -  
**NDIS QUALITY  
AND SAFEGUARDS  
COMMISSION**



**10,000  
CLIENTS**

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**NOT-FOR-PROFIT**

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AUSTRALIA-WIDE

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**25+ YEARS**

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committed to your long-term success in  
**improving the lives of those you work with**

# About QIP

- QIP is a NDIS Commission Approved Quality Auditor
- QIP acknowledges navigating the NDIS can be challenging
- We offer:
  - an in-depth understanding of the NDIS Practice Standards and Quality Indicators
  - professionally trained and qualified auditors to requirements of *NDIS (Approved Quality Auditors Scheme) Guidelines 2018*
  - unparalleled administrative support and disability-sector experienced auditors



# How QIP supports you



We understand how to apply and what is important to the NDIS Commission



## **Client Liaison Officers**

Talk to us about your NDIS registration and/or the verification process as often as you need



## **Access our online hub**

To help your quality improvement journey

# About QIP

- QIP's fees are affordable and transparent
- We don't surprise you with any extra fees

## TIP

### Quotes from more than one quality auditor?

Scrutinise them carefully to compare like for like – different auditors use different methods to calculate and present their pricing or charge out administrative and/or other support in increments



# The value of NDIS Registration

# The value of NDIS registration

- Assurance that you are:
  - operating according to the high standards set by the NDIS Commission
  - providing safe, high-quality services to NDIS participants
  - continuous quality improvement
- Valuable asset in the context of the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability now underway
- Relatively affordable

# The value of NDIS registration

- Not overly difficult (desktop audit)
- Once in place, it's fairly simple
- NDIS needs a diverse pool of verified registered providers to deliver high-quality supports to people with disability
- Connect to all NDIS participants regardless type of plan
  - NDIA-managed
  - Plan Managed or
  - Self-managed by the participant



# The value of NDIS registration

- Market your services as an NDIS-registered provider
- Extend online presence through the online NDIS Provider Finder tool
- Access online resources to
  - train your staff
  - create business processes and systems (including manage your service bookings and fast payment processing)
- Receive updates from the NDIS Commission about important changes to processes and systems



# NDIS Verification Registration Groups





# NDIS verification registration groups

- Accommodation/tenancy assistance
- Assistance products for personal care and safety
- Personal mobility equipment
- Assistance with travel/transport arrangements
- Vehicle modifications
- Home modifications
- Assistive equipment for recreation
- Vision equipment
- Community nursing care
- Innovative community participation
- Specialised hearing services
- Household tasks
- Interpreting and translating
- Hearing equipment
- Assistive products in household tasks
- Communication and information equipment
- Exercise physiology and personal training
- Management of funding for supports in participant's plans
- Therapeutic supports
- Specialised driver training
- Assistance animals
- Hearing services
- Customised prosthetics





# NDIS Verification Audit

# Verification audit

QIP checks and confirms that you are suitably qualified and you understand and implement systems that ensure:

- The rights and responsibilities of people with disability
- Human resource management to hire and utilise the right staff for the work you undertake
- Good governance with a focus on incident management and complaints management

# Verification audit

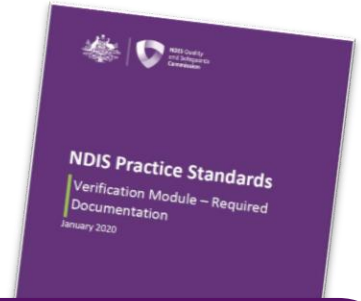
- Based on the information you provided when completing your 'self-assessment'
- Three types of requirements
  1. **General requirements** – applies to all providers
  2. **Worker screening** – applies to specific personnel
  3. **Additional requirements** – based on profession



# 1. General requirements

To comply and maintain your registration, all providers must show evidence of:

- **Human Resource Management**
- **Incident Management**
- **Complaints Management**
- **Risk Management**



## Check the Standards!

Proportionate to the risk and complexity of your services and the size and scale of your organisation

**HINT**

# Human resource management

## NDIS Practice Standards intended outcome:

“Each participant’s support needs are met by workers who are competent in relation to their role, hold relevant qualifications, and who have relevant expertise and experience to provide person-centred support.”



# Human resource management

## NDIS Practice Standards Indicator

Records of worker identity, right to work, pre-employment checks, qualifications and/or experience are maintained.

### Examples of documentary evidence required

- Human resource management policy includes processes for managing worker identification, right to work, pre-employment checks, qualifications and/or experience
- Evidence of worker screening for each individual
- Proof of identification (100 points – *for individuals / partnerships only*)
- Proof of right to work in Australia for each individual
- Qualification and experience for each individual
- Additional requirements depending on profession (refer to Section 3 of the *NDIS Verification Module – Required Documentation*)

# Human resource management

## NDIS Practice Standards Indicator

Workers complete mandatory NDIS orientation module and records of continuing professional development are maintained.

## Examples of documentary evidence required

- Verification of completion, NDIS Worker Orientation Program for each individual



# Incident management

## **NDIS Practice Standards intended outcome:**

“Each participant is safeguarded by the provider’s incident management system, ensuring that incidents are acknowledged, respond to, well-managed and learned from.”





# Incident management

## NDIS Practice Standards Indicator

An incident management system is maintained that is relevant and proportionate to the scope and complexity of supports delivered and the size and scale of the organisation. The system complies with the requirements under the *National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018*.

## Examples of documentary evidence required

- Policy – incident management that complies with the requirements under the *NDIS Incident Management and Reportable Incidents Rules 2018*
- Incident system/register which has as a minimum ...
- Incident forms
- Employment records shows employees have been trained in the incident management system

# Complaints management

## NDIS Practice Standards intended outcome:

“Each participant has knowledge of and access to the provider’s complaints management and resolution system. Complaints made by all parties are welcomed, acknowledged, respected and well-managed.”



# Complaints management

## NDIS Practice Standards Indicator

A complaints management and resolution system is maintained that is relevant and proportionate to the scope and complexity of supports delivered and the size and scale of the organisation. The system follows principles of procedural fairness and natural justice and complies with the requirements under the *National Disability Insurance Scheme (Complaints Management and Resolution) Rules 2018*.

## Examples of documentary evidence required

- Complaint information is readily accessible by the public
- Policy – complaints management process that complies
- Complaints Form used to document complaints
- Records show employees have been trained in complaints management system
- Feedback and Complaints Register

# Risk management

**NDIS Practice Standards intended outcome:**

“Risks to participants, workers and the provider are identified and managed.”



# Risk management

## NDIS Practice Standards Indicator

A documented system that effectively manages work health and safety risks is in place, and is relevant and proportionate to the size and scale of the provider and the scope and complexity of supports.

### Examples of documentary evidence required

- Work health and safety policies and procedures relevant to the supports delivered – policies should be proportionate to the size and scale of the provider and the scope and complexity of the supports being delivered

# Risk management

## NDIS Practice Standards Indicator

Appropriate insurance is in place, including professional indemnity, public liability and accident insurance.

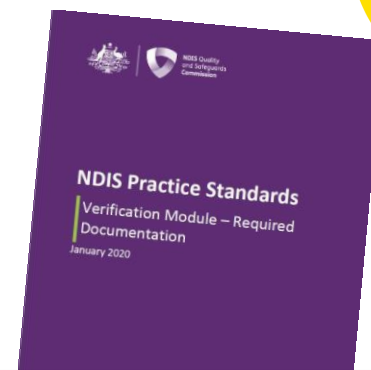
### Examples of documentary evidence required

- Certificate of currency for:
  - current public liability insurance that meets the minimum level of cover commensurate to the scope of the provider
  - current personal accident insurance or worker's compensation insurance (where relevant)
  - current insurance that meets the minimum level of cover commensurate to the scope of the provider

## 2. Worker screening

To guarantee that you or people in your organisation who deliver specified NDIS supports or services, or who have more than incidental contact with people with disability, do not pose an unacceptable risk to the safety and wellbeing of NDIS participants:

- **Ensure that specific workers are appropriately checked**



### Check the Standards!

Page 7 of the NDIS Practice Standards Verification Module – Required Documentation

**HINT**

# Worker screening

## Who needs to be screened?

- Key personnel – people who hold key executive, management or operational positions in an organisation such as:
  - directors
  - managers
  - board members
  - chief executive officer or
  - chairperson
- ‘More than incidental contact’ with NDIS participants
- Roles that directly deliver specified supports or services – listed at: [www.ndiscommission.gov.au/document/891](http://www.ndiscommission.gov.au/document/891)



# Worker screening

- You are expected to also promote a culture that
  - does not tolerate abuse, neglect, exploitation
  - focuses on continuous upskilling, education, training for workers

**TIP**

**Check the NDIS Website!**

[www.ndiscommission.gov.au/  
providers/worker-screening#01](http://www.ndiscommission.gov.au/providers/worker-screening#01)

### 3. Additional requirements

- NDIS outlines additional requirements for 40+ different professions providing services to people with disability
- Relating to professional qualifications and experience



**HINT**

#### **Check the Standards!**

NDIS Practice Standards Verification Module – Required Documentation, Section 3 from page 8



# NDIS Code of Conduct

# The NDIS Code of Conduct

The Code of Conduct promotes safe and ethical service delivery and applies to ALL disability service providers – registered and unregistered – and all persons employed or otherwise engaged by an NDIS provider.

It requires workers and providers delivering NDIS supports to:

- Act with respect for individual rights to freedom of expression, self-determination, and decision-making in accordance with relevant laws and conventions
- Provide supports and services in a safe and competent manner with care and skill
- Respect the privacy of people with disability
- Act with integrity, honesty, and transparency

# The NDIS Code of Conduct

It requires workers and providers delivering NDIS supports to:

- Promptly take steps to raise and act on concerns about matters that might have an impact on the quality and safety of supports provided to people with disability
- Take all reasonable steps to prevent and respond to all forms of violence, exploitation, neglect, and abuse of people with disability
- Take all reasonable steps to prevent and respond to sexual misconduct
- Registered NDIS providers must also actively promote a culture that does not tolerate abuse, neglect or exploitation, and focuses on continuous upskilling, education and training for workers

**TIP**

**Check the NDIS Website!**

[www.ndiscommission.gov.au/  
providers/ndis-code-conduct](http://www.ndiscommission.gov.au/providers/ndis-code-conduct)



# QIP's NDIS Verification Process Overview

# The QIP verification audit process

## STEP 1

### Registration or re-registration with the NDIS Commission

- Select your registration groups  
(do not overstate; only choose what you actually do as you will be audited on your registration groups)
- Complete your self-assessment and receive scope of audit

## STEP 2

### Contact QIP

Contact QIP via the NDIS Commission portal or  
📞 1300 888 329 ✉️ [ndis@qip.com.au](mailto:ndis@qip.com.au) requesting  
quote for the 'Verification Summer Special'



Quality  
Innovation  
Performance

# The QIP verification audit process

## STEP 3

### Accept QIP quote and commence verification process

- Accept QIP's quote and work with your QIP Client Liaison Officer to schedule your verification audit
- Your QIP qualified and sector-experienced auditor will undertake a comprehensive desktop review of your self-assessment (that is, electronically – we do not need to do a site visit; we review and verify your self-assessment documentation)



# The QIP verification audit process

## STEP 4

### Reporting

- Once the audit is complete, a draft report of QIP's findings will be provided to you and you have the opportunity to address any areas of non-conformity before the final report is submitted to the NDIS Commission
- QIP submits the final report to the NDIS Commission with a recommendation for verification
- The final decision to award you verification and therefore continue your NDIS registration is the NDIS Commission's responsibility

# The QIP verification audit process

## STEP 5

## Verification

Once awarded NDIS registration, you will:

- receive a certificate of registration from the NDIS Commission outlining your registered services, registration period and conditions
- be listed on the NDIS provider register and participants of all types can now access your services
- enter your ‘quality improvement cycle’ until you are required to undergo a re-verification audit

# Q&A



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