The NDIS certification audit explained

Thursday 6 February 2020





### 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.





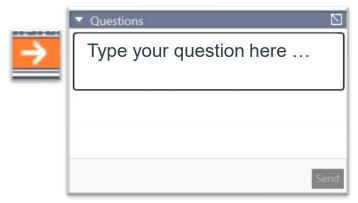
# Today's agenda

- About QIP
- NDIS registration process: assessment types
- NDIS registration process: step-by-step
- Stage 2 audit and evidence requirements
- Performance ratings
- Value of NDIS registration
- NDIS Code of Conduct
- 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







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





<mark>10,000</mark> Clients

**NOT-FOR-PROFIT** 

AUSTRALIA-WIDE

**25+ YEARS** 

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

### **About QIP**

- QIP is an NDIS Commission-approved quality auditor
- QIP acknowledges navigating the NDIS can be challenging
- We offer:
  - 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

Your personalised hub tailored to your NDIS registration timelines and requirements



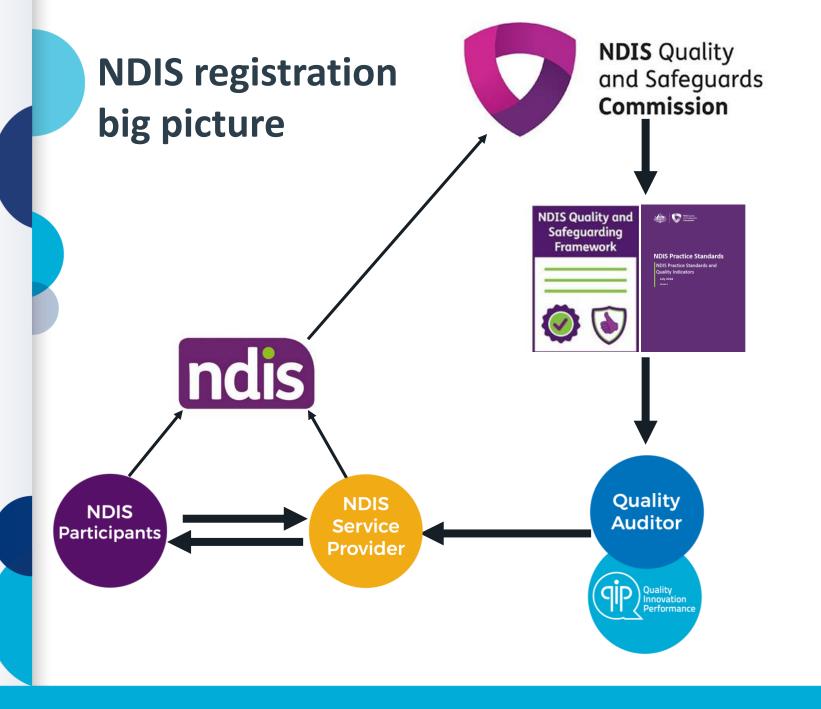
### **About QIP**

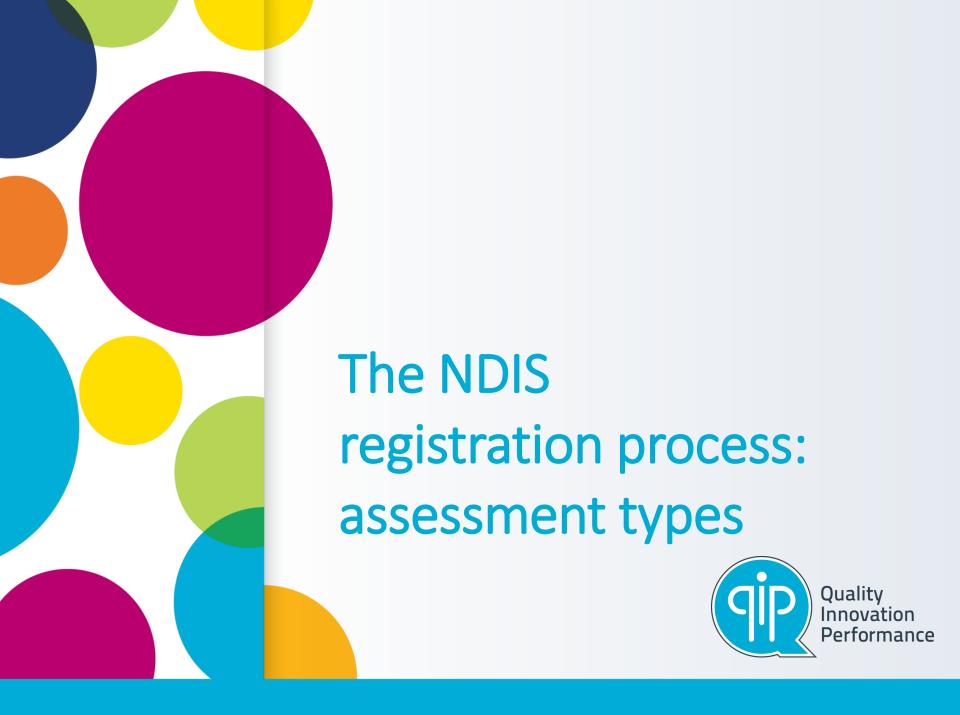
- As a not-for-profit, we strive for affordability and transparency
- We don't surprise you with any extra fees

#### 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







### Audit types: certification or verification

#### **Verification audit**

- Desktop audit
- Review of documentation in relation to
  - workers' qualifications and expertise,
  - processes, policies,
  - complaints management and risk management
- Carried out every three years



### Audit types: certification or verification

#### **Certification audit**

- More complex, more detailed, includes face-to-face onsite audit
- Safeguarding NDIS participants receiving more higher risk supports and services
- Occurs every three years includes a stage 1 (desktop)
   audit followed by (within three months) a stage 2 on-site
   audit, and a mid-term audit no later than 18 months after
   the start of your NDIS registration



### **The NDIS Practice Standards**

Core Module and Supplementary Modules – each apply according to the types of supports and services you deliver

The **Core Modules** apply to all NDIS service providers undertaking certification:

- 1. Rights and Responsibilities
- 2. Governance and Operational Management
- 3. Provision of Supports
- 4. Support Provision Environment

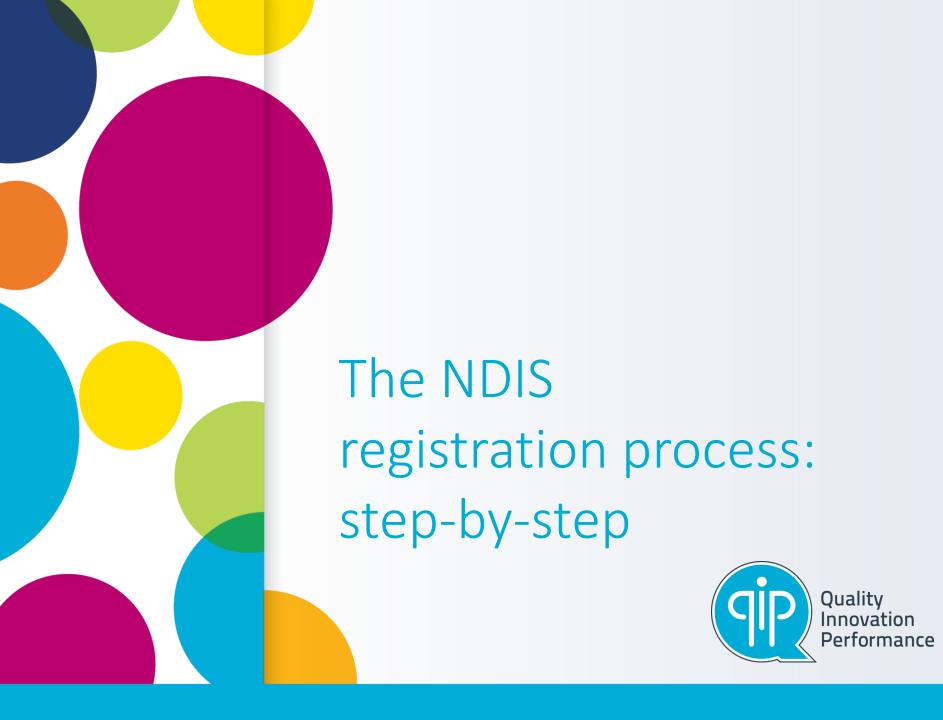


### **The NDIS Practice Standards**

The **Supplementary Modules** are those that must be done in if you provide specific services or supports relating to:

- 1. High-intensity daily personal activities
- 2. Specialist behaviour support
- 2a. Implementing behaviour support plans
- 3. Early childhood supports
- 4. Specialised support co-ordination
- 5. Specialist disability accommodation







# Renew or make an application for NDIS registration with the NDIS Commission

Make your application within the on the NDIS Commissions portal:

- Select your registration groups –
   types of supports and services you provide
  - Determines the type of audit you need to undergo
  - Lower risk/lower complexity supports and services verification audit
  - More complex/higher risk supports and services certification audit
- Complete a self-assessment against the NDIS Practice Standards
- Submit your application form
- Receive NDIS Commission email 'initial scope of audit' indicating audit type – verification or certification



### NDIS registration groups for certification

- Assistance to access and maintain employment or higher education
- Assistance in coordinating or managing life stages, transitions and supports
- Assistance with daily personal activities
- Assistance with daily life tasks in a group of shared living arrangement
- Development of daily care and life skills
- Participation in community, social and civic activities
- Specialised supported employment
- Group and centre-based activities

- High-intensity daily personal activities plus Module 1
- Specialist positive behaviour support plus Module 2a
- Supporting people with restrictive practices plus Module 2
- Early intervention supports for early childhood (modified certification) plus Module 3
- Specialist support coordination plus module 4
- Specialised disability accommodation (SDA) requires module 5 only

Only register for supports or services you actually provide

### NDIS registration groups for verification

- 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



#### **Contact QIP to request a quote**

- Within your NDIS Commission Portal,
   select QIP as your approved quality auditor to request a quote for a certification audit or contact us directly:
   P 1300 888 329 | E ndis@qip.com.au
- We confirm your scope of audit and provide you a quote that accurately reflects the size and scale of your business and the complexity of services you offer (proportionality)





#### **Accept quote and commence audit planning**

- Accept QIP's quote
- Start working with your QIP Client Liaison Officer to start planning for your certification audit
- We again closely review and confirm your scope of audit
- Start preparing for the certification audit, which comprises two parts – stage 1 audit and stage 2 audit





#### **Stage 1 audit and findings**

- **Desktop review of your self-assessment** (electronic, off-site)
- Draft report to you seven calendar days after the audit
- Helps you prepare for the stage 2 on-site, face-to-face audit





#### **Prepare for stage 2 audit**

- QIP will work with you to develop a mutually agreed audit plan – proportionate to the size, scale and complexity of your business – site visits, agenda, key assessment items
- NDIS uses an 'opt-out' sampling methodology





#### Stage 2 audit and reporting

- The auditors arrive and carry out audit according to agreed plan
- Will evaluate your systems/processes to meet the NDIS Practice Standards by observing, reviewing records/documents, speaking with participants and workers
- Audit findings provided to you for feedback
- QIP submits the final audit report to the NDIS Commission
- The Commission considers the audit report as part of their overall assessment of your suitability
- The Commission will decide and advise you if your application for NDIS registration is successful



#### **Award of certification by Commission**

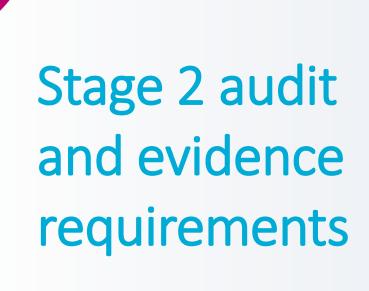
- Successful applicants will receive from the NDIS Commission a 'certificate of registration'
- You will be listed on the NDIS provider register
- NDIS participants can now access your services
- You will be required to undergo recertification audit in three years with a mid-term audit in between
- Unsuccessful applicants may contact the Commission to request a review





- You will be required to undergo a mid-term audit
- Exemptions apply for
  - Sole trader or partnership providers registered for only 'early intervention supports for childhood' or 'specialised disability accommodation'







### Stage 2 audit explained

- Builds on the stage 1 audit
- Verify the documentation you provided and reviewed at stage 1 is in place and consistently and properly used
- Evaluation of all applicable NDIS Practice Standard modules
- Ensure workers aware of their roles and responsibilities
- Business activities match your policies, procedures, protocols
- Documentation is relevant, readily accessible, and up-to-date (live documents)



### Stage 2 audit explained



- Planned interviews with management, workers, and depending on modules, participants, participants' families or support networks may be interviewed
- Participant file audits



Audit team

- Arrive at agreed time and location
- Carry out audit according to agreed audit plan
- Require:
  - access to all areas of business
  - quiet and private work area



### Preparing for your stage 2 audit

We acknowledge that an audit can be stressful.

Being prepared helps! It starts with the planning phase - audit plan and schedule.

Three key audit preparation activities

- Communicate to and engage your workers
- Prepare your evidence
- Internal reviews to mimic audit





# **Evidence requirements**

#### 1. Rights and Responsibilities

These NDIS Practice Standards set out the rights of participants and the responsibilities of providers that deliver supports and services to them.

#### 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.

To achieve this outcome, the following indicators should be demonstrated:

- Each participant's legal and human rights are understood and incorporated into everyday practice.
- 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.
- Each participant is supported to engage with their family, friends and chosen community as directed by the participant

#### Individual values and beliefs

Outcome: Each participant accesses supports that respect their culture, diversity, values and beliefs.

To achieve this outcome, the following indicators should be demonstrated:

- At the direction of the participant, the culture, diversity, values and beliefs of that
  participant are identified and sensitively responded to.
- Each participant's right to practice their culture, values and beliefs while accessing supports is supported



### **Provisional audits**

#### For providers who

- Are registered/seeking registration
- Have processes & systems
- No NDIS clients/not yet commenced service delivery

### Audit designed to check NDIS readiness

- Stage 1 audit + modified stage 2 audit
- 'Qualified certification decision'







### **Performance ratings**

For stage 1, stage 2 and mid-term audits

- 3 Conformity with elements of best practice
- 2 Conformity
- 1 Minor non-conformity
- 0 Major non-conformity



### Timeline for correcting non-conformities

- Minor and major non-conformities
- service provider develops corrective action plan within seven calendar days of written notification from QIP
- QIP to advise of the key timelines for addressing each instance of non-conformity – depends on minor or major
- Onsite audits may be done to ensure nonconformity resolved
- Critical risks actioned with the utmost urgency







### The value of NDIS registration

Assurance that you are:



Operating according to NDIS Commission



Providing safe, high-quality services



Continuous quality improvement

 Valuable asset in the context of the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability now underway





### The value of NDIS registration

- Ensures leading-practice governance, operations, continuous improvement
- 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



NDIAmanaged



Planmanaged

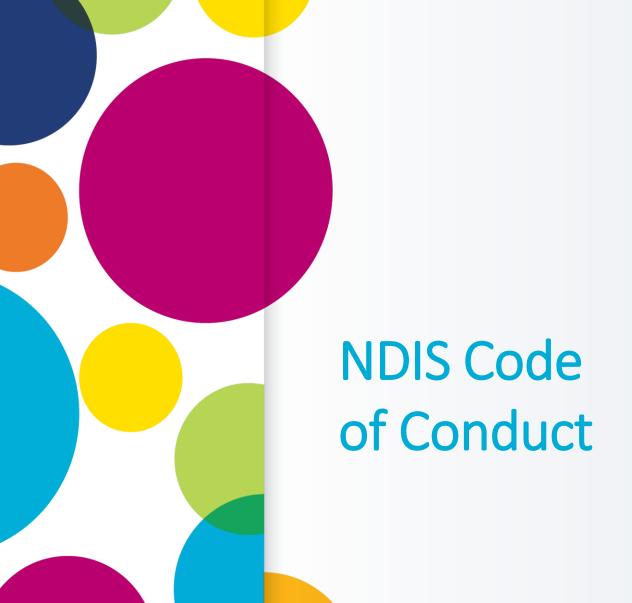


Selfmanaged



### 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





### 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 decisionmaking in accordance with relevant laws and conventions
  - Respect the privacy of people with disability

- Provide supports and services in a safe and competent manner with care and skill
- 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

#### **Check the NDIS Website!**

www.ndiscommission.gov.au /providers/ndis-code-conduct









Contact us

C 1300 888 329

ndis@qip.com.au

www.qip.com.au

