

WEBINAR 4

Embracing Change



Applying the NDIS Practice Standards
in Psychosocial Disability Services

Core Module Two: Governance and Operational Management Continued

Feedback and Complaints
Management, Incident
Management, Human Resource
Management and Continuity of
Supports

LIVE POLL

How would you rate your knowledge of the NDIS Practice Standards and registration requirements?



1



2



3



4



5



Overview of the **Embracing Change** Webinar Series

Webinar 1

24 October 2019

Pain Points and Priorities for Providers In Applying the Practice Standards In Psychosocial Disability Services

Webinar 2

28 November 2019

Core Module 1 Rights & Responsibilities

Webinar 3

5 March 2020

Core Module 2 Governance and Operational Management

Webinar 4

28 May 2020

Core Module 2 Governance and Operational Management Continued

Webinar 5

2 July 2020

Provision of Supports and the Support Provision Environment

Webinar 6

27 August 2020

Understanding Behaviour Support Arrangements

Webinar 7

29 October 2020

To be confirmed.

Webinar 8

3 December 2020

NDIS Practice Standards' Worker Requirements

Webinar 9

25 February 2021

Quality Management and Continuous Quality Improvement

Webinar 10

24 June 2021

Learnings and Next Steps for NDIS Quality & Safety in Psychosocial Services



Today we will cover:

The image shows the cover of the 'NDIS Practice Standards' document on the left and its table of contents on the right. The cover is purple with the Australian coat of arms and the NDIS Quality and Safeguards Commission logo. The title is 'NDIS Practice Standards' and the subtitle is 'NDIS Practice Standards and Quality Indicators'. It is dated 'January 2020' and is 'Version 3'. The table of contents lists various sections, with a red box highlighting the '2. Provider Governance and Operations Management' section, which includes 'Feedback and Complaints Management', 'Incident Management', 'Human Resource Management', and 'Continuity of Supports'. An orange arrow points from this red box to a larger orange box on the left containing the same list of topics.

NDIS Practice Standards
NDIS Practice Standards and
Quality Indicators
January 2020
Version 3

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NDIS Quality and Safeguards Commission 1

- 2. Provider Governance and Operations Management
 - Feedback and Complaints Management
 - Incident Management
 - Human Resource Management
 - Continuity of Supports



Webinar Objectives

Today we will:

- Learn about the Complaints Management, Incident Management, Human Resource Management and Continuity of Supports, National Disability Insurance Scheme (NDIS) Practice Standards.
- Identify systems, work practices and documentation specific to psychosocial service providers that can meet these outcomes and quality indicators.
- Hear some examples of how a NDIS psychosocial disability provider has meet these standards and embed a culture of Continuous Quality of Improvement in their organisation.
- Learn how One Door Mental Health responded to the COVID-19 outbreak.





**NDIS Quality
and Safeguards
Commission**

NDIS Quality and Safeguards Commission

**Christine Regan
State Director NSW & ACT**

**Graham Humphreys
Director Complaints**

About the NDIS Commission



- Improve quality and safety of NDIS supports and services
- Take over the registration of providers from the National Disability Insurance Agency (NDIA)
- Provide national consistency: **WA joins 1 December 2020**
- Help providers to meet their obligations
- Resolve problems and identify areas for improvement
- Support continuous improvement and quality in the NDIS
- Progressive establishment across Australia.

Three dimensions of the NDIS quality and safeguards framework

Developmental
Building capability and support systems

- Communication and engagement
- Tools and resources
- Support for NDIS Providers Program
- If you need to speak up, speak to us campaign
- Worker Orientation Module

Preventative
Preventing harm and promoting quality

- Code of Conduct
- Practice Standards
- Behaviour Support
- Provider registration
- Worker screening
- Incident management
- Reportable incidents

Corrective
Responding if things go wrong

- Education, persuasion, compliance
- Registration, audit, investigation
- Compliance notices, infringements, enforceable undertakings and injunctions
- Civil penalties
- Revoke or refuse registration
- Ban

Functions of the NDIS Commission



Registration and quality assurance

Code of conduct

Worker screening

Reportable Incidents

Complaints

Behaviour Support

Information and capacity building

Compliance, investigations and enforcement



NDIS Code of Conduct



We regulate all providers and workers delivering NDIS supports and services.

The Code of Conduct:

- **Applies to all providers** (registered/unregistered) **and workers**
- Helps **shape behaviour and culture** of providers and workers
- **Anyone can complain** to the NDIS Commission about a breach

We **monitor compliance** and can take a range of actions in response to breaches.



Respect individual rights and self-determination



Respect privacy



Act with integrity, honesty and transparency



Deliver services safely and competently



Ensure quality and safety



Prevent and respond to violence, neglect, abuse, exploitation and sexual misconduct

Obligations on providers



	Unregistered providers	Registered providers (lower risk services)	Registered providers (higher risk services)
	NDIS Code of Conduct		
	Complaints process		
	Optional worker screening	Mandatory worker screening	
		Reportable incident requirements	
			Restrictive practice reporting (if applicable) (Behaviour support)
		Practice Standards verification	Practice Standards certification

Practice Standards



Benchmark for providers to **assess performance and demonstrate high quality and safe supports** for participants

Each Practice Standard is build from a **high-level participant outcome**, supported by **quality indicators**.

Rights and responsibilities for participants

- Person centred supports
- Individual values and beliefs
- Privacy and Dignity
- Independence and informed choice
- Violence, abuse, neglect and exploitation

Outcome example:
Each participant accesses supports free from violence, abuse, neglect, exploitation or discrimination

Indicator example:
Allegations and incidents...are acted upon and each participant is supported and assisted

All registered providers must be audited against relevant NDIS Practice Standards

Audits are proportionate to the size and scale of the organisation, risk and complexity of supports & services delivered

Incident management



[NDIS \(Incident Management and Reportable Incidents\) Rules 2018](#) cover:

1. The minimum requirement for an internal management system
2. How & when reportable incidents need to be notified to the Commission
3. Action that can be taken by the Commission in relation to Reports

All registered providers have the same minimum requirements. System must

- include processes for preventing; responding to and managing incidents
- be documented
- readily accessible to staff and participants (train workers roles/ responsibilities)

Reportable Incidents



Providers must notify, investigate and respond to reportable incidents involving NDIS participants including:

- Death
- Serious injury
- Abuse and neglect
- Unlawful sexual or physical contact
- Sexual misconduct including grooming for sexual activity
- Unauthorised use of restrictive practices.



Reporting the incident to the NDIS Commission does not replace notifying any appropriate authorities, such as the police.

Unauthorised use of restrictive practice



Reportable

Involved use of

- Seclusion
- Chemical restraint
- Mechanical restraint
- Physical restraint
- Environmental restraint

Not reportable

- Use is in accordance with an approved behaviour support plan
- Applicable authorisation as per – NSW authorisation process
- Contact - Behaviour support team for advice

Worker screening



NDIS Worker Screening Check will start nationally from **1 February 2021**.

It will **replace existing arrangements** and set a single, **national standard for all workers**

When in place, **all registered NDIS providers must ensure workers have a valid clearance**

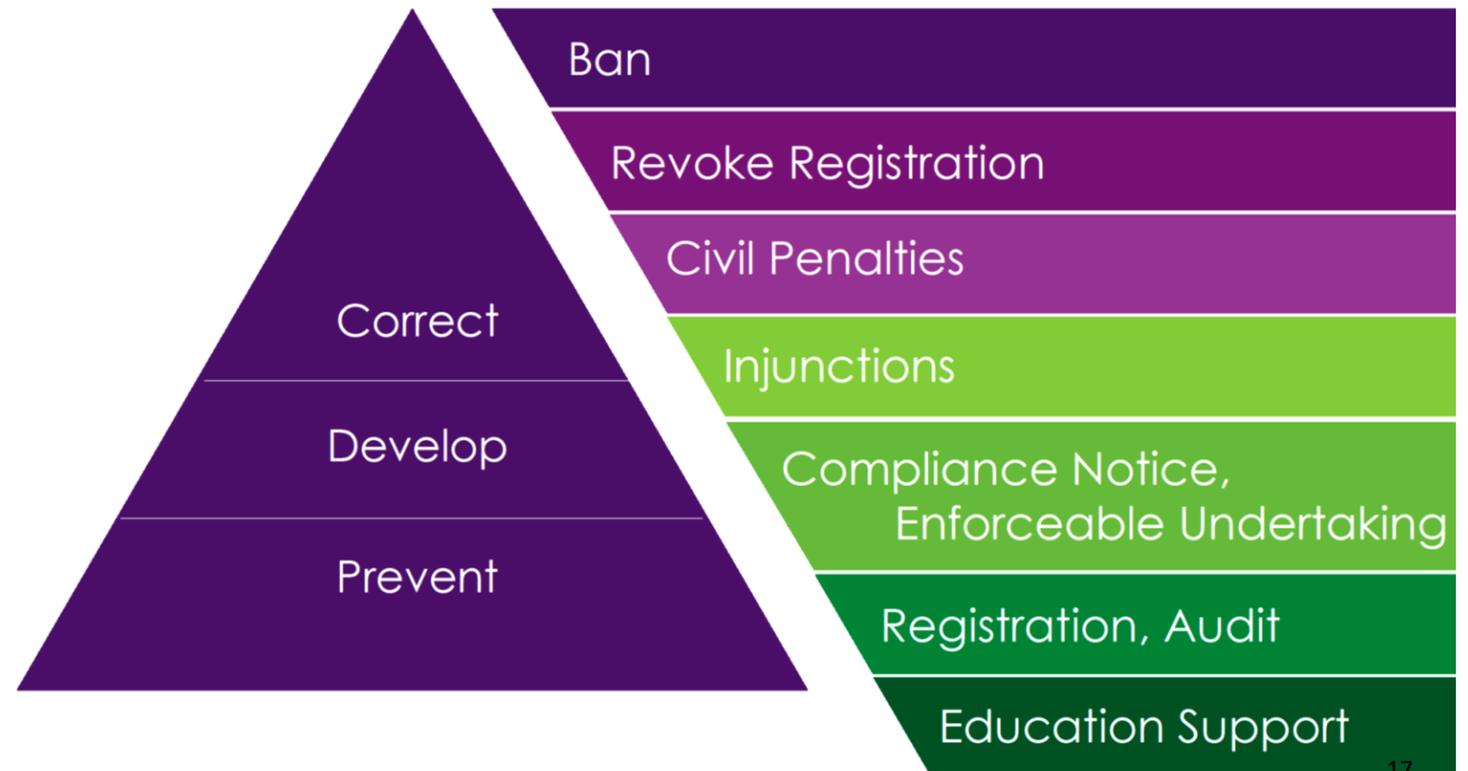
Workers will be subject to ongoing monitoring nationally.



Corrective domain: Investigative powers and enforcement action

The NDIS Commission will respond **appropriately** to issues that arise, and identify opportunities to prevent them occurring again.

- Resolution
- Conciliation
- Compliance action





Complaint Handling

Graham Humphreys

Complaints



NDIS participants have the right to complain about the safety and quality of NDIS supports and services

Every NDIS provider must have effective complaints management and resolution arrangements



The NDIS Commission is responsible for handling complaints about NDIS providers

- All complaints will be taken seriously and assessed
- A facilitated resolution process may be appropriate for some complaints
- Some complaints will require investigation

Complaints and feedback are an opportunity for providers to improve service delivery.

Complaints we action



The NDIS Commission can take complaints about:

- whether services or supports have been provided in a safe and respectful way
- whether services and supports have been delivered to an appropriate standard
- how an NDIS provider has dealt with a complaint about services or supports provided to an NDIS participant
- how an NDIS provider has dealt with an advocate or carer of an NDIS participant.

Complaints others action



Other bodies are responsible for taking complaints for matters such as:

- actions taken by the National Disability Insurance Agency (NDIA), including decisions about eligibility, funding or a participant's plan
- disability services or supports provided by an organisation which is not an NDIS provider (for example, health, education or transport services)
- decisions of courts, tribunals or coroners.
- Complaints about the NDIA can be made to the NDIA or to the Commonwealth Ombudsman.
- **We can help connect a complainant with the right organisation.**

Who can make a complaint



Anyone can raise a complaint with the NDIS Commission about the provision of supports and services by an NDIS provider, including:

- a person with disability who is receiving, or is eligible to receive, supports or services from an NDIS provider
- a worker employed or otherwise engaged by an NDIS provider (including volunteers)
- friends or family of a person with disability,
- any other person.

Provider actions



The Commission may require a provider to take action to address issues raised in a complaint, including:

- making changes to their complaints management system to make it easier for people to raise concerns
- making changes to their policies and procedures
- ensuring all participant's support plans are up-to-date
- ensuring staff undertake particular training

The provider may be required to report back to the Commission on its progress.

Complaints management



A providers complaints management system and process, must make it easy for people to make a complaint. It is an expectation that providers support people with disability to understand how to make a complaint directly to the provider or to the NDIS Commission.

When a provider receives a direct complaint, the person making the complaint and the person with disability affected by the issue must:

- Be informed of the complaint's progress**
- Be appropriately involved in the resolution of the complaint and**
- Be updated on the implementation of any relevant outcomes, including any action taken and decisions made.**

Further information



For more information visit:
www.ndiscommission.gov.au



Or contact: **1800 035 544**
This is a free call from landlines



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Questions? for Graham and Christine





APPLYING THE NDIS PRACTICE STANDARDS IN PSYCHOSOCIAL DISABILITY SERVICES

Feedback and Complaints, Incident Management,
Human Resources and Continuity of Supports

OUR APPROACH

NDIS Registration

- About One Door Mental Health
- History of accreditation at One Door
- Our approach to seeking NDIS registration
 - Self assessment requirements
 - NDIS Practice Standards vs National Standards for MH Services
 - Audit results and next steps

COMPLAINTS AND FEEDBACK

Criteria

- Relevant and proportionate
- Complies with NDIS Complaints Management Rules
- Staff training and awareness

Our evidence

- Documented process and designated Complaints Officer
- Participants know about the process
- Easy access to feedback process
- Online training for staff, case studies, quality updates
- Complaints recorded, acknowledged, investigated and hopefully resolved
- Analysed and reported to senior management and the Board

Audit findings

INCIDENT MANAGEMENT

Criteria

- Relevant and proportionate
- Complies with NDIS Rules on Incident Management
- Awareness by staff and participants
- Continuous improvement loop

Our evidence

- Structured protocols in place – policy, delegations
- Participant centred
- Centralised system to record, track and analysis incidents
- Staff know about the system
- Incident register at sites that were audited
- Reportable incidents process

Audit findings

HUMAN RESOURCES

Criteria

- Recruitment and selection procedures
- Record keeping of qualifications and training
- Proof of mandatory training including Code of Conduct
- Supervision and monitoring of performance

Our evidence

- Typical HR documents – position descriptions, recruitment processes
- Staff records including onboarding and qualifications
- Orientation processes
- Supervision takes place and recorded
- Poor performance is managed

Audit findings

CONTINUITY OF SUPPORTS

Criteria

- Participant centred while still being efficient and effective
- Team approach allows for flexible approach
- Management of potential interruptions and cancellations
- Rostering systems

Evidence

- Goal achievement plans that are regularly reviewed with each participant
- Team approach to allow for flexible approach
- On track/bit off track/off track discussion at team meetings
- Emergency protocols

Audit findings

COVID-19 RESPONSE

- Early days – looked at social distancing
- Moved into full business continuity mode very quickly
 - Business Impact Analysis – what must we keep doing?
 - Which consumers are most at risk
 - Are staff ready to work from home?
 - Who do we need to keep informed and how?
 - Face to face services by exception
 - Regular updates to staff
- Started to plan for ‘re-opening’ – teams’ approach



QUESTIONS?

FOR KATE

Review of the webinar

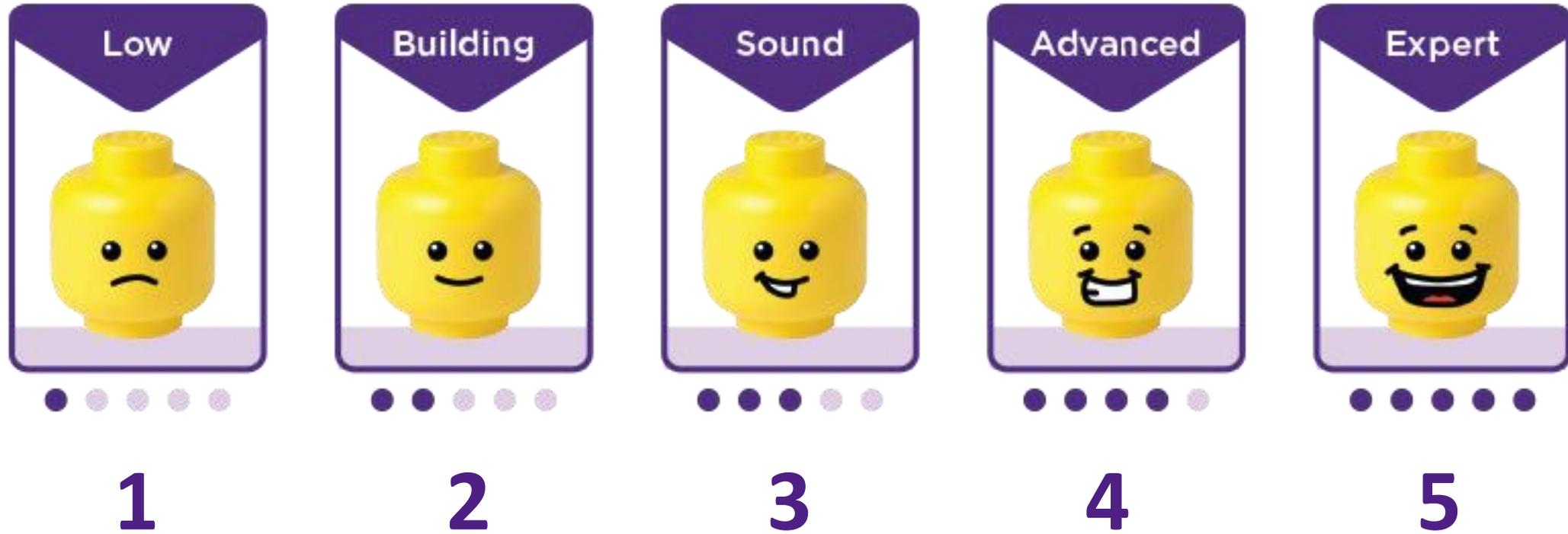
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- Identified systems, work practices and documentation specific to psychosocial service providers that can meet these outcomes and quality indicators.
- Heard some examples of how a NDIS psychosocial disability provider has meet these standards and embed a culture of Continuous Quality of Improvement in their organisation.
- Heard from the NDIS Commission regarding continuity of supports for NDIS registered providers during the COVID-19 outbreak.



LIVE POLL

How would you rate your knowledge of the NDIS Practice Standards and registration requirements?



THANK YOU FOR JOINING US TODAY

NEXT WEBINAR

ACCESS RESOURCES

Find out more about the Embracing Change project

- ◆ View past webinars
- ◆ Find resources

www.mhcc.org.au/project/embracing-change

LET'S CHAT

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