



**NDIS Quality
and Safeguards
Commission**

Understanding providers' obligations

Information for NDIS Providers

January 2020

Version2



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About the NDIS Commission

The NDIS Commission works with providers to improve the quality and safety of National Disability Insurance Scheme (NDIS) supports and services.

The NDIS Commission oversees:

- Registration and regulation of providers
- Compliance with the Practice Standards and Code of Conduct
- Complaints about NDIS services and supports
- Reportable incidents, including abuse and neglect of a participant
- Use of restrictive practices
- Nationally consistent NDIS worker screening

The NDIS Commission is independent of the National Disability Insurance Agency (NDIA).

Both play a part in ensuring the principles of the NDIS are delivered.

The NDIA's focus is on managing:

- plans
- payments, and
- pricing for participants.

The NDIA will also detect and investigate allegations of fraud.

The NDIS Commission does not regulate the NDIA. Complaints about the NDIA should be made directly to the Agency.

More information

The NDIS Commission can provide information, resources and support to providers about how to meet their obligations.

More information can be found at www.ndiscommission.gov.au



About Providers' Obligations

Element	Why it exists	What it means for providers	What providers need to do	What the NDIS Commission will do
Code of Conduct	The NDIS Code of Conduct sets expectations for appropriate and ethical conduct in delivery of supports and services.	<p>The NDIS Code of Conduct applies to all providers and workers.</p> <ul style="list-style-type: none">• Respect individual rights• Respect self-determination• Respect privacy• Act with integrity, honesty and transparency• Deliver services competently• Ensure quality and safety• Prevent and respond to incidents of violence, neglect, abuse and exploitation <p>The NDIS Code of Conduct is available at www.ndiscommission.gov.au</p>	Providers are expected to support workers to understand and apply the Code of Conduct in their organisation.	<p>The Code of Conduct is one of the mechanisms by which the NDIS Commission sets expectations of providers and their workers.</p> <p>Compliance with the Code of Conduct is one of the inputs that the NDIS Commission will consider when investigating and making a determination following a complaint about a provider or a reportable incident.</p>

Element	Why it exists	What it means for providers	What providers need to do	What the NDIS Commission will do
Complaints management	<p>NDIS participants have the right to complain or provide feedback about the safety and quality of NDIS supports and services.</p>	<p>NDIS providers need to have a way to record and manage complaints they receive and make it easy for the NDIS participants they support to complain.</p> <p>Complaints can also be made by participants' friends and family, as well as providers' employees and volunteers or any other concerned party.</p>	<p>Every NDIS provider must have effective complaints management and resolution arrangements. Providers must apply procedural fairness to people when managing a complaint.</p> <p>The system in place should be appropriate to the provider's size and types of supports offered.</p> <p>Details about the process are outlined in the Complaints Rules, which is available at www.ndiscommission.gov.au</p>	<p>The NDIS Commission takes complaints where the person is unable to resolve issues with their NDIS provider or does not feel empowered to make a complaint directly.</p> <p>The NDIS Commission can determine a range of compliance actions including civil penalties (up to \$50,000 for an individual and \$250,000 for an organisation, mandatory registration and provider bans.</p>
Reportable incidents	<p>When a reportable incident occurs, the NDIS Commission ensures the necessary steps are taken to protect the rights</p>	<p>Providers need to have a way of recording and managing serious incidents.</p>	<p>Providers must notify, investigate and respond to reportable incidents. The following incidents must be reported to the NDIS Commission:</p> <ul style="list-style-type: none"> • Death • Serious injury 	<p>When notified of a reportable incident, the NDIS Commission will determine the action required. This may include checks into the provider, workers or the participant.</p> <p>The NDIS Commission will ensure timeframes are met and</p>

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	of people with disability and prevent serious harm.		<ul style="list-style-type: none"> Abuse and neglect Sexual or physical assault Sexual misconduct, and <p>Unauthorised use of restrictive practices With the exception of the unauthorised use of restrictive practices, the NDIS Commission must be notified within 24 hours of the incident occurring.</p>	<p>can request additional updates and reports.</p> <p>The NDIS Commission can determine a range of compliance actions including civil proceedings, mandatory registration and provider bans.</p> <p>Reporting the incident to the NDIS Commission does not replace notifying any appropriate authorities, such as the police.</p>
Provider registration	Registration sets an expectation of quality	<p>Providers must be registered to deliver services and supports to NDIS participants who have their plan managed by the NDIA.</p> <p>NDIS providers that deliver specialist disability accommodation, use restrictive practices, or develop behaviour support plans must also be registered.</p>	<p>There are two pathways for registration:</p> <ul style="list-style-type: none"> Verification: NDIS providers that deliver lower risk/lower complexity supports and services. Certification: NDIS providers that provide more complex or higher risk supports or services <p>A renewal process occurs every three years. Providers that</p>	

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		<p>The registration process depends on providers' size and scope as well as service delivery risk.</p> <p>The registration process involves an audit against the NDIS Practice Standards for the relevant registration group(s).</p> <p>Existing registrations transfer from the NDIA to the NDIS Commission.</p>	<p>require certification also undergo mid-term monitoring.</p>	
NDIS Practice Standards	<p>NDIS Practice Standards describe good practice for providing supports and services.</p>	<p>The core module applies to all providers requiring a certification audit, and supplementary modules apply to providers of specialised supports.</p> <p>The Core module covers:</p> <ul style="list-style-type: none"> • rights and responsibility for participants • governance and operational management 	<p>Providers need demonstrate compliance against the NDIS Practice Standards for their relevant registration group(s).</p>	<p>The NDIS Commission advises providers of the relevant Practice Standards and provide can support to understand what is required to demonstrate compliance.</p> <p>A list of Commission-approved auditors is available for providers to engage for the auditing process.</p>

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		<ul style="list-style-type: none"> • the provision of supports, and • the support provision environment <p>Supplementary modules are for more complex supports:</p> <ul style="list-style-type: none"> • High intensity daily personal activities • Specialist behaviour support • Implementing behaviour support plans • Early childhood supports • Specialised support coordination • Specialised disability accommodation <p>The verification module applies to all providers requiring a verification audit.</p> <p>Verification module covers:</p> <ul style="list-style-type: none"> • risk management • expected qualifications and competencies for employees 		

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		<ul style="list-style-type: none"> complaints systems, and effective and inclusive governance. 		
Restrictive practices	Behaviour Support arrangements minimise use of restrictive practices	Restrictive practices can only be used as part of a behaviour support plan developed by a registered Specialist Behaviour Support provider.	<p>The use of restrictive practices must be authorised by states and territories, and behaviour support plans lodged with the NDIS Commission.</p> <p>Providers registered to deliver Specialist Behaviour Support Services must engage Behaviour Support Practitioners who are approved by the NDIS Commission.</p> <p>Any unauthorised use of restrictive practices must be reported to the NDIS Commission.</p>	<p>The NDIS Commission Senior Practitioner will provide clinical leadership in behaviour support and the reduction and elimination of restrictive practices.</p> <p>The NDIS Commissioner is responsible for ensuring the competency of individuals employed as Behaviour Support Practitioners.</p>
Worker screening	Worker Screening assesses the suitability of workers to deliver	Providers have a responsibility to ensure paid and volunteer workers who have more than incidental contact with	Registered providers need to assess which roles in their organisation require a clearance	The NDIS Commission will develop the national policy and standards for worker suitability.

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	<p>NDIS supports and services.</p>	<p>participants have been screened.</p>	<p>and maintain records for all workers.</p> <p>It is the responsibility of the worker to re-apply for clearance.</p>	<p>When fully rolled out, the states and territories will conduct the screening using nationally consistent criteria, which means workers with a valid clearance can work anywhere in Australia.</p>