

Ongoing Support Assessments

Quality Framework

**V 1.1**

**Disclaimer**

This document is not a stand-alone document and does not contain the entirety of the Providers’ obligations. It should be read in conjunction with the Disability Employment National Panel of Assessors Deed of Standing Offer 2010-2012 and any relevant Guidelines or reference material issued by DEEWR under or in connection with the Disability Employment National Panel of Assessors Deed of Standing Offer 2010-2012. The terms of the Disability Employment National Panel of Assessors Deed of Standing Offer 2010-2012 prevail if there is any inconsistency between those terms, and the contents of this document.

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# Ongoing Support Assessments Quality Framework

## Document Change History

| Version | Start Date | Effective Date | End Date | Change & Location |
| --- | --- | --- | --- | --- |
| 1.1 | 18 Feb 2015 |  |  | Document updated to meet accessibility requirements |
| 1.0 | 01 Mar 2011 | 01 Mar 2011 | 30 June 2012 | Original version of document |

## Reference documents relevant to these guidelines:

Disability Employment National Panel of Assessors Deed of Standing Offer 2010-2012

Disability Employment National Panel of assessors – Your Service Guarantee

Employment Services Code of Practice

Ongoing Support Guidelines

Ongoing Support Assessment Guidelines

Preparing for an Ongoing Support Assessment Advice

Conducting an Ongoing Support Assessment Advice

Completing an Ongoing Support Assessment Report Advice

National Panel of Assessors Performance Framework

ECSN Learning Modules

# Background

The Ongoing Support Assessments Quality Framework outlines the basis on which the Department of Education, Employment and Workplace Relations (‘the department’) will assess the quality of ongoing support assessment services.

The Framework is designed to guide National Panel of Assessors (NPA) in understanding the quality requirements of Ongoing Support Assessments and to serve as a guide for Ongoing Support Assessors to improve the quality of assessments.

The National Panel of Assessors Deed of Standing Offer 2010-2012 outlines the Key Performance Indicators (KPIs) for NPA providers under three categories:

* KPI 1 Efficiency
* KPI2 Effectiveness
* KPI 3 Quality

The KPIs for the National Panel of Assessors as outlined in the Deed of Standing Offer are at **Attachment A**.

Panel Providers are required to meet the KPIs in providing the Ongoing Support Assessment Services. DEEWR will measure the Provider’s performance against the KPIs taking into consideration:

* deliverables specified in the Deed of Standing Offer and Work Order
* each Assessment
* feedback, complaints and disputes, and
* performance audits conducted by DEEWR including Customer satisfaction surveys.

Ongoing Support Assessors are guided by the Ongoing Support Guidelines and the Ongoing Support Assessment Guidelines when undertaking assessments. In addition, Ongoing Support Panel Providers are expected to deliver the services in accordance with other supporting documents, listed under the reference documents section in this Framework.

# The Ongoing Support Assessments Quality Framework

The Ongoing Support Assessments Quality Framework enables the department to assess Panel Providers’ performance against KPI 3 in a fair and objective manner. The Framework provides the basis for assessing quality using three categories:

* Quality of Service Delivery
* Quality of Ongoing Support Assessment Reports
* OSA Provider Capability

There is some overlap with between the Quality Framework, and the Performance Framework and the other KPIs, especially KPI 2 – Effectiveness, however, this overlap will not result in duplicated or unnecessary reporting. KPI 2 – Effectiveness focuses on Ongoing Support Assessment delivery and reports and the quality of Ongoing Support Assessments is a major part of the ongoing support assessment services.

The department uses results of stakeholder satisfaction surveys, feedback (including from other assessors subsequently assessing the same client), feedback from the department’s Customer Service Line (CSL), complaints and disputed assessments, as well as quality audits to assess the quality of assessment services.

# Quality of Service Delivery

The department has engaged the National Panel of Assessors to deliver independent assessments of Disability Employment Services’ Participants ongoing support requirements to maintain their employment.

Panel Providers are required to conduct Ongoing Support Assessments in accordance with the requirements of the Disability Employment National Panel of Assessors Deed of Standing Offer 2010-2012, individual Work Orders and in accordance the guidelines.

The department assesses the quality of service delivery through evidence of compliance with the Deed of Standing Offer, the Employment Services Code of Practice, the Disability Employment National Panel Assessors Service Guarantee, using feedback, complaints, stakeholder satisfaction surveys, Post Program Monitoring surveys, evaluation and audit strategies, quality assurance projects and contract management.

Assessing quality of service delivery includes the following requirements:

* Panel Providers must act with due care and diligence when conducting all aspects of an Ongoing Support Assessment, and especially when communicating with Disability Employment Services Participants.
* Developing respectful relationships with the parties to an assessment is an important part of service delivery. The Department will use feedback, complaints and results of satisfaction surveys to measure the behaviours of assessors when delivering the ongoing support assessment services.
* Ongoing Support Assessments can only be conducted by Approved Assessors with the required qualifications and experience. The Department may conduct quality assurance projects to check qualifications of Assessors and to check that assessments are completed by Approved Assessors.
* Services must be conducted at or above the minimum standards in the Code of Practice and the Service Guarantee, and the Panel Provider makes these documents available to Customers.
* Maintain a Customer feedback register, which needs to be made available to the department on request.
* Produce and implement a Disability Employment Strategy and an Indigenous Employment Strategy, which is to be made available to the department on request. If the Provider is a sole trader, they will not be required to produce and implement these strategies.
* Criminal records checks are completed for Personnel who conduct the Ongoing Support Assessment services.
* Any changes in control of the Panel Provider’s organisation are reported to the department.

# Quality of Ongoing Support Assessment Reports

An Ongoing Support Assessment Report should deliver a comprehensive, consistent and appropriate assessment of a Participant’s ongoing support that they require to maintain their current employment.

The department will conduct audits of Ongoing Support Assessment Reports each quarter, being the three months ending 31 March 2011, 30 June 2011, 31 September 2011, 31 December 2011 and each three months thereafter. The department reserves the right to change the frequency of the audits.

A minimum sample of Assessment Reports will be quality audited by DEEWR. Samples will be selected to ensure a sample of Assessments Reports completed by each Panel Provider is audited each six months. DEEWR will also ensure that assessments which are conducted for Participants in Remote ESAs are included in the selected samples.

Panel Providers will be given an Ongoing Support Assessment Audit Report within six weeks of the end of each quarterly reporting period, outlining the Assessment Reports that were audited, the results and any qualitative feedback that may be useful to consider in future assessments.

The three main areas which form the focus of the quality audits of Ongoing Support Assessment reports are:

# Comprehensiveness

Each Ongoing Support Assessment Report should demonstrate that the Assessor has taken a thorough approach to gathering information from all relevant people including the DES Provider, the Employer, the Participant, and an Advocate, where the Participant has nominated an Advocate be involved.

Where the Assessment Report has excluded any components of an Ongoing Support Assessment, the Ongoing Support Assessor has obtained an exemption to exclude those components, and the Assessment Report further substantiates the reasons for the exclusion.

The quality audits of Assessment Reports will assess whether the following parts of the Assessment Report demonstrate a comprehensive gathering of evidence and comprehensive summary of the conclusions from the relevant part of the Assessment:

* Provider interview
* Participant interview
* Employer interview
* Workplace visit
* File summary

# Consistency

The quality audits will assess whether all parts of each Assessment Report are cohesive and where there are any inconsistencies between any parts of the Assessment Report, that there is acceptable explanation or reasons for the differences.

The Assessor must gather all available and relevant information and it will not always be the case that all parts of the assessment will be fully consistent, however, where there are important differences in views or information provided to the Assessor, the Assessment Report must adequately synthesise all relevant information so that the Assessment Summary contains no unsubstantiated or unexpected recommendations.

# Appropriateness

The Assessment Report clearly identifies the Participant’s ongoing support requirements including the type of support, frequency and amount.

The Assessment Report clearly articulates why the recommended future level of support is required to maintain the Participant’s current employment, and relates the nature of support to the Participant’s barriers to working independently in their current job.

The Assessment Report’s statements about the Participant’s support requirements and the support received are relevant to the requirements in the ongoing support guidelines.

The Report and its recommendation demonstrate the Assessor understands the requirements of the Ongoing Support Guidelines and the Ongoing Support Assessment Guidelines.

The language used in the Assessment Report is appropriate, respectful and non-offensive.

# Quality of Panel Provider Capability

Quality of Assessment Services is influenced by the capabilities of the Organisation. The department assesses performance at an organisation level. National Panel of Assessors are contracted and administered at organisation level.

The department will provide ongoing support assessment data to assist Panel Providers to analyse, assess and continually improve their performance.

The department will include the following factors in its ongoing contract management arrangements of Ongoing Support Assessment Panel Providers:

* The Panel Provider complies with the Information Privacy Principles of the Privacy Act 1988 to protect t and respect the rights of individual Disability Employment Services Participants. The Panel Provider does not disclose personal information about Participants without their informed consent.
* The Panel Provider has management systems in place that facilitate quality management practices and continuous improvement.
* The Panel Provider has management systems in place to ensure that all Ongoing Support Assessors have appropriate skills and qualifications.
* The Panel Provider has systems in place to provide training, skills development including ensuring that they have completed the ECSN Learning Modules and they have read the relevant guidelines relating to the delivery of the assessment services.
* The Panel Provider demonstrates responsiveness to feedback received about its delivery of Assessment Services.
* The Panel Provider has management systems in place to identify any new and amended guidelines, IT systems or instructions related to Ongoing Support Assessment Services.
* The Panel Provider is aware of its responsibilities to manage its availability and capacity to deliver assessment services and to communicate with their contract manager, especially in relation to extensions of due dates for completion of assessments.

# Assessing Panel Providers using the Quality Framework

At the end of each Performance Period (i.e. the three months ending March, June, September and December of each year), the Department will provide each Panel Member with an assessment against KPI 3.

# Future development of the Quality Framework

The department is committed to monitoring and reviewing the Quality Framework to ensure that it is achieving its aim of delivering high quality disability employment services.

# Attachment A – National Panel of Assessors KPIs

| **KPI** | **Description** | **Measure** |
| --- | --- | --- |
| KPI1 Efficiency | 1.1 Timeliness | 1. 90% of assessments are completed within the timeframes set out in the Panel Deed. 2. 90% of allocated assessments are accepted by the Panel Provider. 3. Where Panel Providers reject allocated assessments, the Panel Provider provides acceptable reasons for all rejections. 4. 90% of assessment reports are lodged within seven Business Days of the date the assessment is conducted. 5. Where DEEWR has returned Assessment Reports to the Panel Provider for corrective action, all subsequent reports are finalised and submitted to the Department within five Business Days of receipt of request by the Panel Provider for SWS and OSA, and for WMS, within two Business Days. |
| KPI2 Effectiveness | 2.1 Accurate, individualised assessments  2.2 Thorough assessment reports | 1. Assessments are conducted in a manner that responds to the individual’s circumstances, measured by:   (i) DEEWR sampling of assessment reports, and  (ii) taking into consideration where there is a higher than average level of appealed decisions that are overturned.   1. 90% of assessment reports sampled by DEEWR are accepted as complete, without requiring further work. |
| KPI3 Quality | 3.1 Stakeholder satisfaction | (a) DEEWR’s satisfaction with the delivery of the Service, as measured by but not limited to results of stakeholder satisfaction surveys, feedback (including from other assessors subsequently assessing the same client) and complaints. |