

# STRATEGY

## STRATEGY AND STRATEGIC PLANNING PROCESSES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The strategic planning process is led by organisational leaders including board, and staff have input
- Vision is clearly aligned to the changing disability services environment and values are aligned to NDIS principles
- Strategy is informed by what the organisation is known for, its strengths and points of difference from other providers
- Strategic planning integrates vision, mission, values, goals and strategies, and is reflected in organisational practice
- Planning processes allow the organisation to respond quickly to new opportunities and risks
- Currently unsustainable services have been evaluated with improvement or exit plans in place

### Advanced practices

- Strategic planning is guided by an awareness of the significant expansion of disability services and opportunity to take on a larger portion of addressable need
- Strategic plan priorities have been clearly communicated and are well understood by employees (and volunteers) throughout the organisation
- Scenario modelling is used to inform strategy (e.g. what if our number of clients for this line of service halved or what if our number of clients for another line of service doubled?)
- Target markets are well defined and analysed, and potential partners and competitors have been evaluated
- Other

Priority: NA

# STRATEGY

## BUSINESS PLANNING PROCESSES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Business plans are aligned with the strategic plan and budget
- Business plans cover finances, human resources, marketing, communications, ICT, asset management, and risk management
- Business plans identify services and products in line with market opportunities and consumer needs and preferences
- Business plans involve relevant staff across all levels of the organisation
- Business plans include goals that are specific, measurable, assignable, realistic, and time-related

### Advanced practices

- Business planning includes scoping of opportunities that respond to identified gaps in supports that people are seeking
- Business processes, from initial contact with prospective clients to service-delivery execution, have been mapped, designed and implemented
- Business plan performance indicators are in place and agreed to by the board and management and reviewed regularly
- Project management methods, including risk management, are used for major projects
- Asset replacement schedules are developed and implemented

Priority: NA

# STRATEGY

## IMPLEMENTATION OF STRATEGIC AND BUSINESS PLANS

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	<b>Some</b> desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
<b>N/A</b>	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	<b>Some</b> desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

### Desired practices

- There is clear allocation of responsibility for implementing plans
- Targets and timeframes are set
- Plans are used for budget and resource allocation
- Plans are used to structure management reporting processes
- Progress against plans is regularly reviewed at management and board levels
- Adjustments are made to plans following reviews

### Advanced practices

- Scorecard-type tools or systems are in place
- Achievements against plans are recognised and communicated
- Plans are used as the basis for individual employee's performance goals

Priority: NA

# CORPORATE GOVERNANCE CONSTITUTION

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

## Desired practices

- The constitution is relevant and responsive to the organisation's purpose and needs
- The constitution complies with legislative requirements in the Corporations Act, ACNC Act (if a charity) and any other relevant legislation
- The constitution has been reviewed and, if needed, updated to ensure that it suits the new operating environment and is consistent with the organisation's strategy

## Advanced practices

- The Constitution contains contemporary language
- The rules of the constitution facilitate greater organisational transparency

**Priority: NA**

# CORPORATE GOVERNANCE

## ROLES AND RESPONSIBILITIES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The responsibilities of board members are clear in relation to accountability, strategy, resourcing, advocacy and monitoring
- The particular roles of board members and the roles of staff, volunteers and members are well understood
- The particular roles of board members and the roles of staff, volunteers and members have been updated to reflect the changes in the operating environment
- Principles of corporate governance are applied<sup>1</sup> in establishing roles and responsibilities
- Delegations balance the need for agility and effective risk management

### Advanced practices

- Roles, responsibilities and delegations, including for frontline staff, support person-centred, customer-oriented and outcomes-based practice<sup>2</sup>
- Directors work actively with the CEO to position the organisation for the NDIS environment
- Roles with responsibility for managing the transition to the NDIS have been identified and are clearly designated

[1] For example, the ACNC's Guide for Charity Board Members available at [http://acnc.gov.au/ACNC/Edu/Tools/GFG/GFG\\_Intro.aspx](http://acnc.gov.au/ACNC/Edu/Tools/GFG/GFG_Intro.aspx), and *Corporate Governance Principles and Recommendations 3<sup>rd</sup> Edition* (2014)

[2] For example, the tools discussed in: Stirk, Stephen and Sanderson, Helen. 2012. *Creating person-centred organisations: Strategies and tools for managing change in health, social care and voluntary sector*. Jessica Kingsley Publishers: London.

**Priority: NA**

# CORPORATE GOVERNANCE

## CLIENT AND STAKEHOLDER CONSULTATION AND FEEDBACK

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The organisation has a good understanding of the customer experience
- The organisation actively seeks clients' input in developing and reviewing services<sup>3</sup>
- Client engagement methods are responsive to diverse client need, and support meaningful participation (for example, use of alternative and augmented communication tools where required)
- A complaint and incident management procedure is promoted, well understood and effectively utilised by clients and staff
- Complaints and incidents are reviewed and acted upon

### Advanced practices

- Clients and their families are engaged through a board advisory committee or other formal mechanism
- Feedback is used to gain an understanding of other supports people are seeking which may inform business planning around identified gaps
- Clients participate in meaningful roles in the organisation, including paid roles
- Incident management software systems are in use to collect, store and analyse trends for continuous improvement

[3] For example, through use of tools discussed in: Stirk, Stephen and Sanderson, Helen. 2012. *Creating person-centred organisations: Strategies and tools for managing change in health, social care and voluntary sector*. Jessica Kingsley Publishers: London.

**Priority: NA**

# CORPORATE GOVERNANCE

## RISK MANAGEMENT & COMPLIANCE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The organisation has a formal process for identifying, evaluating and responding to financial and other risks which may affect the organisation
- Risk management policies are implemented and regularly reviewed, including tolerance for different types of risks associated with the new operating environment
- Risk is a standing agenda item for management and the board for review
- Compliance obligations are documented and maintained, including those under:
  - Disability services legislation and standards
  - NDIA Terms of Business for Registered Support Providers
  - Carer Recognition Act/s
  - Disability Discrimination Act (including the Act's requirement for an Action Plan)
  - any contractual obligations including to funding agencies
  - the Corporations Act and the ACNC Act (if a charity)
  - other relevant key legislation
  - key organisational policies and procedures

### Advanced practices

- A comprehensive risk analysis has been completed of the impact of changes in government policy, legislation, and changing customer expectations on the organisation
- Risks concerning clients are managed in a way that maximise independence while meeting duty of care obligations
- Staff at every level of the organisation are supported to fulfil their risk management and compliance responsibilities
- Compliance audits are conducted periodically
- Risk management and compliance software systems are in use
- A Business Continuity Plan exists and is regularly reviewed and tested

Priority: NA

# CORPORATE GOVERNANCE

## POLICIES AND PROCEDURES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Policies and procedures are:
  - developed and reviewed in conjunction with those affected by the policies and procedures
  - sufficiently comprehensive in scope
  - easy to understand
  - accessible to all users
  - consistent with the NDIS Terms of Business for Registered Service Providers
  - updated for relevant quality standards
  - documented using a standard template and style
  - effectively disseminated throughout the organisation

### Advanced practices

- Policies and procedures are:
  - readily accessible using a single point of reference
  - regularly reviewed in light of the evolving NDIS
  - updated for new information about good practice approaches to service delivery

Priority: NA



# CORPORATE GOVERNANCE

## DECISION-MAKING PROTOCOLS

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The level at which decisions are made, documentation requirements and recording of decisions are all specified and recorded
- The level at which decision are made is proportionate to the significance of the subject matter and associated risk, and allows timely decision-making
- Any key messages associated with decisions are identified and communicated with relevant stakeholders (board, staff and clients)
- Decision making practices concerning clients always presume capacity and enable supported decision-making

### Advanced practices

- Standard templates are used to assist decision-making, for example, templates for board papers and for proposed policies
- Directors are aware of their rights to information and advice, to be heard and to delegate
- Criteria are established for making significant organisational decisions
- Decision making practices maximise employee engagement through effective delegation

Priority: NA

# CORPORATE GOVERNANCE

## BOARD PROCESSES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Board processes:
  - are documented (for example, in a Board Charter)
  - help directors and the organisation to discharge their legal responsibilities
  - assist the board to balance compliance and performance roles
  - help the board to focus more on strategic issues than operational ones
  - include regular reporting about financial and non-financial performance
  - include a 'closing the loop' mechanism to ensure that the board's decisions are implemented
  - are periodically reviewed

### Advanced practices

- Board processes:
  - include a structured orientation program for new directors
  - are structured around organisational priorities
  - include measures of service quality aligned to person-centred and outcomes-focussed practice
  - include evaluation of the board and individual directors
  - include an independent and qualified Company Secretary
- Board reporting allows comparison with strategic goals, historic performance, divisional comparison, or comparison to other organisations

Priority: NA

# CORPORATE GOVERNANCE

## BOARD MEMBER PERFORMANCE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Directors in the organisation:
  - understand and comply with their duties
  - have core competencies of a director, including the ability to think strategically, work as part of a team, understand financial statements and possess business acumen
  - attend meetings on a regular basis
  - constructively engage in the business of the board
  - follow up on a timely basis on commitments made
  - declare and manage potential conflicts of interest
- The Chair and CEO have established a productive working relationship

### Advanced practices

- Directors in the organisation:
  - link the company to important knowledge and resources in the community
  - can access learning and development for knowledge and capability gaps
  - actively engage with other information sources to increase their understanding of the NDIS and other disability reforms
  - have been exposed to external knowledge of good practice in other organisations that is relevant to the NDIS reform

Priority: NA

# CORPORATE GOVERNANCE

## BOARD STRUCTURE & COMPOSITION

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The Board in my organisation:
  - has the necessary size and composition to carry out its responsibilities and duties, including to lead the organisation through the NDIS reform
  - includes a blend of relevant specialist knowledge, skills, experience and backgrounds, including lived experience of disability

### Advanced practices

- Rigorous recruitment processes are used for targeting new directors
- The board has an active Governance Committee, or a similar mechanism, which supports its effectiveness and continuing development
- There are an adequate number of board sub-committees for managing the collective workload
- There is a structured board renewal process, including succession planning for key office-holders such as the Board Chair

Priority: NA

# CLIENTS AND MARKET FOCUS

## UNDERSTANDING THE ORGANISATION'S CLIENTS AND COMMUNITIES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Clients are actively involved in planning for their idea of a good life and are supported to advocate for themselves
- The organisation is well connected with the communities in which it operates
- Staff understand, promote and uphold the rights of the people they support
- The needs of clients and families are well understood and this is reflected in the support provided along with monitoring of any unmet needs
- Staff understand the NDIS planning process and keep up to date with developments in this area
- Each client's goals, and the organisation's roles in supporting the client to achieve those goals, have been documented
- Staff understand and respond to client diversity, including addressing potential barriers for specific groups such as Aboriginal and Torres Strait Islander people and people from culturally and linguistically diverse backgrounds

### Advanced practices

- Clients and their families:
  - are regularly engaged and kept up to date about the transition to the NDIS (for example through use of communication plans or change management strategies<sup>4</sup>)
  - have been informed of the possibilities offered by the NDIS including potential to meet any unmet needs (within bounds of reasonable and necessary)
- The organisation:
  - uses a wide range of accessible communication and engagement methods
  - works in its local communities to create community inclusive spaces for people with disability
- Clients are supported to access advocacy and training, including independent advocacy
- Staff are culturally competent

[4] Some change management resources include:

- Kotter's 8 principles of change management - [www.kotterinternational.com](http://www.kotterinternational.com)
- McKinsey & Co, The 7-S model - [http://www.mckinsey.com/insights/strategy/enduring\\_ideas\\_the\\_7-s\\_framework](http://www.mckinsey.com/insights/strategy/enduring_ideas_the_7-s_framework) McKinsey & Co. [http://www.12manage.com/methods\\_7S.html](http://www.12manage.com/methods_7S.html)
- The ADKAR model - <http://www.prosci.com>

**Priority: NA**

# CLIENTS AND MARKET FOCUS

## MARKET RESEARCH, STRATEGIES AND PLANNING

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Information about the changing aspirations and support requirements of existing clients is gathered and acted on
- Marketing strategies and plans are devised and documented (in the strategic plan, business plan or a marketing plan) within an allocated budget
- The organisation:
  - understands what it could improve to ensure current clients are more likely to keep choosing supports from your organisation
  - has identified what would motivate potential new clients to choose its services over those of other providers
  - has identified its target market along with actual and potential competitors and partners

### Advanced practices

- The organisation builds awareness of the value it can deliver with current and future clients, NDIA planners, Local Area Coordinators and other stakeholders
- Marketing targets are monitored and reviewed, such as client willingness to recommend the organisation to others
- Tailored marketing strategies exist for different individuals and groups
- Potential changes in clients' purchasing behaviours are anticipated by reviewing trends in other jurisdictions which have implemented similar reforms
- Detailed analysis of actual and potential competitors and partners is acted on
- Marketing strategies and plans are appropriately communicated within the organisation

**Priority: NA**

# CLIENTS AND MARKET FOCUS

## MARKETING PRACTICE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The organisation strives to be a trusted, reliable and valued source of information about the NDIS for clients and carers
- The organisation understands how people currently find out about it
- Potential new clients are aware of your brand and service offerings
- Branding and communications are applied consistently
- The organisation's website is designed from a client and carer perspective and meets web accessibility standards
- Information about supports provided by the organisation are available in alternative languages, accessible print and Braille
- Templates for service agreements with clients are completed, specifying the supports that will be provided, their cost and how they will be delivered
- Staff with responsibility for negotiating service agreements with clients have appropriate training, including knowledge of pricing options

### Advanced practices

- Staff have the service and product knowledge, awareness and skills to promote the organisation positively to potential new clients and the public
- Social media presence is well managed
- Methods are used to research the actual experience of new clients in accessing the organisation's services
- Peer marketing strategies are in place for supporting clients to recommend the organisation to others

Priority: NA



# FINANCIAL SUSTAINABILITY

## FINANCIAL PROCESSES AND CONTROLS

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Financial processes and controls reflect the NDIA Terms of Business for Registered Support Providers including:
  - catering for all NDIS funding-administration options (that is, self-management, plan management, or NDIA management, and any combination of these)
  - timely payment claims at least within 30 days of service delivery
  - a service agreement that specifies the nature, quality and price of supports, consistent with NDIS pricing guidelines
  - provision of adequate notice prior to service withdrawal
- An assessment of client support requirements and expectations occurs before acceptance of a plan and is regularly reviewed
- A process for managing bad debts is in place
- A financial delegations policy exists and is applied
- Financial controls, appropriate to the organisation's size and risks, are applied and include authorising payment, separation of duties, and checks for ensuring major purchases provide value-for-money
- An independent annual financial audit occurs
- Insurance is in place to protect the organisation, its assets, staff and services

### Advanced practices

- Fee for service financial processes are user-friendly for clients and staff
- All financial policies and processes are documented and kept up to date
- Financial controls are embedded in the financial software systems
- Integrity of financial data and controls are regularly audited
- Capital value and financial requirements are reviewed annually<sup>5</sup>
- The organisation has implemented appropriate actions<sup>6</sup> to contain costs and boost productivity

[5] One element of capital formation is loan finance. The Loan Financing Tool assesses an organisation's readiness to use loans, [www.adhc.nsw.gov.au/sp/sector\\_reform/financial\\_management/accessing-investment-and-finance](http://www.adhc.nsw.gov.au/sp/sector_reform/financial_management/accessing-investment-and-finance)

[6] For example, reviewing the Healthy Cash Flow Pillars will provide specific strategies to improve organisation's capabilities with revenue growth, cost containment, cash flow levers and robust cash flow [www.adhc.nsw.gov.au/sp/sector\\_reform/financial\\_management/managing-your-cash-flow](http://www.adhc.nsw.gov.au/sp/sector_reform/financial_management/managing-your-cash-flow)

**Priority: NA**

# FINANCIAL SUSTAINABILITY

## COSTING AND PRICING

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- There is a good understanding in the organisation of the difference between costing and pricing<sup>7</sup>
- An established unit costing method is used to accurately calculate the cost of services<sup>8</sup>
- The organisation's approach to unit costing:
  - documents the assumptions for calculating key cost elements
  - is regularly reviewed to understand actual cost outcomes
  - is regularly reviewed to assess how costs will change with an increase or decrease in activity levels
- The price is based on the comprehensive cost of a unit of measure and includes a reasonable mark-up
- Cost modelling for delivering supports based on NDIA prices has occurred, and a plan is in place if the cost of delivering a support is more than the maximum price set by the NDIA<sup>9</sup>
- Strategies for managing costs and increasing productivity are in place
- Service managers understand how prices are structured and billed and can communicate this to clients and their families

### Advanced practices

- A pricing strategy or policy has been developed and endorsed by the Board, covering both when prices are set by the NDIA and when prices are set by the market
- A robust quoting process applies consistently across the organisation
- Costing and pricing is regularly benchmarked against separate, similar organisations
- The organisation understands how to compete on quantity, quality and price
- Other

[7] Refer to the *NDS Costing and Pricing Framework for Disability Services* undertaken by Curtin University

[8] For example, The Unit Costing Toolkit supports NGOs to accurately calculate the cost of their services, and price them accordingly [www.adhc.nsw.gov.au/sp/sector\\_reform/financial\\_management/costing-your-services](http://www.adhc.nsw.gov.au/sp/sector_reform/financial_management/costing-your-services)

[9] For modelling in relation to self-care and community participation, refer to the NDIS report: *Methodology for developing the efficient price*

Priority: NA

# FINANCIAL SUSTAINABILITY

## FINANCIAL SOFTWARE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Financial software will support both current and future business practice, including individual invoicing and claiming
- Relevant staff are trained in the use of the financial software

### Advanced practices

- Financial systems interface with the NDIA Portal, for example, 'bulk uploads'
- Financial software is integrated with other systems, for example, client relationship management, payroll and rostering systems
- Financial software allows the variances between budgeted and actual costs to be tracked using near real time data, with scenario analysis capabilities
- Staff are provided with handheld devices to enter information about service provision

Priority: NA

# FINANCIAL SUSTAINABILITY

## BUDGETING

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Budgets:
  - are aligned with strategic and business plans
  - exist for income, operational expenses and capital expenses
  - document assumptions used as the basis for calculations
  - are periodically revised (for example, a mid-year revision of the budget)
- Cash flow is monitored at least monthly, and cash flow impacts of being funded in arrears rather than in advance are being managed

### Advanced practices

- A long-term financial plan, aligned to the strategic plan, has been prepared and is updated at least annually
- Rolling budget processes are used
- Cash flow budgets are used and distinguish between cash flow, profit and building cash reserves, taking into account the impact of seasonality
- Budget scenarios are used to measure changes in activity levels (for example, no change, best case, worst case)
- Processes are in place to determine when additional resources are required to invest in infrastructure or facilitate business growth
- Strategies are in place to ensure that service quantity and quality matches what is purchased

Priority: NA

# FINANCIAL SUSTAINABILITY

## FINANCIAL REPORTING AND MONITORING

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Financial reports:
  - are timely, compare actual performance against budgets and enable significant variations to be actively managed
  - include projections for individual service areas at all levels
  - are calculated and monitored over time
  - are reviewed at board and management team levels
  - are in forms that enable auditing with minimum difficulty

### Advanced practices

- Visual displays, commentary and analysis are provided in financial reports to aid understanding
- Balanced Scorecard-type reporting is used, with clear linkages between financial and non-financial information

Priority: NA

# PEOPLE AND CAPABILITY

## STAFF LEADERSHIP

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The management structure is well designed to support the organisation in its transition to the NDIS
- Senior managers develop and maintain a high degree of awareness, knowledge and understanding of changes in government policy, legislation and community expectations
- Senior and middle management staff:
  - can effectively communicate and implement the organisation's strategic directions
  - are competent and confident in managing their own performance and the performance of their staff including employee development and conflict resolution
  - are closely aligned with each other and connected to the senior management team
- Frontline supervisors are closely aligned with and connected to the middle management team

### Advanced practices

- Senior and middle managers are competent and confident in leading staff through significant change<sup>10</sup>
- Managers actively encourage staff to test ideas, observe and learn from the consequences for sharing throughout the organisation
- The performance of the leadership team is periodically reviewed
- Existing and future organisational leaders have access to leadership development programs
- Succession planning for leadership roles is in place

10. For example, the tools discussed in: Schalock and Alonso, 2012, *A Leadership Guide for Today's Disabilities Organizations*, Brookes Publishing, USA

Priority: NA

# PEOPLE AND CAPABILITY

## HR STRATEGY AND WORKFORCE PLANNING

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Workforce planning is supported by a documented workforce plan, including:
  - current and projected workforce numbers
  - current and projected workforce capabilities
  - preferred workforce composition, such as full time, part time, casual and total Full Time Equivalent (FTE)
- Workforce planning has identified the numbers and capabilities arising from implementation of the NDIS, including the need for job role and organisation structure reviews
- Workforce planning includes succession planning for middle and senior management roles
- HR strategy is aligned with organisational strategy, and is responsive to government policy and legislation

### Advanced practices

- The workforce is analysed using a range of indicators that inform HR strategy and workforce planning
- HR strategy and workforce planning processes can easily adapt to changing circumstances or fluctuations in demand
- The organisation is knowledgeable about how to optimise lawful flexible employment practices
- The cost of HR services is reviewed and controlled, for example, through partnerships with other organisations (e.g. shared employment arrangements)
- Strategies are in place to ensure the workforce is diverse enough to match participant characteristics
- Feedback from staff is valued, collected and acted on, and used to guide workforce planning

Priority: NA



# PEOPLE AND CAPABILITY

## HR SYSTEMS, POLICY AND PROCEDURES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- The organisation complies with its industrial relations obligations, work health and safety responsibilities and any Working with Children and National Criminal Records checks requirements
- The organisation has adapted HR policies, procedures and templates to the requirements of the NDIS
- Staff responsible for HR have a sound understanding of the HR implications of the NDIS

### Advanced practices

- HR data is used to monitor workforce trends and risks
- HR rostering allows efficient deployment of workers in response to fluctuating levels of demand
- HR IT systems are integrated with other systems, for example, client relationship management, rostering and invoicing systems
- Safeguards are embedded in HR IT systems, for example, that no one can be appointed to a position requiring a Working with Children check without a current clearance
- HR systems are audited periodically

Priority: NA

# PEOPLE AND CAPABILITY

## STAFFING, RECRUITMENT AND RETENTION

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Recruitment is based on the organisation's values and strategic direction
- Recruitment is timely and consistent with workforce planning<sup>11</sup>
- The reasons for staff turnover are well understood and used to guide strategies to increase retention rates
- Protocols about the employment of family members of clients exist

### Advanced practices

- Frontline staff are selected on the basis of matching client needs and interests
- Clients are involved in recruitment and selection decisions and choice of support workers
- Strategies are being implemented to attract non-traditional labour sources (e.g. people with disability, young people, carers, unemployed and underemployed people, people from culturally and linguistically diverse backgrounds and Indigenous people)

[11] For example, vacancies can be advertised on [www.carecareers.com.au](http://www.carecareers.com.au)

Priority: NA

# PEOPLE AND CAPABILITY

## EMPLOYEE LEARNING AND DEVELOPMENT

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Staff have completed an induction program that is tailored to the requirements of the position
- A process is in place to ensure that employees have the required levels of literacy and numeracy appropriate to their job role
- Employees' development needs are regularly reviewed and responded to
- Staff receive regular information about the NDIS and what this means for their job roles, including being supported to deal with uncertainty and change

### Advanced practices

- Employee qualifications are matched to skill or capability requirements
- Managers are regularly provided with development opportunities
- An organisation-wide learning and development plan exists, with matching budget allocation
- Employee learning and development is recognised and celebrated

Priority: NA

# PEOPLE AND CAPABILITY

## EMPLOYEE PERFORMANCE PLANNING AND SUPPORT

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Employee performance management processes are in place that align to organisational goals
- Supervision is structured to suit different types of employees and the environment in which supports are delivered, and is provided more often when staff are working with clients who have complex needs
- Staff performance is regularly reviewed, both formally and informally, and appropriate timely action implemented
- Feedback from clients is actively sought and acted upon (in a way that allows any concerns to be raised without fear of retaliation)
- Guidelines and processes are in place to support staff if they require immediate support
- A process for inappropriate staff performance is promptly and actively managed within the relevant industrial relations framework

### Advanced practices

- Staff (including managers) are trained in performance planning and support
- Achievements are recognised and celebrated
- Other:

Priority: NA

# INFORMATION & KNOWLEDGE MANAGEMENT

## RECORDS AND DATA MANAGEMENT

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Procedures are in place for complying with Information Privacy Principles, which are user-friendly to both clients and staff
- Client and staff confidentiality is maintained
- Delegations and security access controls are in place
- Paper and electronic records are protected, with electronic records backed up regularly

### Advanced practices

- IT systems are linked and allow automatic updating of data
- A records management system is used that is fit for audit
- A Business Continuity Plan, including for information and communication technologies, exists and is maintained
- Critical information and communication technologies are subject to disaster-recovery testing
- Retention and disposal schedules are in place and implemented
- Electronic devices enable staff to record their activity and verify it by the client, which can automatically downloaded to inform multiple systems, for example, payroll and invoicing

Priority: NA

# INFORMATION & KNOWLEDGE MANAGEMENT

## STRATEGY FOR INFORMATION AND COMMUNICATION TECHNOLOGIES

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

### Desired practices

- An ICT plan has been developed to ensure the organisation has the capacity to support business practices required under the NDIS
- Staff have access to ICT equipment required for their role
- Staff have the appropriate skills to effectively use ICT (including computers, email and internet)
- Staff are appropriately supported with IT helpdesks, etc.

### Advanced practices

- An ICT plan exists and is being implemented which:
  - is linked to the organisation strategic plan
  - includes consideration of required functionality, scalability of systems, asset replacement, and financing
- Clients have access to online information about their supports, and changes to scheduled support can be made online
- Other:

Priority: NA

# SAFEGUARDING, QUALITY MANAGEMENT AND IMPROVEMENT

## QUALITY MANAGEMENT AND CONTINUOUS QUALITY IMPROVEMENT

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have all desired practices	All desired and some advanced practices	All desired and most advanced practices
N/A	1	2	3	4	5

### Desired practices

- Abuse, neglect and violence involving people with disability is prevented and responded to (at a minimum) through employee checking and screening, eliminating or reducing use of restrictive practices, and effective complaints handling systems<sup>12</sup>
- The organisation has achieved certification or external verification against relevant quality standards<sup>13</sup>

### Advanced practices

- All staff, clients, carers and volunteers are engaged in continuous quality improvement
- Formal quality management systems or frameworks are in place
- The organisation is welcoming of review by external monitors
- The organisation's quality management system is being reviewed in anticipation of a new risk-based regulatory framework
- A research and service innovation program exists, with matching budget allocation

[12] For further information, refer to Zero Tolerance: <http://www.nds.org.au/projects/article/194>

[13] For further information, refer to the National Disability Standards:  
[https://www.dss.gov.au/sites/default/files/documents/12\\_2013/nsds\\_web.pdf](https://www.dss.gov.au/sites/default/files/documents/12_2013/nsds_web.pdf)

**Priority: NA**

# SAFEGUARDING, QUALITY MANAGEMENT AND IMPROVEMENT

## DATA COLLECTION AND STORAGE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

### Desired practices

- The data needed to inform clients, frontline workers, managers and the board has been specified, and is able to be collected
- Data collection systems are efficient and cost-effective
- Data is updated in a central and reliable system
- Roles and responsibilities for data collection are established
- Records for clients and staff are retained for the minimum compliance periods

### Advanced practices

- Data requirements are periodically reviewed and updated
- Data collection is automated where possible
- Data sets are periodically audited to ensure their accuracy and completeness

Priority: NA



# SAFEGUARDING, QUALITY MANAGEMENT AND IMPROVEMENT

## DATA REPORTING AND USE

Which of the following levels best applies to your organisation

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

Which of the following levels best applies to your preferred rating in 18 months

Not relevant	Relevant, but yet to be addressed	Some desired practices	Have <b>all</b> desired practices	All desired and <b>some</b> advanced practices	All desired and <b>most</b> advanced practices
N/A	1	2	3	4	5

### Desired practices

- The data for reporting to clients, frontline workers, managers and the board has been specified, with data reporting capability to match
- Key performance indicators have been established
- Appropriate internal comparators are used to report performance data
- Managers and the board regularly review performance data
- Data is used to identify and diagnose problems with organisational performance
- Decision-making is informed by data

### Advanced practices

- Systems for data reporting and comparison are automated
- Data is presented with graphs and other visual displays to promote understanding
- Performance data is used interactively, to explore, review and revise organisational strategies
- External comparators for performance data such as benchmarking organisational performance against other organisations, are used
- Balanced scorecard-type reporting is used
- Non-financial data is periodically audited to assure integrity
- Reflection and learning strategies are used when performance does not meet goals

**Priority: NA**

