



# **International Standards Certifications**

## **AUDIT REPORT**

### **Westcare Incorporated**

**Surveillance Audit for compliance to  
National Standards for Disability Services**

**Team Leader: Steve Bonasin**

**Date of Audit: 4<sup>th</sup> July 2016**

**Client File No: DS / R61 / 0750**



# Audit Report: National Standards for Disability Services (NSDS)

## CLIENT INFORMATION

<b>Client:</b>	Westcare Incorporated		
<b>Primary contact:</b>	Nathan Bullivant	<b>Email/Website:</b>	nathan.bullivant@westcare.com.au
<b>Position:</b>	Systems Manager	<b>Phone:</b>	(08) 6389 4100

## AUDIT DESCRIPTION

<b>Standard</b>	National Standards for Disability Services			
<b>Audit Type</b>	Initial Stage 2 <input type="checkbox"/>	Surveillance <input checked="" type="checkbox"/>	Triennial <input type="checkbox"/>	Other: <input type="checkbox"/>
<b>Duration</b>	1 Man day			
<b>Audited Sites</b>	Head Office: 75 Carrington Street Nedlands WA 6009 Site 1: ADE, 75 Carrington Street Nedlands WA 6009			
<b>Audit team</b>	Team leader	Steve Bonasin		
	Auditor	Steve Bonasin		
	Technical expert	Deanne Leber		
	Observer	N/A		
<b>Audit plan</b>	Sent 20 June 2016			
<b>Previous certification details:</b>				N/ A

## CERTIFICATION INFORMATION

### Scope of Certification:

Provision of supported employment across its four business divisions,

**Bassendean:** Box manufacturing, Safety product manufacture, Industrial & Food packaging

**Nedlands:** Printing.

### Changes In Client Information At This Audit

Client Name/Address	N	Scope	N
<b>Details:</b> N/ A			



# Audit Report: National Standards for Disability Services (NSDS)

## EXECUTIVE SUMMARY AND CONCLUSION

A Surveillance audit of Westcare Incorporated was conducted on the above date by International Standards Certifications in accordance with the requirements outlined in the National Standards for Disability Services scheme and 17065:2012.

### Summary of Audit Findings

This was a Surveillance Audit for Westcare Incorporated which is an ADE situated in Nedlands WA, with an additional site at Bassendean. The Head Office and Nedlands ADE site was reviewed during this Audit. Nedlands ADE provides a full range of Print production work opportunities for its Staff and Supported employees. The working conditions for supported employees is excellent, with some workers being part of the service for over twenty years.

During this review, it was noted that IEP's are still in process, with some employees not having a current IEP in place. Staff indicated this was 50% completed, and it is recommended the service continue this process. In addition to this, the Wage Assessment process includes Task Analysis records for work activities. These contribute to the Wage Level of the Supported employees. Overall, there were details missing, such as staff members not signing off on Task Analysis and forms not being fully completed. Some Task Analysis did not have records of employees being reviewed on their tasks, which may limit their Wage Levels. It is recommended that these matters be addressed. It is noted that the service will be migrating to a new wage tool in the near future.

Based on observations during the Audit it strongly appears that Westcare Staff at Nedlands ADE continue to treat all Supported employees with dignity and respect, communication and support provision appeared to be very caring, friendly and polite.

#### Feedback from Supported Employees included:

- Staff are understanding of people with a disability, and the fact they don't push me to do more and more, let me go at my own pace, do a faster, better job, happy, productive, time goes faster. Sometimes others push work onto me, I reported it, happy with the outcome.
- Up and down stairs, do a bit of walking, I like that better than just sitting.
- I get moments when not happy but things have improved.
- It just gives me a satisfaction... gets me out of the house. I like being away from home.

Reviewed Supported Employee files were well maintained and consistent with relevant information. Privacy and security continues to be adhered to, signed consent forms are used to ensure only an authorised person can access the information contained within the file. Supported Employee files are stored in secure filing cabinets and all electronic personal data is password access controlled. The Audit Team was satisfied with the privacy and security of the Supported employee files.

Based on feedback obtained from interviewed Staff members and Supported Employees and samples of documents and records verified during the audit, it appears that Westcare Incorporated Management System continues to comply with the requirements of the NSDS.

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There were a number of Positive Findings, Observations and Opportunities for Improvement identified during this Surveillance Audit which are highlighted under each relevant Standard.





The Audit team would like to thank all the Westcare Staff members and Supported employees who participated in the audit for their assistance and cooperation.

## Non Conformances Identified at Audit

Non Conformances (Details of NCRs identified)	Rating	
	Minor	Major
There were no Non Conformances identified.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

## Recommendation

Recommended for Continued Certification	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Next Audit type planned and date	<b>Surveillance - June 2017</b>

Name: Steve Bonasin	Name: Deanne Leber
Signature: 	Signature: 
Date: 18 July 2016	Date: 15 July 2016
<b>Team Leader/Lead Auditor</b>	<b>Technical Expert</b>
<b>ISC Office Use only</b>	
Name: Matthew Williamson	Name: Elizabeth Bryce
Signature: 	Signature: 
Date: 18 July 2016	Date: 20 July 2016
Signed Approval from Independent Technical Specialist	Signed Approval from Program Authority

## DESCRIPTION OF CLIENT OPERATIONS

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## Audit Report: National Standards for Disability Services (NSDS)

Westcare Incorporated is an Australian Disability Enterprise (not-for-profit) which has been providing quality supported employment and training for West Australian people with disabilities since 1947.

Westcare Incorporated ADE provides supported employment options across its four business divisions at Nedlands Print and at Bassendean Box, Safety and Foodpak.

- **Westcare Print** - offers superior offset & digital printing services. Whether its trade, digital or simple short run printing, Westcare pride themselves on offering superior full colour printed products at a competitive price. Westcare print management & design team work with its customers to ensure their print project comes to life - in a timely, cost effective manner.
- **Westcare Box** - offers a comprehensive range of cost-effective covered, stapled, die-cut and corrugated boxes in various sizes and configurations to suit any industry. Westcare Box pride themselves on their ability to produce a range of custom boxes. Westcare can custom make boxes to customer specification, including precise fitting into racking or storage system, they also have a large range of prefabricated boxes to choose from.
- **Westcare Safety** - specialise in manufacturing an extensive range of high visibility safety garments that meet customer requirements. Westcare also offer all products related to safety; whether its safety vests, ear protection, foot protection or work wear.
- **Westcare Foodpak** - offer food packing solutions that add value to a range of industries. Westcare Foodpak is firmly established as a one stop production, packing and delivery service. Westcare Foodpak offer the highest possible standards in quality, stock control and food packing services with a specialty in organic packing.

### Client Representatives:

Name	Title
John Mitchell	Company CEO
Nathan Bullivant	Systems Manager
Mark Forrest	Director Westcare Industries
Vinod Kamboth	QA Officer
Sherry Kaur	Manager Support Services
Diane Henningsen	Senior Admin Officer
Joshua Hutchinson	Dispatch Supervisor
Quentin Daymond	Production Manager Print
Dawn Boyce	Finishing Supervisor
Jenny Honeybun	Executive Assistant to CEO
Gail Underwood	Executive Manager Finance



# Audit Report: National Standards for Disability Services (NSDS)

## SITE SAMPLING METHODOLOGY

*If providing the sampling method for a multi-site client, please complete Table 2, Sampling Schedule for Multisite Client (at the end of this document).*

Not Applicable	<input type="checkbox"/>
Total number of sites	ADE: 2 Nedlands and Bassendean
	DES - DMS:
	DES - ESS:
Sites sampled	ADE: 1 Nedlands
	DES - DMS:
	DES - ESS:

## CONSENT REVIEW

Please advise if consent from the consumers was verified to participate in the audit and have their files reviewed.	YES <input checked="" type="checkbox"/> No <input type="checkbox"/>
How was this consent provided <i>Please list if this was via letter, phone or of other methods.</i>	Signed Consent Forms
Please note if there is any justification for no consent	N/A



# Audit Report: National Standards for Disability Services (NSDS)

## AUDIT INFORMATION

### EXPLANATORY NOTES

Rating System: 2 - indicates conformance  
1 - indicates a minor non-conformance  
0 - indicates a major non-conformance  
All NCR's shall be reported at IOP level

Observations shall include: Positive and negative observations  
Adequate description of main findings  
Audit trails to support IOP ratings at Standard Level

Negative observations should be addressed to ensure full conformity in future.  
Findings and Observations, should include where applicable both Negative and Positive comments

**NOTE: All NCRs raised, Shall be reported at the Indicator of Practice Level.**



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 1: Rights (Every Audit)

**The service promotes individual rights to freedom of expression, self-determination and decision-making and actively prevents abuse, harm, neglect and violence.**

Audited Indicators of Practice	
1.1 The service, its staff and its volunteers treat individuals with dignity and respect.	1.6 The service addresses any breach of rights promptly and systemically to ensure opportunities for improvement are captured
1.2 The service, its staff and its volunteers recognise and promote individual freedom of expression.	1.7 The service supports individuals with information and, if needed, access to legal advice and/or advocacy.
1.3 The service supports active decision-making and individual choice including the timely provision of information in appropriate formats to support individuals, families, friends and carers to make informed decisions and understand their rights and responsibilities	1.8 The service recognises the role of families, friends, carers and advocates in safeguarding and upholding the rights of people with disability.
1.4 The service provides support strategies that are based on the minimal restrictive options and are contemporary, evidence-based, transparent and capable of review	1.9 The service keeps personal information confidential and private.
1.5 The service has preventative measures in place to ensure that individuals are free from discrimination, exploitation, abuse, harm, neglect and violence	

### Findings:

**1.1** Based on observations during the audit it was evident that Westcare Staff at Nedlands continue to treat their Supported employees with dignity and respect. Communication and interaction was very friendly, polite and caring.

**1.2** Westcare Staff at Nedlands confirmed that the Individual Employment Plan provides the opportunity for all Supported employees to choose their individual goals. Supported employees also have the opportunity to express their views via regular toolbox and Consumer meetings.

**1.3** Interviewed Staff members at Nedlands confirmed that Supported employees are fully involved in decision-making including establishing their IEP's with individual goals and choosing their employment days and hours. Westcare staff also confirmed that Supported employees have the right to involve family members, carers, advocates and/or any other responsible person to assist with relevant decision making.

**1.4** It was evident during the IEP document review that support strategies are in place to ensure Supported employees achieve their individual goals. Records of achieved IEP goals at Nedlands were verified during the audit.

**1.5** Interviewed Staff members stated that Supported employees' work environment at Nedlands ADE is free from any form of discrimination, abuse, neglect or exploitation. Westcare Incorporated preventative measures include;

- Staff Police Clearance Checks
- Human Rights and Freedom from Abuse Policy
- Consumer Complaints Resolution Procedure
- Code of Conduct Policy

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# Audit Report: National Standards for Disability Services (NSDS)

- Code of Ethics Policy

There were no reported incidents relating to discrimination, abuse, neglect or exploitation during the audit.

**1.6** Interviewed Staff members confirmed that there has been no breach of rights incidents reported at Nedlands ADE during the period July 2015 - July 2016. If an incident relating to breach of rights did occur Westcare Incorporated maintains relevant Policies and Procedures to ensure that appropriate investigation and action is taken including;

- Human Rights and Freedom from Abuse Policy
- Consumer Complaints Resolution Procedure
- Incident reports
- Feedback surveys
- Complaints Register

All Westcare Staff members are provided with training relating to safeguarding Supported employee’s rights.

**1.7** Observations during the audit confirmed that sufficient information relating to external support services is provided at Nedlands ADE. Information relating CRRS and National Abuse and Neglect Hotline is displayed on the noticeboard at Nedlands. Information is also included on the Westcare Disputes Resolution Flow Chart.

**1.8** Interviewed Staff members at Nedlands confirmed that the IEP process encourages family members, carers and other responsible people to participate and assist Supported employees in decision making relating to their individual Rights.

**1.9** Observations during the Audit confirmed that Privacy principles are adhered to at Nedlands ADE. Current Signed Consent forms were sighted. Interviewed Staff members confirmed that only authorised people have access to information contained in personal files. All Supported employee files are secured in locked filing cabinets. Management confirmed that only authorised Staff members with a secure login and password have access to personal electronic data maintained on the system. Interviewed Staff members also confirmed that confidential meetings with Supported employees at Nedlands are conducted in private meeting rooms.

## Technical Expert Comments:

The atmosphere at Westcare is welcoming and positive. The interactions between supported employees and staff were seen to be very respectful and it was evident that the service does treat supported employees with dignity and respect. Most employees felt they are treated accordingly. Most employees felt the service upholds their rights and there were no reports of specific discrimination by Westcare staff members.

Employees felt that the service does keep information private and confidential. Current, signed consent forms were implemented as part of this Audit process.

When presented with a scenario, such as someone bullying or treating them badly in the workplace, most employees felt the service would and do step in if this occurs. One individual indicated that “lesser” issues do happen and staff are aware. Another stated that sometimes misunderstandings occur.

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## Audit Report: National Standards for Disability Services (NSDS)

The Westcare Incorporated and associated divisions Disability Employment Assistance Quality Manual has a section on Standard One. This includes that the service “actively safeguard the legal and human rights of its employees”. The service also maintains “a safe working environment, free from harassment with relevant duty of care and Occupational Safety and Health practices to safeguard employees”.

### OBSERVATIONS

- The service should check the Privacy Policy against the APP requirements, and if needed address whether information goes overseas.
- Some Centrelink Reporting Consent Forms were many years old. The service could check these for currency.

Rating	<b>2</b>
Non-conformances (At IOP level)	Nil



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 2: Participation and Inclusion

**The service works with individuals and families, friends and carers to promote opportunities for meaningful participation and active inclusion in society.**

Audited Indicators of Practice	
2.1 The service actively promotes a valued role for people with disability, of their own choosing.	2.4 Where appropriate, the service works with an individual's family, friends, carer or advocate to promote community connection, inclusion and participation
2.2 The service works together with individuals to connect to family, friends and their chosen communities.	2.5 The service works in partnership with other organisations and community members to support individuals to actively participate in their community.
2.3 Staff understand, respect and facilitate individual interests and preferences, in relation to work, learning, social activities and community connection over time	2.6 The service uses strategies that promote community and cultural connection for Aboriginal and Torres Strait Islander people.

### Findings/ Observations/ Opportunities for Improvement and Positive Findings:

Not Audited

Rating	
Non-conformances (At IOP level)	



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 3: Individual Outcomes (Every Audit)

**Services and supports are assessed, planned, delivered and reviewed to build on individual strengths and enable individuals to reach their goals.**

Audited Indicators of Practice	
3.1 The service works together with an individual and, with consent, their family, friends, carer or advocate to identify their strengths, needs and life goals.	3.4 Service planning and delivery is responsive to diversity including disability, age, gender, culture, heritage, language, faith, sexual identity, relationship status, and other relevant factors.
3.2 Service planning, provision and review is based on individual choice and is undertaken together with an individual and, with consent, their family, friends, carer or advocate.	3.5 The service collaborates with other service providers in planning service delivery and to support internal capacity to respond to diverse needs.
3.3 The service plans, delivers and regularly reviews services or supports against measurable life outcomes.	

### Findings:

**3.1** Reviewed Supported employee files at Nedlands ADE contained IEP's which were well documented highlighting Work Skills, Employment Assistance and Training. Records of goals in progress and some achieved goals were verified during the audit. All Supported employees have the option of including Family members, Carers, Friends, Advocates and/or other responsible people to participate in the establishment and the review of IEP's.

**3.2** If requested by the Supported employee invitation to family, friends, carer or advocates is sent to attend their initial IEP or the IEP review meeting. An IEP is developed with each Supported employee which identifies individual goals. Designated Westcare staff members are responsible for reviewing Supported employee's IEP's annually to ensure individual goals have been achieved and to re-establish new goals.

**3.3** Most reviewed Supported employee files during the audit at Nedlands ADE contained a current IEP. File notes are maintained on the system to record progress towards achieving individual goals. Random record samples of achieved outcomes were verified during the audit which included;

- New Work Skills
- Competence in operating Machinery.

**3.4** Westcare staff members at Nedlands ADE confirmed their commitment to addressing any diverse needs the Supported employees may have. It was reported that diversity is taken into consideration when establishing Supported employees IEP's. Interpreters are available for Language barriers and for Hearing impaired Supported employees. Westcare continues to provide referral options for specific needs and assistance.

**3.5** Nedlands Staff members confirmed that Westcare continues to network with other service providers and within the local community. Referral to other services is used for specific training and support needs which includes;

- Interpreter Services
- Other local ADE's
- Centrelink
- Community Service Providers
- TAFE

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# Audit Report: National Standards for Disability Services (NSDS)

- WADE network

## Opportunities for Improvement:

It is recommended that the service ensures all Supported employee's IEP's are reviewed annually according to the organisations policy and the IEP review schedule.

## Technical Expert Comments:

In interview with supported employees, it appears the service does support individual planning of goals and needs. IEP's (Individual Service Meeting Checklist and Employment Plan) were sighted, which track goals. This includes Work Skills goals. Plans are in the process of being reviewed across the service, after a period of not being completed. Staff indicated that 50% now have current plans. It is recommended this process be continued (SEE OBSERVATION). Some employees indicated family members had attended the service.

Task Analysis were sighted, which give training records for work skills/ task needs (SEE OBSERVATION IN STANDARD SIX). Underpinning Work Skills assessments were also sighted.

Some employees mentioned that the service does have social activities, such as a Christmas in July celebration. One employee interviewed had been with the service for 25 years. They received \$200 worth of Coles gift cards, certificate and badge.

The Westcare Incorporated and associated divisions Disability Employment Assistance Quality Manual includes a section on Standard Three. It outlines the IEP and that employees "with family member, friend, carer or advocate if requested" will lead "towards achieving the employee's desired employment goals".

## OBSERVATIONS:

- The IEP's are in the process of being raised across the service. Staff estimate that 50% have been completed. This process should be continued.
- The IEP's could include the role of the staff member on the form.
- The IEP's could include the role of advocates/ parents/ guardians attending the review.

Rating	2
Non-conformances (At IOP level)	Nil



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 4: Feedback and Complaints

### Regular feedback is sought and used to inform individual and organisation-wide service reviews and improvement

Audited Indicators of Practice	
4.1 Individuals, families, friends, carers and advocates are actively supported to provide feedback, make a complaint or resolve a dispute without fear of adverse consequences.	4.4 The service seeks and, in conjunction with individuals, families, friends, carers and advocates, reviews feedback on service provision and supports on a regular basis as part of continuous improvement.
4.2 Feedback mechanisms including complaints resolution, and how to access independent support, advice & representation are clearly communicated to individuals, families, friends, carers and advocates.	4.5 The service develops a culture of continuous improvement using compliments, feedback and complaints to plan, deliver and review services for individuals and the community.
4.3 Complaints are resolved together with the individual, family, friends, carer or advocate in a proactive and timely manner.	4.6 The service effectively manages disputes.

### Findings:

**4.1** Interviewed Staff members at Nedlands ADE confirmed that Westcare encourages Supported employees with the involvement of their families, friends, carers and advocates to provide regular feedback and improvement suggestions during IEP meetings and via client surveys. All Supported employees participate in training sessions relating to how to and when to raise a Complaint without fear of adverse consequences.

**4.2** It was evident during the audit that Supported employees at Nedlands ADE are provided with sufficient information relating to how to make a Complaint. All Supported employees have access to the dispute resolution process flowchart which identifies the Complaints process. Supported employees are also provided with information and contact details of external independent support services which include;

- CRRS
- Abuse and Neglect Hotline
- National Relay Service

Samples of training records verified during the audit confirmed that Supported employees at Nedlands ADE have participated in the Complaints process training.

**4.3** Interviewed Staff members at Nedlands ADE confirmed that all Complaints are resolved according to the Westcare Consumer Complaints Resolution Procedure. Family, carers and friends can be and are involved in the Complaints resolution process if and when needed. Westcare Complaints register was verified during the audit.

**4.4** Interviewed Staff members at Nedlands ADE confirmed that Westcare Management team reviews all Complaints and feedback from internal and external customers. It was reported that all relevant information is analysed and adopted as part of the continuous improvement process for service planning and delivery. Managers participate in regular training programs relating to the organisation's Complaints and Feedback process.

**4.5** Westcare continues to conduct annual Supported employee satisfaction surveys and maintains a Complaints register to ensure relevant data is recorded, actions identified from the recorded data becomes part of the continuous improvement process. Identified opportunities for improvement are recorded and actioned accordingly by the responsible Manager.

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# Audit Report: National Standards for Disability Services (NSDS)

4.6 Based on feedback obtained from interviewed Staff members at Head Office and Nedlands ADE during the audit, it appears that Westcare Industries effectively manages disputes according to the Consumer Complaints Policy and Consumer Complaints Resolution Procedure. Westcare maintains a Complaints register at Head Office as for Nedlands ADE, there were two recorded Complaints during the period July 2015-June 2016 one complaint has been closed out appropriately in a timely manner and one is currently in the process of being resolved by Westcare Incorporated.

### Technical Expert Comments:

During employee interviews, it was evident that most felt comfortable talking to staff if there is an issue or if they had a complaint. The procedure for complaints is in the Quality Manual. Most employees indicated they didn't have complaints with the service.

A small number of employees interviewed were aware of the CRRS and Abuse and Neglect Hotline.

The Westcare Incorporated and associated divisions Disability Employment Assistance Quality Manual includes a section on Standard Four. There is a Disputes Resolution Flow Chart which details how to complain, and external services employees can use, including the Abuse and Neglect Hotline/ CRRS The Manual also notes that grievance procedures "cover human rights, sexual harassment and provisions of the Equal Opportunity Act 1984 and Disability Discrimination Act 1992".

One person stated that they had an issue with another employee who kept "pushing" work onto them. Staff were notified and the employee was happy with the outcome.

Another employee had various complaints, including another worker complaining about their work output, and that staff weren't allowing them to communicate with others during breaks (this was discussed with a staff member who explained the situation, and how the service was handling this, so that the employee could finish their lunch in the break). The employee stated in the interview that they didn't know how to complain or who to talk to. They appeared unhappy at times, but were positive regarding staff overall. With permission, a staff member was made aware of the employee's desire to complain and will follow this up.

### OBSERVATIONS:

- CRRS poster in the canteen should be properly displayed (poster fell off the wall)
- The Complaints Process flowchart could be simplified, and the Complaints Process reinforced.
- The Complaints Brochure appears to be outdated and could be reviewed.

Rating	2
Non-conformances (At IOP level)	Nil



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 5: Service Access

**The service manages access, commencement and leaving a service in a transparent, fair, equal and responsive way.**

Audited Indicators of Practice	
5.1 The service systematically seeks and uses input from people with disability, their families, friends and carers to ensure access is fair and equal and transparent.	5.5 The service monitors and addresses potential barriers to access.
5.2 The service provides accessible information in a range of formats about the types and quality of services available.	5.6 The service provides clear explanations when a service is not available along with information and referral support for alternative access.
5.3 The service develops, applies, reviews and communicates commencement and leaving a service processes.	5.7 The service collaborates with other relevant organisations and community members to establish and maintain a referral network.
5.4 The service develops, applies and reviews policies and practices related to eligibility criteria, priority of access and waiting lists.	

### Findings:

**5.1** Interviewed Staff members at Head Office and Nedlands ADE confirmed that input from all relevant stakeholders is taken into consideration to ensure Service Access is fair, equal and transparent.

Westcare Incorporated ensures that the following Policies and Procedures are adhered to;

- Eligibility Criteria
- Equal Opportunity Policy
- Employment Procedure
- Exit Procedure.

**5.2** Westcare Incorporated ensures information relating to the services they provide is readily available and accessible in many ways including;

- website [www.westcare.com.au](http://www.westcare.com.au)
- Information Video on the website
- Brochures / Booklets
- Supported Employee Induction Pack
- Disability Employment Assistance Quality Manual
- Interpretation services are available if and when needed.

**5.3** Interviewed Staff members at Head Office and Nedlands ADE confirmed that all Supported employees and their support network are fully informed in terms of commencing employment at Westcare and leaving Westcare processes. Completed entry and exit forms were verified at Nedlands ADE during the Supported employees file reviews. Westcare Incorporated ensures that information induction pack is provided to all new Supported employees on commencement.

**5.4** Westcare Incorporated has an established eligibility criteria and other relevant service access policies and procedures which are consistently applied and reviewed. It was reported during the audit that the current Eligibility Criteria is used for appointing new Supported employees at Nedlands ADE. If Westcare is unable to provide a position to an applicant with a disability, information relating to alternative suitable services is provided. There has been no need to use a waiting list during the last 12 months at Nedlands ADE.

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## Audit Report: National Standards for Disability Services (NSDS)

**5.5** Observations during the audit confirmed that Westcare employs Supported employees with a range of disability types at Nedlands ADE. Work aids continue to be utilised to enable Supported employees to perform a variety of tasks. Interviewed Staff members at Nedlands ADE confirmed that workplace Safety inspections also contribute to identifying barriers.

**5.6** Interviewed Staff members confirmed that Westcare provides clear explanations if they can't provide the service required by an individual. Referral information and support is provided if and when required including contact details of local disability service providers and ADE's

**5.7** Interviewed Staff members at Head Office and Nedlands ADE confirmed that Westcare continues to collaborate with other relevant organisations and community services, it also maintains a strong referral network with other local services including;

- Centrelink
- Interpreter Services
- TAFE
- WADE network
- Other ADE's

### Technical Expert Comments:

Westcare has a website which includes a description of the service, as well as eligibility criteria for supported employees. Information for both sites, in work areas such as printing, Foodpak and Cardboard Box Making is listed.

Through the Audit process, a family member for one Exited employee was interviewed. They had a very high level of satisfaction with the way the service had treated the employee. There were some difficulties with behaviour, which the service was able to manage. The Exited employee had worked at Westcare for 20 years. The interviewee indicated that the employee was treated with dignity and respect, and that family members had attended most IEP meetings.

One employee interviewed had only been with Westcare for 6 months. They were dissatisfied with another service, but happy here. They indicated they had a tour and reviewed work areas, before filling out paperwork. The employee said that their rights and the NSDS were explained. They also stated they had a three month probation period.

The Westcare Incorporated and associated divisions Disability Employment Assistance Quality Manual, includes a section on Standard Five. The eligibility criteria is detailed, as well as confirming that Westcare's policies are "non-discriminatory in respect of age, gender, race, culture, religion or disability". The document also details Employment and Exit Procedures.

Rating	2
Non-conformances (At IOP level)	Nil



# Audit Report: National Standards for Disability Services (NSDS)

## Standard 6: Service Management (Every Audit)

**The service has effective and accountable service management and leadership to maximise outcomes for individuals.**

Audited Indicators of Practice	
6.1 Frontline staff, management and governing bodies are suitably qualified, skilled and supported.	6.5 The service has a clearly communicated organisational vision, mission and values which are consistent with contemporary practice.
6.2 Practice is based on evidence and minimal restrictive options and complies with legislative, regulatory and contractual requirements.	6.6 The service has systems to strengthen and maintain organisational capabilities to directly support the achievement of individual goals and outcomes.
6.3 The service documents, monitors and effectively uses management systems including Work Health Safety, human resource management and financial management.	6.7 The service uses person-centred approaches including the active involvement of people with disability, families, friends, carers and advocates to review policies, practices, procedures and service provision.
6.4 The service has monitoring feedback, learning and reflection processes which support continuous improvement.	

### Findings:

**6.1** Reviewed samples of Staff /Management Position Descriptions confirmed that skills, qualification requirements are defined in the document. Current Westcare Incorporated Board members profile is defined on the Westcare website. Westcare continues to provide relevant training to all Staff members to ensure professional development and competence in area of need. Staff training records verified during the audit include;

- Greenacres Wage Assessment Tool
- Fire Fighting
- Provide First Aid
- Provide Basic Emergency Support.

**6.2** Westcare Incorporated Policies and Procedures continue to be reviewed and maintained in accordance with the relevant legislative requirements. Based on samples of documents verified during the audit it appears that Westcare continues to comply with its contractual and funding agreement.

Staff members continue to be employed under the Supported Employment Services Award 2010.

Supported employees continue to be employed under the Supported Employment Service Enterprise Agreement 2009-2013.

Supported employees are paid according to the Greenacres Wage assessment assessed rate. Reviewed Supported employee wage rates and payslips at Nedlands ADE appeared to be accurate.

**6.3** Westcare Incorporated continues to maintain relevant Policies and Procedures relating to OSH, HR and Financial Management. Records verified during the audit confirmed that Westcare Incorporated continues to maintain appropriate Work Health Safety records, Human Resources management records including Performance Appraisals, IEP's and Training Records. Financial management records including assets register, payroll records, records of sales, accounts payable including insurances and other operational expenses.

The following records were verified at Westcare Incorporated Head Office and Nedlands ADE;

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**OSH Records:**

- OSH Meeting minutes
- Incident and Accident Register
- Electrical Test and Tag
- Emergency Evacuation records
- First Aid Cert Register
- Fire-fighting Equipment Maintenance.

**Human Resources Records:**

- Staff Position Descriptions & Performance Appraisals
- Supported Employee IEP's
- Awards/Agreements
- Staff and Supported employee Training Records
- Staff National Police Clearance Checks.

**Financial Records:**

- Accounts payable
- Purchasing records
- Sales records
- Insurance records
- Supported employee Wage rates and Superannuation contributions
- Supported employee Payroll records.

6.4 Interviewed Staff members at Head Office and Nedlands ADE confirmed that Westcare Incorporated continues to monitor its processes which supports the continuous improvement strategy. Regular meetings are held at all levels to gather and provide feedback including;

- Production/Toolbox meetings
- Consumer meetings
- Staff/Management meetings
- Westcare Board Members Meetings
- Management Review meetings
- OSH meetings.

Westcare Incorporated continues to maintain a number of registers which aid the Continuous Improvement process including;

- External Customer and Consumer Complaints Register
- Non Conformance Register
- Corrective Action Request Register.

6.5 Westcare Incorporated mission, code of ethics and objectives are clearly communicated and appear to be consistent with current contemporary practice.

6.6 Samples of records verified during the audit confirmed that Westcare Incorporated continues to assist its Supported employees to achieve their individual goals. Random samples of records verified included;

- Development and Review of IEP's
- Individual Goals Training
- Records of achieved outcomes.



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6.7 Interviewed Staff members at Westcare Head Office and Nedlands ADE confirmed that the IEP process and Satisfaction surveys input with the involvement of family, carers and advocates is utilised to review current policies, practices, procedures and service provision.

### Opportunities for Improvement:

The Service needs to ensure that all permanent Staff have Performance reviews conducted annually. It is also recommended that all new Staff members have a Performance review during the Probation period.

### Technical Expert Comments:

The Nedlands Head Office site was reviewed at this Audit. This site is well organised, bright and the working conditions are excellent. There is a lunchroom for supported employees, and individual lockers for each worker.

Most employees interviewed were happy at Westcare, and this was evident with most having worked for the service for many years. They were happy with their hours and days of employment. Job tasks included tags, file folding and gluing.

Most employees felt safe at work, and hadn't seen or experienced accidents or safety issues. One individual mentioned a muscle injury. One employee indicated they had raised an issue of the air conditioners not being cleaned.

Fire Extinguishers, First Aid Kits and Evacuation Maps were sighted. It was noted that in some places, the working area had objects that were stored inappropriately (for example, lights stored in a corner near a First Aid Kit).

Most employees were satisfied with their wages and hours, and indicated the service had explained the wages process to them. Wages are determined by the Greenacres tool. Task Analysis and Underpinning Work Skills documents were sighted, as well as the Wage Assessments. Employees appear to be paid according to their correct, assessed level.

The service has an Employee Committee which meets regularly. Most were aware of this and felt that the Committee and service do listen if there is an issue.

Most employees were happy with Westcare staff. Comments included "understanding, caring, keep an eye on workers", "my boss is alright", "friendliness, say good morning", "can go to them about anything".

The Westcare Incorporated and associated divisions Disability Employment Assistance Quality Manual has a section on Standard Six.

### OBSERVATIONS:

- Ensure the First Aid kits are controlled and monitored.
- Put more Evacuation Maps around the site. For example, include one in the Lunch Room.
- Develop a Plain English Handbook. Whilst the Disability Employment Assistance Quality Manual is a well-developed document which addresses the NSDS, it is not easy to navigate. The Manual could include details such as working conditions.



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- The Supported Employment Agreement still includes BSWAT rates, and should include the Greenacres rates
- Some Task Analysis's, which document the employee's skill at a particular task, were not completed entirely. Some had no dates and were not signed off. There were only minimal records of a task being reviewed (so the employee has the opportunity to increase in wage level).
- The Work Assessment Plan could include the name of the staff member.
- One Work Assessment Plan had reference to an Asthma Management Plan, but this was not retained in the file.
- One person indicated they had raised an issue of the air conditioners not being cleaned for two years. Staff were notified of this and will follow this up.

Rating	<b>2</b>
Non-conformances (At IOP level)	Nil

### ADDITIONAL INFORMATION

#### Self-Assessment:

Frequency :	Monthly <input type="checkbox"/>	Six-monthly <input type="checkbox"/>	Yearly <input checked="" type="checkbox"/>	Other <input type="checkbox"/>
Date of assessment:	Completed March 2016			
Assessment performed by :	QA Officer			
Is the Self-Assessment action plan verified?	Yes			
Additional Comments:	Actions identified in the Self -Assessment have been addressed and completed.			

#### Comparison with results of previous audits (if applicable)

N/A

#### Functioning of legislation & regulation periodic evaluation & review procedures

Westcare Incorporated Policies and Procedures continue to be reviewed and maintained in accordance with the relevant legislative requirements including;

- National Standards for Disability Services
- Disability Services Act (1986)
- Occupational Safety and Health WA
- Privacy Act 1988
- Disability Discrimination Act 1992
- Department of Social Services Funding Agreement
- Westcare Supported Employment Service Enterprise Agreement 2009-2013.

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## Use of Marks and Logos

Use of Marks and Logos appears to be Satisfactory.

## Previous Non-conformances Closed/Open and Action Taken

N/A

## Complaints (to include consumer//staff and stakeholders)

Westcare Complaints register is maintained at Head Office, there were two recorded Complaints at Nedlands ADE, during the period July 2015-June 2016, one complaint has been closed out appropriately in a timely manner and one is currently in the process of being resolved by Westcare Incorporated.

All other relevant information relating to Complaints is documented under Standard 4 of this report.

## Unresolved Issues

N/A

## Triennial review

N/A

Documents Reviewed for Pre-Triennial Review			
Docs reviewed	Audit Log <input type="checkbox"/>	Previous NCs <input type="checkbox"/>	Previous Reports <input type="checkbox"/>
Comments on Documents:			

## Site Specific Summary (if applicable)

N/A

## Disclaimer

Some issues, non-compliances or required improvements within the organisation may not have been identified in this report, due to the sampling size and time available during the audit. The organisation's management is responsible for implementing a surveillance system (based on internal audits) to identify non-conformances/continuous improvement opportunities and to take the necessary controls to ensure the system implemented is effective and meets organisational and regulatory requirements.

## Confidentiality Statement

ISC, its employees, auditors and contractors, shall keep all information relating to your organisation collected during this audit confidential, and shall not disclose any such information to any third party, except that as required by legislation or relevant accreditation bodies.

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**Table 1 - Audit Program: Elements to be Audited \***

(Enter proposed schedule for future Surveillance Audits)

\*Note: May be subject to change

Triennial Audit Program National Standards		Audit			
		Initial Stage 2	Surveillance 1	Surveillance 2	Triennial /Recert.
1	<b>Rights (every audit)</b>	✓	✓	✓	✓
2	Participation and Inclusion	✓		✓	✓
3	<b>Individual Outcomes (every audit)</b>	✓	✓	✓	✓
4	Feedback and Complaints	✓	✓	✓	✓
5	Service Access	✓	✓		✓
6	<b>Service Management (every audit)</b>	✓	✓	✓	✓
<b>The following shall also be covered at all Surveillance and Re Certification audits.</b>					
	<b>Self-Assessment</b>	✓	✓	✓	✓
	<b>Treatment of Complaints</b>	✓	✓	✓	✓
	<b>Changes to the System</b>	✓	✓	✓	✓
	<b>Effectiveness of the management system with regard to achieving the certified clients objectives</b>	✓	✓	✓	✓
	<b>Functioning of Legislation &amp; Regulation periodic evaluation &amp; review procedures</b>	✓	✓	✓	✓
	<b>Continual Improvement</b>	✓	✓	✓	✓
	<b>Action Taken on identified non conformances</b>	✓	✓	✓	✓
	<b>Use of Marks and Logos</b>	✓	✓	✓	✓

Elements in **bold** will be audited at every audit.



# Audit Report: National Standards for Disability Services (NSDS)

## CONSUMER SAMPLING METHODOLOGY

*Please include the number of consumers interviewed per program, how these interviews took place and supply justification for any reductions on audit time or sampling criteria. Please also address the exited client information.*

**NOTE : PLEASE REPORT EXIT INTERVIEWS AND FILE REVIEWS NUBERS SEPARATELY**

### CURRENT CONSUMERS:

The Consumer Sampling for Westcare Incorporated was conducted in accordance with JAS/ANZ DEES Scheme Human Services Scheme Part 3 - Additional requirements for Bodies certifying Disability Employment and Enterprise Services 28 August 2014, for this Surveillance Audit.

The interviews between the Supported Employees and the Technical Expert were conducted at 75 Carrington Street, Nedlands WA.

The Personal Files of the interviewed Supported Employees and the Personal Files of the Exited Supported Employees were reviewed by the Audit Team during the Audit.

Required Sample				Actual Sample				
Site	Program	Consumers	Sample Selected	TOTAL Interviews	Face to face	Focus group	Phone	Total Files Reviewed
Nedlands ADE 75 Carrington Street, Nedlands WA 6009	ADE	41	4	4	5	0	0	5





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## EXITED CONSUMERS: (MIN 5 FILES TO BE REVIEWED AND 2 INTERVIEWS CONDUCTED)

Required Sample				Actual Sample				
Site	Program	Consumers	Sample Selected	TOTAL	Face to face	Focus group	Phone	Files Reviewed
Nedlands ADE 75 Carrington Street, Nedlands WA 6009	ADE	2	2	2	0	0	1	1

### Justification for any Reductions per Site/Program:

There were only two exited clients within the last twelve months. The Audit Team only had permission for one interview and one file review, which were conducted. One additional employee wanted to participate in the Audit. Their file was reviewed and interview conducted.