



Australian Government



Ongoing Support Assessment Allocation Guidelines

V 1.2

Disclaimer

This document is not a stand-alone document and does not contain the entirety of Disability Employment Services Providers' obligations. It should be read in conjunction with the Disability Employment Services Grant Agreement and any relevant guidelines or reference material issued by the Department of Social Services under or in connection with the Disability Employment Services Grant Agreement.

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Ongoing Support Assessment Allocation Guidelines

Document Change History

Version	Effective Date	End Date	Change & Location
1.2	1 July 2019		<p>Amended to reflect ESSWeb IT changes implemented on 17 April 2019 as follows.</p> <p>Amended the draft OSA Allocation system rules for the Initial OSAs. When the DES Provider moves the Participant into Ongoing Support, for the Initial OSA, overnight the Department's IT Systems will create an 'Unassigned/draft OSA Allocation to a selected NPA Provider.</p> <p>Also occurring overnight – a new Noticeboard message has been added which will notify a DES Provider that a Participant may be due for their Initial OSA when:</p> <ul style="list-style-type: none"> • a Participant has achieved a 26-Week Employment Outcome and has moved to Ongoing Support (for Participants with an Anchor Date on or after 1 July 2018) and needs to be referred to their Initial OSA.
1.1	3 December 2018	30 June 2019	Updated DES Grant Agreement clause references throughout and updated the term Account Manager to Relationship Manager to reflect Direction No. 2.
1.0	1 July 2018	2 December 2018	Original version of document

Background

This Guideline describes the process for DES Providers to arrange an Ongoing Support Assessment (OSA) for a Participant. When an OSA is required, the work is allocated to an Ongoing Support Assessor so that the Ongoing Support needs of a Participant may be independently assessed. Referral for an OSA is completed in the Department's IT Systems.

A Participant must receive an OSA when:

- the Provider moves a Participant into Ongoing Support following a 26-week Employment Outcome (for Participants with an Anchor Date on or after 1 July 2018);
- the Participant in Ongoing Support has worked 52 weeks in employment from the Anchor Date (for Participants with an Anchor Date prior to 1 July 2018);
- a Work Assist Participant achieves a 26-week Outcome and requires Ongoing Support;
- The Participant has achieved a 52-week Employment Outcome and requires Ongoing Support;
- it has been 52 weeks since the Participant's most recent OSA or Change of Circumstances Reassessment; or
- it has been 78 weeks since the Participant's most recent OSA; and
 - the two most recent assessments recommended the same level of support; and
 - the most recent assessment was not a Change of Circumstances Reassessment.

Disability Employment Services Grant Agreement Clauses:

Clause 86 – Disputed Assessments
Clause 118 – Work Assist Participants
Clause 121 – Entry into Ongoing Support
Clause 122 – Participant eligibility to receive Ongoing Support
Clause 123 – Obligation to provide Ongoing Support
Clause 124 – Limitations on Disability Employment Services – Disability Management Service
Ongoing Support
Clause 125 – Provider Exit from Ongoing Support
Clause 126 – Reviews of Ongoing Support
Clause 127 – Changing the level of Ongoing Support for Disability Employment Services –
Employment Support Service Participants
Clause 129 – Change of Circumstances Reassessment during Ongoing Support
Clause 139 – Exits

Reference documents relevant to this Guideline:

Ongoing Support Guidelines
Exits Guidelines
Work Assist Guidelines
Transfers Guidelines
Ongoing Support Assessment Guidelines
Documentary Evidence for Claims for Payment Guidelines
Records Management Instructions Guidelines

Explanatory Note:

All capitalised terms have the same meaning as in the Disability Employment Services Grant Agreement. In this document 'must' means that compliance is mandatory and 'should' means that compliance represents best practice.

Ongoing Support Assessment Allocation Guidelines

Who is Responsible:	What is Required:
<p>1. The DES Provider</p> <p>The DES Provider receives a notification for an Initial OSA.</p> <p><i>Disability Employment Services Grant Agreement Clauses References:</i></p> <ul style="list-style-type: none"> • Clause 121.2 • Clause 118.1(a) • Clause 126.1 • Clause 126.2 	<p>The Department's IT Systems will notify a DES Provider that a Participant may be due for an OSA when:</p> <ul style="list-style-type: none"> • a Participant has achieved a 26-Week Employment Outcome and has moved to Ongoing Support (for Participants with an Anchor Date on or after 1 July 2018) and needs to be referred to their Initial OSA; • A Participant has achieved a 52-week Employment Outcome and has moved to Ongoing Support (for Participants with an Anchor Date on or after 1 July 2018); • a Participant in Ongoing Support has been Employed for 46 weeks from the Anchor Date (for Participants with an Anchor Date prior to 1 July 2018); • it has been 46, or 72 weeks since the Participant's last OSA; and • A Work Assist Participant has achieved a Work Assist Outcome. <p>In certain circumstances, Participants may be referred for an OSA Independently of notifications from the Department's IT Systems. Refer to Step 2 for further information.</p> <p><i>Note:</i> The Provider must refer the Participant to their Initial OSA as soon as possible by initiating/submitted an Ongoing Support Assessment Allocation to the National Panel of Assessor (NPA) Provider in the Department's IT Systems (under the Job Seeker>Ongoing Support> Allocations sub menu) within two days of being notified that an Initial OSA is due.</p> <p>Please refer to Attachment A for more information on OSA due dates.</p> <ul style="list-style-type: none"> • Proceed to Step 3
<p>2. The DES Provider</p> <p>The Provider refers a Participant for a Change of Circumstances Reassessment if the Participant's individual circumstances change significantly and an increase in the level of Ongoing Support is required.</p> <p><i>Disability Employment Services Grant Agreement Clauses References:</i></p> <ul style="list-style-type: none"> • Clause 124.1 	<p>In certain circumstances, a Participant may be referred for an OSA independently of notification from the Department's IT Systems. This may be done where a change in individual circumstances means that a Participant may need a higher level of Ongoing Support and a Change of Circumstances Reassessment is required.</p> <p>This situation may arise where:</p> <ul style="list-style-type: none"> • a Participant's individual circumstances change significantly; and • the DES Provider decides the Participant would benefit from a higher level of support <p>The Provider will keep the Participant in their current phase until the Change of Circumstances Reassessment (OSA) confirms the Participant's Ongoing Support needs.</p>

Who is Responsible:	What is Required:
<ul style="list-style-type: none"> • Clause 129.1 	<ul style="list-style-type: none"> • Proceed to Step 6
<p>3. The Provider</p> <p>The DES Provider considers if the Participant should move into Ongoing Support.</p> <p><i>Disability Employment Services Grant Agreement Clauses</i></p> <p><i>References:</i></p> <ul style="list-style-type: none"> • Clause 121.1 • Clause 118.1(a)(ii) 	<p><u>Participants working toward a 52-week Outcome</u></p> <p>Providers can move a Participant from Post Placement Support into Ongoing Support at any time between the 26-week Outcome and the 52-week Outcome.</p> <ul style="list-style-type: none"> • If the Participant requires Ongoing Support, the Provider will move the Participant into Ongoing Support and arrange an OSA. Proceed to Step 6 • If the Participant does not require Ongoing Support, they will stay in Post Placement Support until the 52-week Outcome. End of Process <p><u>Work Assist Participants</u></p> <p>If the Provider determines that Ongoing Support is required to retain a Work Assist Participant’s current Employment after achieving an Outcome fee, the Provider must refer the Participant for an OSA before moving the Participant into Ongoing Support.</p> <ul style="list-style-type: none"> • If the DES Provider decides the Work Assist Participant does not require Ongoing Support, Proceed to Step 5 • If the DES Provider decides the Work Assist Participant is likely to require Ongoing Support, Proceed to Step 6
<p>4. The Provider</p> <p>The Provider considers if the Participant is likely to require further Ongoing Support.</p> <p><i>Disability Employment Services Grant Agreement Clauses</i></p> <p><i>References:</i></p> <ul style="list-style-type: none"> • Clause 125.1 • Clause 126.1 	<p>Where the Participant is already receiving Ongoing Support, the Provider will consider whether further Ongoing Support is required or if the Participant can be Exited as an Independent Worker.</p> <ul style="list-style-type: none"> • If the Provider decides to Exit the Participant as an Independent Worker, Proceed to Step 5. • If the Provider considers that a Participant is likely to require further Ongoing Support, Proceed to Step 6.

Who is Responsible:	What is Required:
<p>5. The DES Provider</p> <p>The DES Provider considers that the Participant does not require Ongoing Support and exits the Participant as an Independent Worker</p> <p><i>Disability Employment Services Grant Agreement Clauses</i></p> <p><i>References:</i></p> <ul style="list-style-type: none"> • Clause 125.1 • Clause 139.1 	<p>The Provider must Exit the Participant as an Independent Worker if the Participant is able to work independently without Ongoing Support.</p> <ul style="list-style-type: none"> • End of Process
<p>6. The DES Provider</p> <p>The Provider submits the allocation to an Ongoing Support Assessor.</p> <p><i>Disability Employment Services Grant Agreement Clauses</i></p> <p><i>References:</i></p> <ul style="list-style-type: none"> • Clause 118.1(a)(ii) • Clause 121.2 • Clause 126.1 	<p>Where the Provider considers that a Participant is likely to require Ongoing Support, they must submit an Ongoing Support Assessment allocation in the Department's IT Systems. The Provider must do this as soon as possible and within two days of being notified that an Ongoing Support Assessment is due.</p> <p>The Provider must enter the Participant's employment details, the case manager's contact details and any other relevant information in the Department's IT Systems at time of allocation. The Department's IT Systems will allocate the Assessment to an Ongoing Support Assessor.</p> <ul style="list-style-type: none"> • Proceed to Step 7
<p>7. Ongoing Support Assessor</p> <p>The Ongoing Support Assessor accepts or rejects the allocation of a Work Order for an OSA.</p>	<p>The Ongoing Support Assessor accepts or rejects the allocation of a Work Order for an OSA on the Department's IT Systems within one day of receiving it.</p> <ul style="list-style-type: none"> • Ongoing Support Assessor accepts the allocation of a Work Order for an OSA, Proceed to Step 8. • Ongoing Support Assessor rejects the allocation of a Work Order for an OSA, Proceed to Step 6. <p><i>Note:</i> The Department's IT Systems allows control over availability and capacity to accept Work Orders for OSA and SWS assessments, for each ESA in which an organisation provides services.</p>
<p>8. Ongoing Support Assessor</p> <p>The Ongoing Support Assessor undertakes the Assessment and submits the completed Assessment Report.</p>	<p>The Ongoing Support Assessor undertakes the Assessment by:</p> <ul style="list-style-type: none"> • conducting interviews with the DES Provider; Participant and Employer (where permission has been given to do so); • preparing the Assessment Report and deciding on a recommendation; and • completing and submitting the Assessment Report on the Department's IT Systems. <p>Please refer to the <i>Ongoing Support Assessment Guidelines</i> for</p>

Who is Responsible:	What is Required:
	<p>more information on how OSAs are conducted.</p> <ul style="list-style-type: none"> • Proceed to Step 9
<p>9. The Department's IT Systems</p> <p>On submission of Assessment Report, the Department's IT Systems displays the report and recommendation for the Provider to view.</p>	<p>Once the completed report has been submitted, the Department's IT Systems will notify the DES Provider of the OSA recommendation. The DES Provider will also be able to access and view the full Assessment Report.</p> <ul style="list-style-type: none"> • Proceed to Step 10 <p>If the OSA Report is disputed by the Participant or DES Provider.</p> <ul style="list-style-type: none"> • Proceed to Step 11
<p>10. The DES Provider</p> <p>DES Provider actions the OSA recommendation</p> <p><i>Disability Employment Services Grant Agreement Clauses References:</i></p> <ul style="list-style-type: none"> • Clause 122 • Clause 123.1 • Clause 126.4 	<p>An OSA will result in one of the following recommendations:</p> <p><u>Continue Ongoing Support at the current level</u></p> <p>The DES Provider will continue servicing the Participant in their current level if the OSA determines that the current level of Ongoing Support is appropriate.</p> <ul style="list-style-type: none"> • End of Process <p><u>Change level of Ongoing Support</u></p> <p>The Provider must commence the Participant in their new Ongoing Support level at the next regular contact.</p> <p>If the OSA recommends reducing the support level, then the reduced support level will take effect in the Department's IT Systems immediately.</p> <p>Where the Ongoing Support level increases from Flexible Ongoing Support for a Disability Management Service (DMS) Participant, the Provider must move the Participant to Employment Support Service (ESS) and deliver the recommended Ongoing Support level at the next regular contact. If the Provider does not deliver ESS, they must transfer the Participant to an ESS Provider.</p> <ul style="list-style-type: none"> • End of process <p><u>Move Work Assist Participant into Ongoing Support</u></p> <p>If the Provider delivers ESS services or the recommendation is for Flexible Ongoing Support, they must move the Participant into Ongoing Support at the level recommended, at the next regular contact.</p> <p>If the recommendation is Moderate or High Ongoing Support and the Provider does not deliver ESS, they must transfer the Participant to an ESS Provider at the next regular contact.</p> <ul style="list-style-type: none"> • End of process <p><u>Move the Participant into Post Placement Support</u></p> <p>The OSA may determine that the Participant is able to work independently without the need for Ongoing Support. When the Participant is still working toward a 52-week Outcome, the Assessment will recommend to move the Participant into Post Placement Support. This is done in the Department's IT systems</p>

Who is Responsible:	What is Required:
	<p>via the following menu path: ESSWeb>.Job Seeker>DES Participation Management menu path.</p> <ul style="list-style-type: none"> • End of process <p><u>Exit the Participant</u></p> <p>The OSA may determine that the Participant is able to work independently without the need for Ongoing Support. If the Participant has already achieved a 52-week Outcome, or is a Work Assist Participant, the Assessor will recommend the Participant to Exit the program.</p> <ul style="list-style-type: none"> • End of process
<p>11. Participant or Provider</p> <p>Participant or Provider disputes the OSA Report</p> <p><i>Disability Employment Services Grant Agreement Clause Reference:</i></p> <ul style="list-style-type: none"> • Clause 86 	<p>Where a Participant or DES Provider considers that the content or recommendation of an OSA Report is not appropriate, the matter should be raised with the Ongoing Support Assessor as soon as possible.</p> <p>Details of the reason for review of the OSA Report should be provided to the Ongoing Support Assessor within 28 days of report completion.</p> <p>If within 28 days of report completion, additional information becomes available that is likely to change the OSA report recommendation, this information should be provided to the Ongoing Support Assessor who completed the OSA report. A Change of Circumstances Reassessment should only be initiated if new information becomes available beyond this 28-day period that the DES Provider believes will require an increase to the level of Ongoing Support currently recommended for the Participant.</p> <p>The process for disputing an OSA Report is as follows.</p> <ul style="list-style-type: none"> • In the first instance, the Participant or the Provider should contact the Ongoing Support Assessor and explain their view, presenting the reasons and evidence for questioning the report. • The Ongoing Support Assessor should consider the information provided by the Participant or the Provider, and suggested amendments to the OSA report. If the Ongoing Support Assessor considers that changes to the OSA Report are required, the Ongoing Support Assessor should contact their DSS Relationship Manager to request that the OSA Report status be set to 'In Review'. <p>The Ongoing Support Assessor should then update the Recommendation Summary section of the OSA Report to include:</p> <ul style="list-style-type: none"> • why the review was requested by the Participant or Provider; and • the review outcome, including a summary of the changes required to the report as a result of the review. <p>The Ongoing Support Assessor should make any other necessary amendments to the OSA Report, including a change to the recommendation if appropriate, and resubmit the report within 5 Business Days of the dispute being raised.</p>

Who is Responsible:	What is Required:
	Where the Provider does not accept the dispute outcome and there is further evidence available, they should refer the issue to their Relationship Manager for their review.

Attachment A: IT System allocation of Ongoing Support Assessments

Background

This advice provides information for National Panel of Assessor (NPA) Providers and DES Providers about how the Department's IT Systems determines the allocation of Work Orders for Ongoing Support Assessments (OSA).

Determining the OSA Due Date

The date that an OSA is due for completion is an important factor in the OSA allocation process.

- For Participants with an Anchor Date on or after 1 July 2018: the first OSA is due 28 days from when the Participant first moves into Ongoing Support.
- For Participants with an Anchor Date prior to 1 July 2018: the first OSA is due 52 weeks from the Anchor Date.
- For Work Assist Participants: the OSA is due following a 26-week Outcome, and is required for a Participant to enter Ongoing Support
- When a 'Renewal of OSA (52 or 78 weeks since the last OSA)' OSA Report is completed: the OSA due date is updated by the system to be:
 - 52 weeks from the date of report completion if the current and previous OSAs recommended a different level of Ongoing Support; or
 - 78 weeks from the date of report completion if the current and previous OSAs recommended the same level of Ongoing Support.
- When a Provider initiates a 'Change of Circumstances' OSA: the OSA Due Date is updated by the system to be 14 days in the future.
- When a 'Change of Circumstances' OSA Report is completed: the OSA Due Date is updated by the system to be 52 weeks from the date of report completion.
- When a 'Work Assist' OSA is initiated: the OSA Due Date is set by the Department's IT systems to be 14 days in the future.

Please note the OSA due date may be over-ridden by the Department's Assessment Team or a Relationship Manager.

If a Participant is suspended beyond the existing OSA Due Date, this date is automatically delayed until the end of the suspension period.

Initiation of Assessments

Ongoing Support Assessments are required for various reasons, and are initiated in different ways:

- Participants that are moved into Ongoing Support following a 26-week Employment Outcome require an OSA to confirm the Participant's Ongoing Support needs (where the Anchor Date is on or after 1 July 2018).
 - Providers can claim Ongoing Support Fees for the first four weeks of Ongoing Support without an OSA. Providers cannot claim Ongoing Support fees after the first four weeks without an OSA confirming the Participant's Ongoing Support needs. Please see the *Ongoing Support Guidelines* for further information.
- An Ongoing Support Participant has reached 52 weeks from the Anchor Date (where the Anchor Date is prior to 1 July 2018);
- It has been 52 or 78 weeks since the last OSA); or
- Work Assist Participant has reached 26-week Employment Outcome.

For the Initial OSAs the Department's IT Systems creates an 'Unassigned/draft Allocation to a selected NPA Provider at the time the DES Provider moves the Participant into Ongoing Support. At the same time, the DES Provider is alerted via the Participant's requiring OSA or Exit section of the DES Provider Noticeboard that the Participant has achieved the 26-week Outcome and needs to be referred to the Initial OSA.

Six weeks before the OSA Due Date the Department's IT Systems creates an 'Unassigned/draft' allocation to a selected NPA Provider. At the same time, the DES Provider is alerted via the *Participants requiring OSA or Exit* section of the DES Provider Noticeboard.

Change of Circumstances

An allocation is initiated by the DES Provider if there has been a change of circumstances and the Participant needs a higher level of Ongoing Support. The Department's IT systems automatically selects an NPA Provider as part of this process.

Work Assist Participant achieved 26 week Outcome

When the Participant achieves a Work Assist Outcome the Department's IT Systems creates an 'Unassigned' allocation to a selected NPA Provider. The DES Provider is alerted via the *Participants requiring OSA or Exit* section of the DES Provider Noticeboard. The DES Provider must not move a Work Assist Participant into Ongoing Support until an OSA has recommended the level of Ongoing Support.

Co-allocation with Supported Wage System (SWS) assessment

If a SWS Assessment is still in progress or has been approved within the last three months, then the OSA will be allocated to the NPA Provider of the SWS Assessment, if possible. This rule has priority over an NPA Provider Preference.

Availability and Capacity

An OSA will only be allocated to an NPA Provider that is contracted to deliver OSA services in the Employment Services Area (ESA) of the Participant's DES Provider site. The NPA Provider must be currently available, and have not reached its assessment Capacity for the ESA.

Conflict of Interest

The OSA will not be allocated to an NPA Provider if that Provider has the same organisation code as the DES Provider, or Conflict of Interest exclusion has been identified between the NPA Provider and the DES Provider site and recorded in the Department's IT systems.

Nominated Groups of Participants with same employer (NPA Provider Preference)

If a Participant is one of a group of Participants that the Department has approved to be assessed by the same NPA Provider then the OSA will be allocated to the Provider nominated by the Department, if possible.

Distribution of Assessments

To encourage a more equal distribution of OSA Work Orders, all else being equal, the Department's IT Systems will allocate an OSA Work Order to the NPA Provider with the lowest count of currently allocated OSA and SWS Work Orders in the ESA. If multiple Providers have the same lowest count

then the allocation will go to the NPA Provider with the least recently allocated OSA Work Order for the ESA.

Attachment B: Questions and Answers

Question: Why have I received an OSA Work Order when my organisation is set in the system as Unavailable?

Answer

Availability to receive OSA Work Orders is not assessed when the Work Order is submitted by a DES Provider. The decision is made earlier, when the Department's IT Systems initiates an OSA allocation.

It is likely you received the OSA Work Order because when you made yourself unavailable there was already an 'Unassigned' OSA assessment listed against your site on the "OSA Search" screen. Although you will not receive any new OSA allocations, if a DES Provider submits the existing OSA allocation then you will receive the Work Order despite being Unavailable.

If your NPA Organisation needs to be unavailable for a period of time then you should notify your Relationship Manager and ask them to arrange for any outstanding 'Unassigned' OSA allocations be reassigned to another Provider.

Question: How do I cancel an Ongoing Support Assessment after the Work Order has been accepted?

Answer

Sometimes an Ongoing Support Assessment (OSA) will need to be cancelled after acceptance of the Work Order. This is usually because the circumstances of the Participant have changed very recently. For example, the Participant no longer requires Ongoing Support because they have stopped working.

When this happens, the Assessor should confirm the cancellation reason with the DES Provider, briefly document this in the OSA Report Summary, and ask the Department's Assessment Team to cancel the Assessment.

Note: If the Participant no longer requires Ongoing Support then the Department's Assessment Team must wait until after the DES Provider has actioned the Exit. Otherwise, another OSA allocation will be generated by the Department's IT systems overnight.

Question: What if I attend the arranged interview and the Participant or Employer does not attend?

Answer

If the Participant does not attend the interview, try to contact the Participant via their DES Provider and reschedule. If the interview cannot be rescheduled, arrangements can be made to conduct the interview by phone, although this should be only as a last resort.

If the Employer does not attend the interview, the report can be completed based on the information provided by the DES Provider and Participant.