



**Australian Government**



# **National Panel of Assessors Documentary Evidence Guidelines**

**V 1.1**

**Disclaimer**

This document is not a stand-alone document and does not contain the entirety of the Providers' obligations. It should be read in conjunction with the Disability Employment National Panel of Assessors Grant Program Agreement (2018-2023) and any relevant Guidelines or reference material issued by the Department of Social Services under or in connection with the Disability Employment National Panel of Assessors Grant Program Agreement (2018-2023).

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## National Panel of Assessors Documentary Evidence Guidelines

### Document Change History

Version	Effective Date	End Date	Change & Location
1.0	01 July 2018	30 June 2019	Original version of document
1.1	01 July 2019		Amends payment rate references for Ongoing Support, Supported Wages and Workplace Modifications to refer to relevant NPA Grant Agreement clauses.

### Background

These Guidelines specify which Records of the National Panel of Assessors (NPA) Program provider (the Provider) are satisfactory to the Department of Social Services (the Department) as sufficient evidence that Services were provided by the Provider for each claim for payment made under the Disability Employment National Panel of Assessors Grant Program Agreement 2018-2023 (the Grant Agreement), or which otherwise support a claim for payment made by the Provider under the Grant Agreement.

## **Disability Employment National Panel of Assessors Program Grant Agreement Clauses:**

Clause 4 – Formation of Grant Agreements  
Clause 7 – Conduct of Assessments  
Clause 9 – Provider’s Personnel  
Clause 18 – Evidence to support claims for payment  
Clause 70 – The SWS Services  
Clause 71 – SWS Assessments  
Clause 72 – SWS Assessment Reports  
Clause 73 – SWS Grant Payments  
Clause 74 – OSA Services  
Clause 75 – OSA Assessments  
Clause 76 – OSA Assessment Reports  
Clause 77 – OSA Grant Payments  
Clause 78 – WMS Assessment Services  
Clause 79 – WMS Assessments  
Clause 80 – WMS Assessment Reports  
Clause 81 – WMS Grant Payments  
Clause 84 – Definitions

### **Reference documents relevant to these Guidelines:**

Supported Wage System Handbook for Open Employment

Supported Wage System Supporting Document

Ongoing Support Assessment Guidelines

Workplace Modification Assessment Guidelines

### **Explanatory Note:**

1. All capitalised terms have the same meaning as defined in Clause 84 Definitions of the Grant Agreement
2. In this document, “**must**” means that compliance is mandatory and “**should**” means that compliance represents best practice.
3. In this document, reference to a “file note” may be a file note in hard copy or electronic form.

## Introduction

This document sets out the Department's Documentary Evidence requirements for Grant Payments for Services, Funds, Reimbursements and Ancillary Payments provided under the Grant Agreement.

## Policy

The term 'Documentary Evidence' is defined in Definitions of the Grant Agreement as, 'those Records of the Provider, as specified in this Agreement including any Guidelines, which evidence that Services were provided by the Provider for each claim for payment made under this Agreement, or which otherwise support a claim for payment by the Provider.'

Under the Grant Agreement, it is a precondition of a Provider's entitlement to Fees, Funds, Reimbursements, Wage Subsidies and Ancillary Payments that it has, at the time of making a claim for payment:

- retained sufficient Documentary Evidence to prove its claim for payment; and
- uploaded into the Department's IT Systems sufficient Documentary Evidence, where required by any Guidelines.

When lodging a claim, Providers are required to complete mandatory fields in the Department's IT Systems. This information is accepted as Documentary Evidence. As specified in these Guidelines, this information is in some circumstances sufficient to substantiate the claim, and in other circumstances requires supplementary Documentary Evidence to be retained or uploaded to the Department's IT Systems.

In accordance with clause 18.1 of the Grant Agreement, a Provider must provide Documentary Evidence to the Department within 10 Business Days if requested.

Where a Participant does not give permission for the Provider to seek Documentary Evidence from their employer, such as in cases of non-disclosure, the Provider must retain a file note containing the compulsory details required for the claim. File notes may also be used in other circumstances, as indicated under these Guidelines.

The Documentary Evidence set out in the Grant Agreement and these Guidelines, together with the information required to be recorded on the Department's IT Systems, is acceptable to the Department as sufficient proof of service provision, unless the Department has notified the Provider otherwise in writing.

The Provider must, consistent with relevant Grant Agreement requirements, ensure that all information and Documentary Evidence provided to the Department in any form and by any means is a true, accurate and complete record.

**Note:** To support best practice, if the Documentary Evidence is a signed statement or form, whiteout must not be used, and any alterations or amendments must be signed by the signatory. Where email evidence is used, the Employer or Participant must be clearly identifiable as the sender in the email address and/or the signature block. The signature block must also state the person's name and, where applicable, the person's position and organisation; it does not need to include an electronic signature.

## Section 1: Ongoing Support Assessment (OSA) Grant Payments

Upon completion of an OSA Assessment and OSA Assessment Report and the Department’s acceptance of the OSA Assessment Report, the Department will pay the Provider in accordance with the rates in clause 77 of the NPA Grant Agreement. Providers are required to retain sufficient Documentary Evidence that demonstrates that Services have been delivered to support each OSA Grant Payment.

The Assessor submits an Ongoing Support Assessment Report on the Department’s IT Systems and the corresponding claim for the Ongoing Support Assessment Fee will become available for the Assessor to lodge.

Assessors will have the choice to submit claims for individual OSA Fees or use the ‘bulk’ claim facility to submit a claim for multiple OSA Fees at the same time.

Assessors must make their claims for payment for OSA Fees no later than 28 days after the day on which the Assessor becomes entitled to claim the relevant OSA Fees.

OSA	Information that must be entered into the Department’s IT Systems	Additional evidence that must be retained (in electronic form or hard copy)
<p>Assessment is submitted on the Department’s IT System</p> <p>The IT System generates an OSA Fee Claim after the Assessor submits an OSA Assessment Report.</p> <p><i>Disability Employment National Panel of Assessors Program Grant Agreement</i></p> <p><i>Clause References:</i></p> <ul style="list-style-type: none"> <li>• Clause 76</li> <li>• Clause 77</li> </ul>	<ul style="list-style-type: none"> <li>• Completed OSA Assessment Report, including Ongoing Support Recommendation.</li> </ul>	<ul style="list-style-type: none"> <li>• Completed OSA Assessment Report</li> </ul>

## Section 2: Supported Wage System (SWS) Grant Payments

Upon completion of a SWS Assessment and SWS Assessment Report and the Department’s acceptance of the SWS Assessment Report, the Department will pay to the Provider in accordance with the rates in clause 73 of the NPA Grant Agreement.

SWS Assessment	Information that must be entered into the Department's IT Systems	Additional evidence that must be retained (in electronic form or hard copy)
<p>Assessment is submitted on the Department's IT System</p> <p><i>Disability Employment National Panel of Assessors Program Grant Agreement 2018-2023</i></p> <p><i>Clause References:</i></p> <ul style="list-style-type: none"> <li>• Clause 7</li> <li>• Clause 64</li> <li>• Clause 65</li> </ul>	<p>The Assessor enters the details of the SWS Assessment and the date it was signed into the Department's IT System. Detailed notes must be entered in the 'Assessor Comments' field – refer to the Learning Centre. This must be submitted within 7 business days of the date the assessment is conducted.</p> <p>Where the SWS Assessment and SWS Assessment Report will jointly take more than 5 hours to complete, the Provider may apply to the Department for additional Fees. This must be done prior to submitting the report.</p> <p>To claim Additional SWS Assessment Fees, the reason why additional fees were required must be selected</p>	<p>Additional SWS Assessment Fees evidence must include:</p> <ul style="list-style-type: none"> <li>• a breakdown of additional time spent undertaking SWS Assessment</li> <li>• approval email or correspondence from the Department</li> </ul>

### Section 3: Workplace Modification (WMS) Assessment Grant Payments

The assessment hourly rate published in clause 81 the NPA Grant Agreement will be offered for WMS Assessments. Assessors will be paid up to five hours for WMS Assessments and Reports unless prior written approval is provided by the JobAccess Manager. A maximum of nine hours is payable.

Providers may claim reimbursement for travel time in accordance with clause 81 of the NPA Grant Agreement for all WMS Assessments.

JobAccess will reimburse the Provider for other travel costs and associated expenses where travel in excess of 200km for a return trip if required for the Provider to provide the WMS Assessment. Reimbursement will be available at the Australian Public Service non-Senior Executive Service rates. These rates are to be sourced from the Australian Tax Office and are equal to the "Reasonable daily travel allowance amounts" published in each year's relevant tax ruling.

Travel expenditure reimbursement is to be claimed as part of the fees for Assessment Services at the time the assessment report is lodged with JobAccess.

Payment for WMS Assessments to Providers will only be made by JobAccess on receipt of:

- a. the final WMS Assessment Report completed to the satisfaction of the JobAccess service and accordance with the Work Order; and
- b. a suitably completed Tax Invoice detailing hours of services, and travel costs (if applicable), rendered.

<b>WMS Assessment</b>	<b>Information that must be supplied</b>	<b>Additional evidence that must be retained (in electronic form or hard copy)</b>
<p>Completes the WMS Assessment Report</p> <p>NPA Grant Program Agreement references:</p> <ul style="list-style-type: none"> <li>• Clause 80</li> <li>• Clause 81.2</li> </ul>	<p>The WMS Assessment Report must be completed by the Provider and be sufficiently comprehensive to demonstrate the recommended modifications and equipment are clearly to remove work barriers that relate to the person’s disability and are essential to enable them to complete their Employment duties.</p> <p>The WMS Assessment Report must include a minimum of:</p> <ul style="list-style-type: none"> <li>• name, ABN, address and contact details of the Provider in the Report header</li> <li>• purpose of Assessment</li> <li>• method of Assessment</li> <li>• summary of findings, including Employment information, disability information, a description of how the role is currently undertaken by the worker, and the disability-specific barriers and solutions</li> <li>• recommendations consistent with relevant Australian legislation, Australian Standards and WHS regulations and best practice</li> <li>• recommendations must include justification for the identified solution and information about other solutions considered but not recommended</li> <li>• written quotations on recommended Modifications.</li> </ul> <p>A properly rendered Tax Invoice should accompany the WMS Assessment Report, outlining the time taken to complete the WMS Assessment and the WMS Assessment Report.</p>	<p>WMS Assessment Report</p>