Embracing Change Project: Webinar 8
Resources Pack
Governance, Information Management and Privacy for NDIS service providers
Developed by Embracing Change Project Team in November 2020

About the Embracing Change Project

'Embracing Change: Applying the Practice Standards in Psychosocial Disability Services' or the Embracing Change Project was developed by the Mental Health Coordinating Council. The Mental Health Coordinating Council (MHCC) is the peak body for community mental health organisations in NSW. Since 1983 we have worked to build the capacity of community organisations to support people on their recovery journeys. On behalf of the sector, MHCC advocates for policy development and legislative reform. MHCC also offers responsive and highly flexible mental health training and professional development opportunities grounded in recovery-oriented and trauma-informed practice. Our work stems from the belief that people with lived experience are drivers of positive change in all mental health services.

The Embracing Change Project was designed to create a greater national awareness of the NDIS Practice Standards and Quality Indicators (NDIS Practice Standards) as they apply in the provision of psychosocial support services. It aims to support existing and prospective NDIS providers to achieve increasing alignment with the Practice Standards and service delivery practices. This project is supported through grant funding from the Australian Government.

These aims will be achieved through

1. Ten live and interactive webinars aligned to the NDIS Practice Standards from the perspective of psychosocial disability;
2. National Forum which is to explore quality and safeguarding issues for mentality health consumers accessing NDIS supports and psychosocial disability service providers delivering NDIS supports.

To learn more about the Embracing Change Project head to the [Project Home Page](#). We also encourage you to visit our sister site, [Reimagine.today](#). Reimagine is an interactive website designed to support people living with mental health conditions to navigate the NDIS.

About this Resource Pack

Embracing Change Webinar 8 focuses on Governance, Information Management and Privacy requirements for NDIS psychosocial disability service providers as set out in the NDIS Practice Standards and the Code of Conduct.

This Resource Pack was designed to support psychosocial disability service providers (service providers or providers) on their NDIS Quality and Safeguarding journey whether you are a sole trader, a small to medium service or a larger multi-outlet service.

You will find listed below resources to assist in:

- Clarifying provider responsibilities with respect to Worker Screening and worker requirements under the Code of Conduct and NDIS Practice Standards;
- Reviewing current policies and procedures against specific *Practice Standards requirements.*
- Embedding continuous quality improvement processes in your organisation.

Each section contains relevant resources for each NDIS Practice Standard requirement including:

- Relevant Legislation and Guidance;
- Tools and resources which help you evidence adherence to the standard; and
- Other relevant information and resources.

Note: In those instances where there are multipole resources on a webpage, we have highlighted resources which speak to the requirements of that particular practice standard.

Contacts

If you would like to give feedback on this Resource Pack or be involved with future Embracing Change webinars and National Forum please contact [Project Manager](#).

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Embracing Change Project: Webinar 8 Resources

Please see below resources for the three relevant NDIS Practice Standards Modules:

1. Governance and Operational Management
2. Information Management
3. Privacy and Dignity

Governance and Operational Management

1. Inclusive Governance

Webinar: Talking about inclusive governance, Australasian Society for Intellectual Disability
This is a practical webinar dealing with inclusion of people with disability in governance and decision making.
https://www.asid.asn.au/publications/webinar--talking-about-inclusive-governance

Inclusive Governance Project, Side By Side Advocacy
Side by Side is an inclusive governance research project promoting the inclusive governance of community organisations by understanding the experiences of people with intellectual disability and identifying structures, policies, procedures and resources that are likely to promote the inclusion of people with intellectual disability.
http://sidebyside.org.au/inclusive-governance-project/

2. Governance Framework

Governance Hub, Australian Charities and Not-for-profits Commission

The Australian Charities and Not-for-profits Commission provide the following resources:

- Governance Standards and self-evaluation tool
- External Conduct Standards and self-evaluation tool
- Governance Toolkit
- Small charities library
- Governance for Good Handbook
- Charity money includes the following resource:
    - Managing charity money
    - Charity reserves: financial stability and sustainability
    - Charity money myths

https://www.acnc.gov.au/for-charities/manage-your-charity/governance-hub

The Not-for-Profit Governance Principles, Australian Institute of Company Directors
The Revised Principles provide a framework for NFPs to consider good governance practices, include the board's roles and responsibilities, managing conflicts of interest, organisational culture, stakeholder engagement and risk management.
https://aicd.companydirectors.com.au/resources/not-for-profit-resources/not-for-profit-governance-principles

Governance of Not-For-Profit Organisations, Australian Institute of Company Directors
This is an article setting out good governance for not-for-profit (NFP) organisations.
http://aicd.companydirectors.com.au/resources/all-sectors/roles-duties-and-responsibilities/governance-of-not-for-profit-organisations?no_redirect=true

Not-for-profits and the NDIS: Toolkit for directors, National Disability Services
This toolkit is structured around the domains of business operations and has two parts:

- The Questions for directors are designed to prompt directors to ask the questions that will help them achieve the necessary level of assurance.
- The Resources for directors are selected to lead directors toward resources relevant to their role in the organisation.

https://www.nds.org.au/resources/ndis-toolkit-for-directors

Legal Governance Webinar Series, NDS and Justice Connect
This webinar series was designed to assist providers consider the legal implications of the NDIS for their organisation and explore potential governance issues during the course of 8 webinars:

- Overview of legal governance for NFP boards
- Legal Responsibilities of NFP Board Members
- Governance: Current Issues for NFP Boards
- Working with Other Organisations Part 1 - Overview
- Working with Other Organisations Part 2 - MOUs
- Working with Other Organisations Part 3 - Contracting and subcontracting
- Working with Other Organisations Part 4 - Mergers 1
- Working with Other Organisations Part 5 - Mergers 2

https://vimeo.com/showcase/4386765

Governance Resources, Not-for-profit Law
Not-for-profit Law provides a four free Governance Toolkits including:

- Toolkits for NSW and Victorian incorporated associations
- Guide to Running a Company Limited by Guarantee
- Guide to Running a Charitable Company Limited by Guarantee

https://www.nfplaw.org.au/toolkits

As well as the following free resources:

- Running the Organisation Online Guide

    https://www.nfplaw.org.au/runningtheorg

- Governance FAQs

  https://www.nfplaw.org.au/covid19/governance-0

- Training: Governing a Community Organisation

  https://www.nfplaw.org.au/training/governance

It's Your Business, NSW Department of Communities and Justice (DCJ)

DCJ has completed an updated version of the It's Your Business resource incorporating information on the National Disability Insurance Scheme (NDIS), and on delivering disability services in a market-based system.

This resource explains the general obligations of board or management committee members across ten chapters:

- Corporate governance
- Legal issues
- Strategic business planning
- Financial management
- Strategic human resources
- Risk management
- Fraud prevention and control (Fraud Prevention Toolkit)
- Probity in employment
- Partnerships
- Quality Management

https://www.facs.nsw.gov.au/providers/funded/other-resources/its-your-business

Good Governance Guides — free starter packs, Governance Institute of Australia
The Governance Institute of Australia offers the following resource packs at no charge:

- Governance essentials
- Risk management
- Not-for-profit sector
- Public sector
- Associations
- Risk and technology

https://www.governanceinstitute.com.au/resources/good-governance-guides-free-starter-packs/

NDIS Governance Essentials, Governance Institute of Australia

This is a good governance course for NDIS service providers for:

- Newly appointed company secretaries and assistant company secretaries
- Line and operations managers
- Governance practitioners

- Directors and newly appointed directors
- Executive managers

https://www.governanceinstitute.com.au/courses-events/short-courses-certificates/all-short-courses/ndis-governance-essentials/

3. Strategic Planning & Business Planning

Strategic planning overview, Institute of Community Directors Australia
This website contains advice about Strategic Planning for NFPs.
https://communitydirectors.com.au/help-sheets/strategic-planning-overview

Business planning for not-for-profit organisations, Institute of Community Directors Australia
This website contains advice about Business Planning for NFPs.
https://communitydirectors.com.au/help-sheets/business-planning-for-not-for-profit-organisations

Not-for-Profit Director Tools, Australian Institute of Company Directors
A range of tools for NFP directors including a Strategic Plan template.
https://aicd.companydirectors.com.au/-/media/cd2/resources/director-resources/nfp/pdf/05446-7-5-10-nfp-director-tools-strategic-plan_web.ashx

The Effective Not-for-Profit Board: A value-driving force, Deloitte
This third edition of The Effective Not-for-Profit Board discusses NPO governance within the current regulatory and stakeholder environment. It focuses on the board of directors, since it is the board that bears the ultimate responsibility for the stewardship of an organisation.
https://www2.deloitte.com/content/dam/Deloitte/ca/Documents/public-sector/ca-en-public-sector-effective-npo-board.pdf

Strategic Planning, Department of Social Services
Advice for NFPs undertaking Strategic Planning.
https://www.communitygrants.gov.au/information-recipients/strategic-planning

4. Financial Management

Reporting and financial management for NFPS, CPA Australia

This website lists the following resources:

- Charities: A guide to financial reporting and assurance requirements, 2019
- Not-for-profits: What you need to know about the new accounting standards on revenue/income recognition, 2017

- Companies limited by guarantee and incorporated associations: Reporting and audit / review obligations, 2020
- A guide to understanding the financial reports of not-for-profit entities in Australia, 2014
- Valuation and depreciation: A guide for the not-for-profit and public sector under accrual based accounting standards, 2013
- Internal controls for not-for-profit organisations, 2011
- Financial management of not-for-profit organisations, 2012

https://www.cpaaustralia.com.au/professional-resources/reporting/not-for-profits

Financial management, Institute of Community Directors Australia
This website includes the following resources:
- Assets register
- Financial sustainability indicators
- Glossary of financial terms
- What not-for-profits should look for in a transaction account
- Social Sector Financial Tutorial
- Damn Good Advice for Treasurers

https://communitydirectors.com.au/tools-resources/financial-management

Not-For-Profit Financial Management, Governance Institute of Australia
This is a short course on Financial Management for NFPs focusing on relevant legal requirements and accounting concepts and principles.
https://www.governanceinstitute.com.au/courses-events/short-courses-certificates/all-short-courses/not-for-profit-financial-management/

Information Management

Managing people's information and data, Australian Charities and Not-for-profits Commission
This website includes a downloadable guide for charities about collecting, storing and using the information and data they hold about people.
https://www.acnc.gov.au/tools/guides/managing-peoples-information-and-data

How to protect your customer's information, Australian Government
This webiste outllines business responsibilities for protecting customers' personal information
https://business.gov.au/Risk-management/Cyber-security/How-to-protect-your-customers-information

Cloud computing and privacy: Consumer factsheet, Department of Communication, Australian Government
This factsheet provides advice on how you can find out the extent to which your privacy is protected when using the cloud computiung services.
https://www.communications.gov.au/sites/default/files/2014-112101-CLOUD-Consumer-factsheet.pdf?acsf_files_redirect

Outsourcing digital storage: Storing Australian Government records in data centres, digital repositories and the cloud, National Archives of Australia
This website deals with offsite storage of personal information.
https://www.naa.gov.au/information-management/storing-and-preserving-information/storing-information/outsourcing-digital-storage

Data protection principles, Information and Privacy Commission NSW (IPC)
This webiastie deals with Data Protection Principles developed by the New South Wales Privacy Committee in 1991.
https://www.ipc.nsw.gov.au/privacy/private-nsw-health-service-providers/data-protection-principles

Privacy and Dignity

Privacy, Attorney-General's Department
Summary of Commonwealth laws delaing with Privacy.
https://www.ag.gov.au/rights-and-protections/privacy

Australian Federal Privacy Laws, Australian Privacy Foundation
Outline of essential Privacy Law requirements.
https://privacy.org.au/resources/privacy-law/plawsclth/

Opting in to the Privacy Act, Office of the Australian Information Commissioner
Information for small business and not-for-porofits about opting in to be covered by the Privacy Act.
https://www.oaic.gov.au/privacy/privacy-registers/privacy-opt-in-register/opting-in-to-the-privacy-act/

Privacy Guide: A guide to complying with privacy laws in Australia, Justice Connect
Not-for-profit Law, part of Justice Connect provide a range of Privacy resources including:

- National Privacy Guide
- Notifiable Data Breaches scheme fact sheet
- Privacy Compliance Manual
- Cyber Security fact sheet

https://www.nfplaw.org.au/privacy

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