understanding complexity
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User Guide
National Disability Service Providers Benchmarking Survey

23/03/2018

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Contents

Abbreviations in this report

Abbreviation	Definition
2IC	Second In Charge
ABN	Australian Business Number
ACNC	Australian Charities and Not-for-Profit Commission
ADE	Australian Disability Enterprise
DL&CP	Daily Living and Community Participation
EBA	Enterprise Bargaining Agreement
FMT	Fieldwork Management Team
LM	Line Managers
NDIA	National Disability Insurance Scheme Launch Transition Agency
NDIS	National Disability Insurance Scheme
PP&E	Property Plant and Equipment
RTO	Registered Training Organisation
SACS	Social and Community Services
SCHADS	Social, Community, Home Care and Disability Services
SIL	Supported Independent Living
SW	Support Workers

Introduction

AbleInsight has been appointed by the National Disability Insurance Agency (the 'Agency') to independently manage the National Disability Service Providers Benchmarking Survey (the 'Survey').

Creation of a benchmarking database on the services provided and costs incurred by providers represents an important opportunity to build on the strengths of the disability services sector. By using the database, providers can identify opportunities to strengthen service provision to respond to the challenges presented by the transition to the National Disability Insurance Scheme (NDIS or the 'Scheme'). Using such a database will enable service providers to compare their costs with other similar services and assist them to operate as part of a vibrant and responsive market for disability supports, shaped by choice and control by participants.

AbleInsight is the independent Survey Manager. It has established a national disability service provider benchmarking function that will expand the availability of valuable information to the disability services sector, and in particular to providers. AbleInsight is producing benchmarking reports that are made available at no cost to participating providers. Any data provided to AbleInsight is securely held, and not released to any other party, including the Agency, in a way that would enable identification of the source.

Why be a participant in the benchmarking Survey?

Collection 2 (as with Collection 1) of the Survey will gather standardised and structured financial and non-financial operational data. Using these data will support providers in the successful transition of their services to the new market environment and provide them with useful information about their performance relative to the broader NDIS market and peer providers.

The benchmarking function:

- **Enable providers** to compare their service delivery metrics relative to all Survey participants and comparable providers to help manage their transition to the NDIS
- **Provide the Agency** with de-identified summary information about market capacity and operating efficiency (not data on individual providers) to inform its role as market steward and to allow evidence-based decision-making
- **Support the development** of a sustainable NDIS market that provides choice to participants in the Scheme.

How will the benchmarking function work?

The benchmarking function supports service providers to voluntarily participate in the Annual Survey, which is targeting 200 participating providers in Collection 2. As an incentive to participate, the AbleInsight team will work with providers to build their capacity and capability in the gathering and analysis of financial and non-financial information and provide benchmark reports to enable providers to compare their service delivery metrics relative to all Survey participants and comparable providers. The intent is to support providers to track their performance over time and to provide de-identified summary information to the Agency so it can monitor the development of the market. As the longitudinal data set grows, the value of the benchmarking function will build.

In future, the Survey is likely to cover services delivered in all NDIS support categories. However, a phased approach is being implemented, with each year building on the learnings from the previous year. Thus, in the second year (as with the first year), the focus is on the three NDIS support categories on which the majority of Scheme funding is spent covering:

- assistance with daily living
- assistance with social and community participation
- supported independent living.

Why participate?

AbleInsight, as the Survey Manager, collaborates with participating providers to build their capacity in service planning and financial management. Participants have access to financial and disability sector expertise provided by AbleInsight that can assist them to construct and understand their data in a way that maximises its value for them in benchmarking. Moreover, AbleInsight provides participating providers, at no cost, with benchmarking reports that contain valuable information about their services operating in the NDIS market.

Who will have access to your provided data?

Only your organisation and the Survey Manager (AbleInsight) will have access to data at the individual provider level.

Providers that wish to participate in Collection 2 will need to agree to the data usage terms (DUT) with AbleInsight as the Survey Manager. Providers who already agreed to the DUT for Collection 1, whether or not they participated in the Collection, do not need to agree to the DUT again. The terms state that the Survey Data submitted to the Survey Manager may be used:

- to develop, publish and provide you with a customised report of the Survey Data showing your position or performance on key delivery metrics relative to all Survey participants and comparable providers (Provider Report). The Provider Report will be provided to you and not to the Agency
- to develop, publish and distribute a public report, supported by presentation materials, that includes high-level aggregate results of the Benchmarking Survey (Sector Summary Report)
- to produce de-identified Data and provide the Agency with access to de-identified Data
- for research purposes from time to time, provided that the Survey Manager seek your prior consent to such disclosure.

The more providers that participate, the more robust and useful the data will be. Participating providers receive a report with their data compared to aggregated data from other providers. Where possible we provide the full range of comparisons on a peer group basis, where the anonymity of the providers can be safeguarded.

The NDIA receives a report with aggregated data. Identifiable provider level data is not be provided to the NDIA. High-level information on the performance of the market will also be made publicly available.

How do you get started?

This user guide provides definitions for each of the questions in the Survey. The Collection 2 Survey is in Microsoft Excel.

Please note, if you have entered any data into the Survey that you wish to retain, please ensure that you save the document as an Excel file before exiting the Survey Tool.

Who can help?

There are designated AbleInsight Fieldwork Management Teams (FMTs) assigned to work with providers in each State/Territory. Your FMT team will be in regular contact with you through the Survey period. You are also able to contact a member of the assigned FMT at any time if you have any questions.

FMT 1	FMT 2	FMT 3	FMT 4
Andrew Pearce **E:** andrew.pearce@ableinsight.com.au	Therese Flood **E:** therese.flood@ableinsight.com.au	Cathy Hoadley **E:** cathy.hoadley@ableinsight.com.au	Mark Diamond **E:** mark.diamond@ableinsight.com.au
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If you have any technical issues with the Excel Survey Tool, contact Darren Doromal at AbleInsight on darren.doromal@ableinsight.com.au or 1800 959 665

If you have broader questions about Collection 2, contact Adam Sawers, Associate Director, AbleInsight on adam.sawers@ableinsight.com.au or 02 9264 6050.

How to access the Collection 2 Survey

For those providers that have agreed to participate in the Survey and have completed the Data Usage Terms (that governs data usage), the Survey Tool will be emailed to you by your FMT.

How to provide the completed Survey to AbleInsight

To upload your completed Survey, visit www.SurveyManager.ableinsight.com.au and click on the "upload Survey" tab and then follow the instructions.

The naming convention for Survey files

When saving your Survey Tool, please name using the following file convention

- 2017-{please insert your organisation name– Survey number}.xls

If your organisation submits more than one submission, the Survey number will provide a unique id. The Survey number should be '1' for the first Survey that your organisation completes, '2' for the second Survey you complete and so on.

Overview and General Guidance

This section provides an overview of the Survey and some general guidance on using and completing the Survey Tool.

Survey Chapters

There are seven sections to the Survey, with a separate Chapter dedicated to each section. The sections are:

- Chapter 1 – General Information
- Chapter 2 – Balance Sheet
- Chapter 3 – Revenue and Expenses
- Chapter 4 – Fortnight Details
- Chapter 5 – Annual Details
- Chapter 6 – Staff Hours and Costs
- Chapter 7 – Survey Metrics / KPIs

Each section of the Survey Tool and can be accessed by using the buttons on the top of each page.

What will you need to complete the Survey?

To complete the questions in the Survey, you may need to access your organisations:

- Audited financial statements
- Your payroll system
- Funding acquittals
- NDIS claims data
- Block funding contract

The period for the Survey (whole year vs Selected Fortnight)

So that we can report meaningful metrics, some of the questions relate to the whole year and some relate to the 'selected' fortnight. The time periods in the Survey are:

- 2016/17 financial year (i.e. 1 July 2016 to 30 June 2017)
- Selected Fortnight (is a fortnight of your choosing that that must include the week beginning Monday 22/05/ 2017)
- A snapshot as at the end of the fortnight you have selected.

Within the Survey Tool questions relates to the Selected Fortnight have been grouped for ease of completion.

If you are unable or are having trouble providing the data for the Selected Fortnight, please contact your FMT to discuss (contact details are provided under the heading – *Who can help?)*

What do the colours mean?

Colour of Box	Meaning
Mandatory Question	Green boxes are mandatory data fields and are required to be completed
Optional Question	Grey boxes are optional data fields to be completed at your discretion
Calculated Field	Black boxes will calculate automatically
Data inconsistency	Boxes turn red when data conflicts arise
Metrics (KPI)	Where you see these blue boxes, they provide a metric (KPI) that has been calculated on the data you have input. These are there to allow you to review the data before submitting it

If you have any difficulty completing the green shaded boxes, please contact your FMT.

Where the provision of information is optional (grey shaded boxes), please note that if your organisation does not provide this data, then any results relating to this question will not be included in the report that you receive back from the Survey.

You will not be able to enter data into a black box, as these fields calculate automatically

If a box is red, please review the information you have provided – the box turns red when the numbers provided do not agree with the total provided, or if the information provided in two separate sections is inconsistent. Once this conflict is resolved, the box will no longer be red. Again, if assistance is required, please contact your FMT.

Tips for completing and key definitions

Throughout the Survey, you will see:

- some pale maroon coloured boxes, in these boxes you will find 'Tips for completing this section'. They can be found by hitting the + on the left-hand side of the form.
- icon ℹ these contain the key definition for the specific item. The definition will be displayed if you float your cursor over the icon.

Consolidated approach to collating data

Wherever possible we have consolidated the data collection process. For example, revenue information is required for:

- the whole of your organisation
- DL&CP and
- SIL services.

Instead of having three separate revenue questions, there are three columns, this convention is followed throughout the Survey, wherever possible.

Definition of participating services

As noted above the focus of this Survey will be on assistance with daily living and community participation (DL&CP) and supported independent living (SIL). These services are defined below.

Daily Living & Community Participation (DL&CP)

Daily living and community participation (DL&CP) includes the following services:

- assistance with daily living
- assistance with social and community participation.

DL&CP includes all clients NOT only NDIS participants. DL&CP services includes lifestyle support.

Assistance with daily living

Under the NDIS, this support is defined as assistance with and/or supervising personal tasks of daily life to enable the participant to live as autonomously as possible. These supports are provided individually to participants and can be provided in a range of environments including, but not limited to, the participant's own home. This category includes:

- personal care/attendant care (e.g. help with activities such as feeding, drinking, toileting, personal hygiene, grooming and dressing, and personal administration such as personal correspondence)
- assistance with household tasks that enable the participant to maintain their home environment (e.g. undertaking household jobs such as cleaning, gardening, clothes washing and ironing if the participant is unable to complete these).

Include all services of this type.

Assistance with social and community participation

Under the NDIS, this support is defined as the provision of supports to enable a participant to engage in social or recreational activities within the community. Supports may be provided in:

- a centre
- in open communities
- individually
- in a group.

Include all services of this type your organisation provides.

Supported Independent Living (SIL)

Where reference is made to supported independent living (SIL), this includes services provided to all clients NOT only NDIS.

Supported independent living

Under the NDIS, this support is defined as assistance with and/or supervising tasks of daily life in a shared living environment, which is either temporary or ongoing, with a focus on developing the skills of individuals to live as autonomously as possible, incorporating residential services. This item does NOT include:

- the cost of rent,
- board and lodging
- other, day to day usual living expenses (such as food and activities)
- payments to cover costs associated with the house/ accommodation facility
- respite or temporary accommodation arrangements.

Other services

Currently, we do not ask about other services provided by NDIS; they are not included in the Collectio 2 Survey.

In future, the aim is for the project to cover all NDIS support categories. However, we are taking a phased approach, beginning with more limited data collection. In the initial years, the focus is on the three NDIS support categories on which the majority of Scheme funding is spent.

In the coming years, we will work with providers to identify priorities for future benchmarking Surveys and establish Survey questions.

Support Workers (SW) and Line Manager (LM)

Many of the Survey questions request you provide your data by Support Worker and Line Managers. These functions are defined as follows:

- **Support Workers (SW):** Your frontline staff who provide services to clients. You may refer to staff providing personal care as Attendant Care Workers; Personal Care Attendants; Personal Care Assistants, Assistants in Nursing.
- **Line Managers (LM) (team leader):** Staff directly supervising your Support Workers. You may refer to these as 'Team Leaders' or 'Service Supervisor'. Please do NOT include second in charge (2IC) or managers above 'Team Leader' or Service Supervisor' level).

Chapter 1 – General Information

This Chapter provides general information and definitions of the data elements in the General Information section of the Survey.

1.1 Organisation

The data variables included in this section are:

- Name of organisation
- NDIS registration number – enter your NDIS provider registration number. If you do not have a registration number, leave this blank
- ABN – Australian Business Number
- How long has your organisation been operating?

If your organisation has more than one balance sheet relating to services captured within the Survey, it may be easier for you to complete more than one Survey. If you are not sure if you should complete more than one Survey, please discuss this with your FMT. You can achieve this by saving multiple versions of the same Survey but with a different file name.

1.2 Provider contact information

This question relates to the designated contact person for your organisation should FMTs have questions about your submitted Survey. The data variables are:

- Name
- Position
- Department (if required)
- Phone number
- Email address
- State.

1.3 Business structure

The data variables for this question are:

- Is your business an ACNC registered not-for-profit – please select 'Yes' or 'No' from the drop-down menu.
  - This question asks if you're registered with the Australian Charities and Not-for-Profit Commission (ACNC). You can check if your organisation is registered using this link
- What is the structure/type of your business – select from the drop-down list with the following list of options
  - Private company
  - Public company
  - Incorporated association
  - Unincorporated association
  - Partnership
  - Sole trader

  - Trust
  - Government entity
  - Company Limited by Guarantee
  - Other.
- Other (if you selected 'other' above, please explain your organisation structure). If you have selected ‘Other’ from the drop-down menu, please use the free text field to describe your organisational structure.

1.4 Benchmarked Services

This section asks you to use a drop-down menu select ‘Yes’ or ‘No’ if your organisation provides the following services:

- Assistance with DL&CP type services (e.g. personal (attendant) care (in the home and the community) and day programs (in the community and centre))
- SIL type services (e.g. shared supported accommodation)

If you have answered ‘No’ to both these questions, please speak with your FMT about whether it is relevant for you to complete this Survey. The Overview and General Guidance section of this document provides detailed definitions for these services.

1.5 Location of Services Delivered

This question asks you to indicate which location (by State/Territory within Australia or overseas) that you provided DL&CP and SIL services by ticking the box next to the relevant location(s). This question is not limited to services provided in the Selected Fortnight but relates to the 2016/17 financial year.

Chapter 2 – Balance Sheet

This Chapter provides general information and definitions for the data elements in Balance Sheet section of the Survey

2.1 Balance Sheet

Balance sheet data is requested for your whole organisation for the 2015/16 financial year. You can get this information from your audited financial statements, which should be available from your finance department or accountant.

The data elements sought are high level (i.e. we do not require every line in the balance sheet to be provided) and only reflect the information required to complete the benchmarking report.

There are a '*Tips for completing this section*' box on the Survey template for this section.

Key definitions for this section

Asset definitions

- **Cash:** includes both cash on hand, cash at bank and other cash equivalents (highly liquid investments such as money market and short-term government bonds).
- **Accounts Receivable:** funds/revenue owed to the organisation for goods or services that have been provided, includes debtor.
- **Inventory:** items held for resale that are expected to be consumed in the next financial year (e.g. fundraising products and clients support products). For providers with a products business, this will include things like assistive technology and continence products.
- **Other Current Assets:** other assets (except cash, accounts receivable and inventory) that you expect to be converted to cash within the next 12 months, i.e. 2017/18 financial year).
- **Property Plant and Equipment (PP&E):** all the property, plant and equipment owned or leased (e.g. office furniture, computers and software, equipment owned or leased to clients). Please do not include vehicles.
- **Other Non-Current Assets:** all assets, other than property, plant and equipment, NOT expected to be converted to cash within a year (i.e. during 2017/18 financial year).

Liability definitions

- **Accounts Payable:** amount owed to creditors for goods and services provided but not yet paid, i.e. unpaid bills.
- **Borrowings:** includes total bank overdrafts, and balance of loans payable that are due and payable within the next financial year.
- **Other Current Liabilities:** amounts committed to be paid for within 12 months, i.e. 2017/18 financial including accrued expenses; leave liabilities. Please exclude accounts payable and borrowings.
- **Long-term Debt:** includes loans and borrowings not expected to be repaid within the next financial year.

Other Non-Current Liabilities: amounts committed to be paid beyond 12 months (e.g. lease agreements and contracts; long-term leave liabilities), excluding long-term debt.

Chapter 3 – Revenue & Expenses

This Chapter provides general information and definitions of the data elements in Revenue and Expenses section of the Survey.

3.1 Revenue breakdown

This question asks about your revenue for financial year 2015/16 broken down by revenue source. Revenue relates to 'normal operations' of your whole organisation for 2015/16.

Revenue items are mutually exclusive - i.e. please do **NOT** count the same revenue items in more than one source

Please do **NOT** include any extraordinary revenue, for example:

- revenue/proceeds from the sale of assets
- large one-off donations of assets
- funds to be used for investment

If you are uncertain about where to categorise revenue items, please contact your FMT for assistance.

Key definitions for this section

Total Revenue – total revenue from all services and products (disability and non-disability) and philanthropy (if relevant) for the financial year 2016/17.

Total Disability Revenue – total revenue generated by the provision of services to clients with disability and to their carers (when this support is provided through disability funding). Total disability revenue should also include mental health funding (e.g. include social supports for people with psychosocial disability). Exclude revenue from the sale of goods, such as assistive technology or continence products; this should be counted in 'other' revenue.

- **Block Funding (State and Territory)**: Funding paid in advance by State/Territory Governments to provide a program/supports to people with disability.
- **Block Funding (Commonwealth)**: Funding paid in advance by the Commonwealth Government to provide a program/supports to people with disability. If you run an Australian Disability Enterprise/s, (ADE) include the funding you receive from the Commonwealth Department of Social Services for the support/supervision you provide for supported employees (based on Supported Employee Disability Maintenance Instrument Level), but do NOT include the revenue from the ADE business.
- **NDIS funding**: Revenue claimed from the NDIA for services to NDIS participants (for all NDIS supports that your organisation provides).
- **Other individual funding (State and Territory)**: Revenue earned from services provided to clients with a disability on individual funding packages funded by State and Territory Government.
- **Other individual funding (Commonwealth)**: Revenue earned from services provided to clients with a disability on individual funding packages funded by the Commonwealth Government outside of NDIS (e.g. Better Start and Helping Children with Autism Packages).
- **Fees from private clients**: Revenue from clients with disability paying for services out-of-pocket.

- **Philanthropy**: Monetary donations to your organisation and interest from investment of charitable funds. Do NOT include assets donated (e.g. buildings) or large sums of money intended for investment (i.e. endowments).
- **Other**: Revenue from all other services and products (if relevant) and may include aged care revenue; accident insurance scheme revenue; Medicare revenue; social services revenue; rental income and other income related to services or products not included in other revenue sources listed above. If you run an ADE, include revenue generated by the sale of products and services but do NOT include funding elements as these should be in disability service revenue. Do NOT include any extraordinary revenue, e.g. from the sale of assets.

3.2 Expenses

This question asks about expenses for your organisation for 2016/17 financial year, separated between direct costs (costs directly relating to providing Services to your clients) and indirect expenses (organisational overheads). Expenses are grouped into the following categories:

- **Service costs (direct costs)**: to capture all the direct costs in providing Services to clients for your organisation in 2016/17 financial year, for SL&CP, SIL and Other services (Services that you may provide that outside the scope of the Survey).
- **Depreciation and amortisation**: depreciation reflects consumption or 'wearing out' of tangible assets over the year (do not include motor vehicle depreciation). Amortisation is the amount written-off of intangible assets (such as 'goodwill') and also reflects consumption or erosion of value over the year.
- **Organisational overhead costs (indirect costs)**: are the indirect or overheads costs that are required for your organisation to operate, ***excluding*** *costs considered part of direct Service delivery*. Examples of overheads include executive management, front/back office, administrative staff, finance, HR, payroll, IT, marketing services, rent and so on.

If you use the 'other' sections, please also populate the blank lines provided.

Definitions for items in Direct Costs Related to Services:

- **Service Payroll Cost – Support Workers:** annual payroll cost of frontline staff who provide services to clients. You may refer to staff providing personal care as Attendant Care Workers; Personal Care Attendants; Personal Care Assistants; Assistants in Nursing.
- **Service Payroll Cost – Line Managers:** annual payroll cost of staff directly supervising your Support Workers. You may refer to these as 'Team Leaders' or 'Service Supervisor' (please do NOT include second in charge (2IC) or managers above the 'Team Leader' or 'Service Supervisor' level).
- **Service Payroll Cost – Other Service Staff:** annual payroll costs of all other staff, at a Service level, except Support Workers and Line Managers. These costs might include staff such as managerial staff above the Line Manager, up to the manager at the top of the division, administrative and support staff who work at/allocated to the Service level within your organisation.
- **Consumables and equipment (used in providing services to clients)**: service specific equipment and consumable including food, laundry and any other consumables/equipment costs used in providing services to clients.
- **Cost of outsourcing training**: any fees you paid an external provider to provide your staff with training.
- **Internal recharge for training:** recharge costs for training if your organisation provide training internally or has a registered training organisation (RTO) that provides training for these staff

- **Other:** any other Service level specific costs that have not been included in the above lines. Please use the provided lines to enter the details of 'other service level costs'.

Definitions for items in Organisational Overhead Costs:

- **Staff Costs**, staff costs that are not part of service costs (i.e. already included in the sections above) such as executive management, front office/back office staff, admin staff, finance, HR, payroll staff.
- **Insurance premiums** all insurance premiums including WorkCover/workers compensation insurance (for WorkCover/workers compensation please only include insurance premiums but not wages paid to staff on WorkCover leave)
- **Rent and Fittings**: rent, mortgage, building maintenance, building outgoings, cleaning services and other land and building related costs.
- **Fleet costs**: vehicles leased or purchased.
- **Marketing costs**: examples include advertising, marketing and promotion fees; printing of promotional material; website design, content and maintenance; merchandising and uniforms provided by the organisation for any specific event/promotion/campaign.
    - Marketing of products and services: costs of marketing to promote your services to new clients and to retain existing clients.
    - Marketing for fundraising: costs of marketing to attract donations and to run fundraising activities and events.
- **Accounting and Audit:** external audit and financial service fees.
- **IT costs**: staff salaries, hardware and software purchases and maintenance; and outsourced service fees
- **Other costs**: all other overhead costs, not covered in the categories above. Please use the blank lines provided to enter the details of the costs in 'other'.

3.3 Free Cashflow

The question looks at measuring the cash your organisation has generated after all operational running costs and asset maintenance costs have been met. Free cashflow is mostly derived from data captured elsewhere in the Survey. However, three additional fields are required:

- **EBIT (earnings before interest and taxation)**: profit and loss result for the year, excluding the impact of interest and taxation on the profit/loss.
- **Net change in working capital**: relates the to the movement or change in working capital (current assets less current liabilities) between 2015/16 and 2016/17 financial year
- **Capital Expenditure**: the amount spent on purchasing, or maintaining existing assets, such as land, buildings and equipment (with a useful life of greater than one year).

Chapter 4 – Selected Fortnight Detail

This Chapter provides general information and definitions for the data elements of the Selected Fortnight section of the Survey, all questions relate to the fortnight that includes Monday 22nd May 2017.

4.1 Volunteer Hours for the Selected Fortnight

This question asks about the number of Support Workers hours provided by volunteers for DL&CP and SIL services.

4.2 Annual Agency Cost and Hours

This question requests agency hours and dollars for DL&CP and SIL restricted to Support Worker staff. Agency/contract staff are resources you have temporarily hired from an agency. Please reflect regular and after-hours shifts in your agency hours and costs.

4.3 Number of Clients

This question asks for the number of unique clients that received DL&CP and SIL services within the Selected Fortnight.

4.4 DL&CP Support Worker Utilisation for the Selected Fortnight

This question relates to DL&CP services and to Support Workers only (not Line Managers), it asks for hours worked by agency and volunteers, captured separately in the boxes provided. The question also asks about total hours worked and direct client facing time, split by NDIS and non-NDIS time.

Total hours worked relates to the actual hours worked in the Selected Fortnight by Support Workers; excluding any leave taken during this period (including sick leave, annual leave, parental leave and study leave).

The question asks for direct client-facing time as a percentage of total hours worked; the actual hours will calculate automatically.

Definitions for this question

- **Total hours worked** by all Support Workers including agency staff and excluding leave taken during the period (including sick leave, annual leave, parental leave and study leave). Please estimate the proportional split between:
  - **NDIS** - Total DL&CP hours worked by Support Workers for NDIS participant clients.
  - **Non-NDIS** - Total DL&CP hours worked by Support Workers for all other clients.
- **Proportion (%) of Direct Client Facing Time example**: I work 38 hours in a week and 24 hours is directly client facing. In the remaining 14hrs, I complete training, do paper-work and travel between clients. Thus my percentage of direct client facing time is 63%. Direct facing time may also be referred to as billable hours.

4.5 DL&CP Service Mode and Setting

This question relates to DL&CP services only. There are three data elements:

- **Service Mode and Setting** comprising
  - Individual – in home

- Individual – in community
- Group – in community
- Group – in centre

- **Number of clients** - the number of clients falling into each service mode and setting in the Selected Fortnight
- **Direct client-facing hours** - the number of Support Worker direct client facing hours of service (including agency and volunteers) in the Selected Fortnight.

NB: The total direct client facing hours is expected to be roughly equal to direct client facing hours in Question 4.4 (a red box will appear if these numbers are different). If these are not approximately equal, please provide an explanation in the comments box at the bottom of the section.

4.6 SIL Support Worker Utilisation for the Selected Fortnight

This question relates to SIL services and to Support Workers only (not Line Managers), it asks for hours worked by agency and volunteers, captured separately in the boxes provided. The question also asks about total hours worked and direct client facing time, split by NDIS and non-NDIS time.

Total hours worked relates to the actual hours worked in the Selected Fortnight by Support Workers; excluding any leave taken during this period (including sick leave, annual leave, parental leave and study leave).

The question asks for direct client-facing time as a percentage of total hours worked; the actual hours will calculate automatically

Definitions for this question

- **Total hours worked** by all Support Workers including agency staff and excluding leave taken during the period (including sick leave, annual leave, parental leave and study leave). Please estimate the split between:
  - **NDIS** - Total SIL hours worked by Support Workers for NDIS participant clients.
  - **Non-NDIS** - Total SIL hours worked by Support Workers for all other clients.
- **Proportion (%) of Direct Client Facing Time example**: I work 38 hours in a week and 24 hours is directly client facing. In the remaining 14hrs, I complete training, do paper-work and travel between clients. Thus my percentage of direct client facing time is 63%. Direct facing time may also be referred to as billable hours.

4.7 SIL Clients by House

This question relates to SIL services only and asks about the 'houses' where you provide SIL services. Information is requested for each house, including groups of units that would be considered a house.

Data by house: Count a cluster of units as one house if they share the same Support Workers. Then, for each 'house', please provide:

- **Number of clients** - the number of clients in the selected fortnight
- **Direct client-facing hours** - the number of direct SIL client-facing hours provided by your support workers (including agency and volunteers)
- **Inactive/Active sleepover** - for each house please indicate if the house operates active or inactive sleepover

NB: The total direct client facing hours is expected to be roughly equal to direct client facing hours in Question 4.6 (a red box will appear where these numbers are different). If these are not approximately equal, please provide an explanation in the comments box at the bottom of the section.

Chapter 5 – Client Details

This Chapter provides general information and definitions of the data elements based on annual data for the 2016/17 financial year.

5.1 Annual Agency Cost and Hours

This question asks about agency hours and dollars for DL&CP and SIL restricted to Support Worker staff for the 2016/17 financial year. Agency/contract staff are resources you have temporarily hired from an agency. Please reflect regular and after-hours shifts in your agency hours and costs.

5.2 Sick Leave for 2016/17

This question asks for the amount of paid sick leave taken during the 2016/17 financial year for DL&CP and SIL services.

Sick leave incorporates sick leave, carers leave and compassionate leave taken during the financial year, but should only reflect paid sick leave (and should exclude any other leave such as parental leave, study leave, time in lieu etc.)

The hours and cost are requested for the whole 2016/17 financial year. The sick leave information requested is for both Support Workers and Line Managers.

5.3 Length of Service for 2016/17

This question looks at the average length of time your DL&CP and SIL staff have been with your organisation.

Please provide data for staff employed with your organisation as at Monday 22/05/2017 and provide the length of service months and headcount for permanent and casual Support Workers. Total Support Worker tenure will calculate automatically.

NB: The question is based on headcount. Therefore the same employee can appear in the headcount both DL&CP and SIL services.

Example of how to calculate the length of service:

Tenure	Months
John Young - start Jan-10 and still with your organisation in Mar-17 (7 yrs & 2 mths)	86
Jayne Olson - start Sep-15 and still with your organisation in Mar-17 (1 yr & 6 mths)	18
The average length of service for this organisation	**52**

5.4 Staff Turnover for 2015/16

This question calculates staff turnover for both Support Workers and Line Managers for both DL&CP and SIL services.

NB: The question is based on headcount. Therefore the same employee can appear in the headcount both DL&CP and SIL services.

There are three variables required to calculate staff turnover, these are:

- Number of staff (headcount) employed at 01/07/2016;

- Number of staff (headcount) employed at 30/06/2017; and
- Number of staff (headcount) that left during the 2016/17 financial year.

Staff turnover will be calculated automatically.

5.5 Industrial Relations Arrangement

This question asks about your industrial relations arrangements with your staff relating to both DL&CP and SIL services.

Please tick to indicate which awards your organisation uses (you can select more than one.), from the following options:

- staff employed under the SCHADS Modern Award SACS stream
- staff employed under the SCHADS Modern Award Home Care Stream
- an Enterprise Bargaining Agreement (EBA) in place with your staff
- other (please specify, if you have staff employed under an award other than the two listed above)

5.6 Highest and Lowest pay point

This question asks about the highest and lowest pay points for Support Workers and Line Managers for both DL&CP and SIL. Please provide base rate only, i.e. exclude on-costs, shift penalties, overtime, allowance, superannuation leave and casual loading.

5.7 Client Characteristics

The following questions look at ascertaining the proportion of your client population that possesses certain clinical characteristics. It relates to both DL&CP and SIL clients to which you provide services.

5.7(a) Complex Behaviour Support Needs

The proportion, percentage to the nearest 10% of your DL&CP and SIL clients that have complex behaviour supports

- **Complex behaviour support needs,** i.e. clients with a behaviour support plan

5.7(b) Complex Medical Needs

The proportion, percentage to the nearest 10% of your DL&CP and SIL clients that have complex medical supports

- **Complex medical needs,** i.e. clients who require ventilator management trachea functioning, care and management; complex bowel care (enemas); PEG feeding and management; catheter care and catheter changing; insulin administration and management

5.8 Primary Disability Categories

This question asks about the breakdown of your DL&CP and SIL clients by primary disability category. The question asks you to estimate percentages to the nearest 5% by selecting from the drop-down lists provided. The total of the four primary disability categories should add to 100%, the categories are:

- **Intellectual/learning which includes**: intellectual (including Down syndrome); specific learning/Attention Deficit Disorder (ADD) (other than intellectual); Autism (including Asperger's syndrome and Pervasive Developmental Delay); and developmental delay
- **Physical/diverse disability which incorporates**: physical; acquired brain injury and neurological (including epilepsy and Alzheimer's disease)
- **Sensory/speech disability including**: deafblind (dual sensory); vision (sensory); hearing (sensory); and speech
- **Psychosocial disability** where the experience of people with impairments and participation restrictions is related to mental health conditions.

Information and expanded definitions can be found at the following link:
http://meteor.aihw.gov.au/content/index.phtml/itemId/515164

Chapter 6 – Staff Hours & Costs

This Chapter provides general information and definitions of the data elements in the Staff Hours and costs section of the Survey.

6.1 Staff Hours and Costs

This section relates to the Selected Fortnight and separates:

- hours and costs
- Support Workers and Line Managers
- DL&CP and SIL services.

The Survey Tool provides two approaches to completing this section, please only use one:

- **Option 1**: allows you to provide the data required in a summarised format for both Support Workers and Line Managers. For larger organisations, it may be easier to collate the relevant data outside of the template and populate the summarised data in the relevant fields requested.
- **Option 2**: allows you to enter each position (please do **NOT** provide staff names) into the template. For smaller sized organisations, it may be easier to think of each staff member individually when providing the requested data.

Not all columns will be relevant for all staff/categories of staff. Please leave any columns not relevant empty. The data required should be available from payroll system data/reports.

If you have any questions about the template, please contact your FMT who will be happy to assist you in completing this form.

The numbers in blue at the top of each template are completed examples that have been input to assist you completing the form.

6.2 Option 1: Staff Hours and Costs by Staffing Category

This section is relevant to the organisations that elect to use Option 1 (of the two options explained in section 6.1 above). The following are some of the points to consider when completing this form:

- **Selected Fortnight**: this question relates only to the 'Selected Fortnight' - which is a chosen fortnight that includes the week beginning Monday 22/05/2017.
- This fortnight should be representative of the 'norm' for your organisation, i.e. not include any public holidays, if you need to use a different fortnight to that suggested, please contact your FMT.
- The template provided in this question captures data for both hours and costs, broken down by the heading provided which should be available from your payroll system data/reports.
- Option 1 provides a one-line summary for each category of staff - namely:
  - **Permanent full-time**: staff that are permanently employed on a full-time basis.
  - **Permanent part-time**: staff that are permanently employed on a part-time basis.
  - **Casual**: summary of staff that are employed on a casual basis.
- Option 1's summary approach allows you to categorise information for all relevant staff and provide the information in one line.
- There are separate sections for:

- DL&CP Support Workers
- DL&CP Line Managers
- SIL Support Workers
- SIL Line Managers

- This question is restricted to Support Workers and Line Managers, these functions are defined as:
  - **Support Workers (SW)**: Your frontline DL&CP and SIL staff providing services to clients. You may refer to staff providing personal care as Attendant Care Workers; Personal Care Attendants; Personal Care Assistants; Assistants in Nursing
  - **Line Managers (LM)**: Staff that directly supervise your DL&CP and SIL Support Workers. You may refer to these as 'Team Leaders' or 'Service Supervisor' (please do **NOT** include second in charge (2IC) or managers above the 'Team Leader" or 'Service Supervisor' level)
- If your Line Managers also work as Support Workers, please estimate the proportion of their role that is line management and divide their hours into the relevant categories.
- The headings provided in both the hours and dollars sections may not apply to all categories of staff in all organisations. Simply leave blank any columns that are not relevant.
- If your organisation has managers that are directly above Support Workers but who do not supervise their work, please exclude these from your answers for Line Managers (instead include these costs of other management positions in program management costs in question 3.2).
- **Shift Penalties**: hours and dollars columns, should reflect all penalty rate time and costs
  - **-Shift Penalty Hours**: all hours paid at penalty rates - there should be no hours paid at penalty rates in the 'Base' column.
  - **-Shift Penalty Dollars**: all penalty time costs - i.e. base rate + additional penalty rate. Shift penalties should be higher than base rates.
- **Sick leave** refers to sick, carer or compassionate leave, the hours recorded should be for paid sick leave only (excludes other leave such as parental leave, study leave and time in lieu).
- The information provided should NOT include WorkCover/Worker Compensation insurance premiums, but please provide any payments for staff on paid Worker Compensation /WorkCover in the relevant columns.
- The hours provided should include training and professional development.
- The numbers in blue on the template are examples of how to complete. They are provided for demonstration purposes only.

6.3 Option 2: Staff Hours and Costs by Individual Staff

This section is related to Option 2 (of the two options explained in section 6.1 above). The following are some of the points to consider when completing this form:

- **Selected Fortnight**: data for this question relates only to the 'Selected Fortnight' - which is a chosen fortnight that includes the week beginning Monday 22/05/2017.
- This fortnight should be representative of the 'norm' for your organisation (i.e. not include any public holidays etc.). If you need to use a different fortnight, please contact your FMT.
- The template provided in this question captures data for both hours and costs (dollars). This data should be available from your payroll system data/reports.
- Option 2 allows you to enter each staff member on a separate line (please do NOT provide staff names).
- There are some drop-down menus to assist you with completing this template.

  - **Type**: you can choose from 'permanent', 'casual' and 'agency' for the option that best describes each staff member.
  - **Status**: the options are 'full-time', 'part-time' or 'n/a'. Full-time and part-time are only applicable to permanent staff, n/a should be selected for casual staff.
- At the far right-hand side of the template, there are four columns, which capture the service (DL&CP and/or SIL) and also the role that each worker has fulfilled (Support Worker and/or Line Manager) during the Selected Fortnight.
  - **% DL&CP Support Workers (SW)**: the percentage (%) of time this staff member was a DL&CP Support Worker (e.g. if the staff member provided 10 of their 20 hours as a DL&CP Support Worker, then you would enter 50 in this column).
  - **% DL&CP Line Managers (LM)**: as above, the percentage (%) of time this staff member worked as a DL&CP Line Manager in the Selected Fortnight.
  - **% SIL Support Workers (SW)**: the percentage (%) of time this staff member was a SIL Support Worker (e.g. if the staff member provided 10 of their 20 hours as a SIL Support Worker, then you would enter 50 in this column).
  - **% SIL Line Managers (LM)**: as above, the percentage (%) of time this staff member worked as a SIL Line Manager in the Selected Fortnight.

  NB: the expectation is that the total of these four percentages would equate to 100% for each staff member. However, this may not always be the case. For example, if a staff member worked in a service other than DL&CP or SIL during the Selected Fortnight, then the total of the four percentages would be less than 100%.

- This question is restricted to Support Workers and Line Managers, these functions are defined as:
  - **Support Workers (SW)**: Your frontline DL&CP and SIL staff providing services to clients. You may refer to staff providing personal care as Attendant Care Workers; Personal Care Attendants; Personal Care Assistants; Assistants in Nursing
  - **Line Managers (LM)**: Staff that directly supervise your DL&CP and SIL Support Workers. You may refer to these as 'Team Leaders' or 'Service Supervisor' (please do **NOT** include second in charge (2IC) or managers above the 'Team Leader" or 'Service Supervisor' level)
- If your Line Managers also work as Support Workers, please estimate the proportion of their role that is line management and divide their hours into the relevant categories.
- The headings provided in both the hours and dollars sections may not apply to all categories of staff in all organisations. Simply leave blank any columns that are not relevant.
- If your organisation has managers that are directly above Support Workers but who do not supervise their work, please exclude these from your answers for Line Managers (instead include these costs of other management positions in program management costs in question 3.2).
- **Shift Penalties**: hours and dollars columns, should reflect all penalty rate time and costs
  - **-Shift Penalty Hours**: all hours paid at penalty rates - there should be no hours paid at penalty rates in the 'Base' column.
  - **-Shift Penalty Dollars**: all penalty time costs - i.e. base rate + additional penalty rate. Shift penalties should be higher than base rates.
- **Sick leave** refers to sick, carer or compassionate leave, the hours recorded should be for paid sick leave only (excludes other leave such as parental leave, study leave and time in lieu).
- The information provided should NOT include WorkCover/Worker Compensation insurance premiums, but please provide any payments for staff on paid Worker Compensation /WorkCover in the relevant columns.

- The hours provided should include training and professional development.
- The numbers in blue on the template are examples of how to complete. They are provided for demonstration purposes only.

Chapter 7 – Staffing Metrics

This Chapter provides general information on the staffing metrics that have been incorporated into the Survey Tool.

As previously flagged, all maroon coloured cells relate to metrics that have been included in the Survey Tool, to assist you to review your data.

This section of the Survey Tool; provides a number of ratio metrics that have been derived from the data entered into section 6 (staff hours and costs). These metrics all relate to staffing data, including hours rates, workforce composition, average hours worked and so on.

These metrics have been provided so you can review the output of your data in the Survey Tool, before it is submitted, to ensure that these numbers are within your expectations.

If the metrics do not look right, please review and adjust the data that has been input into section 6 (the ratios below will automatically update).

Chapter 8 – All Metrics

This Chapter provides a summary of all metrics that have been included in the Survey Tool.

As previously flagged, all maroon coloured cells are metrics that have been included in the Survey Tool, to assist you in the review your data.

The data in this tab provides a summary of all metrics by Section (some metrics have appeared previously in the Survey Tool). The metrics allow you to review the output of your data in the Survey Tool, before it is submitted, to ensure that these are within your expectations. If the metrics do not look right, please review and adjust the data in the relevant Section (the metrics will automatically update, as the data is updated).