**SGP Knowledge Article Template**

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# Record assistive technology information

This article provides guidance for a **local area coordinator, early childhood coordinator** and all NDIA staff (**planner, payment officer, internal review officer, complaints officer, participant service officer, access officer, quality officer, technical advisor, SDA officer, NCC officer, provider support**) to understand:

- what assistive technology is
- when we fund assistive technology
- record assistive technology information.

## Recent updates

**July 2023**

- Update to system steps and language to align with PACE release 1.13.

## Before you start

You have:

- read and understood Our Guidelines – Assistive technology
- read and understood Our Guidelines - Disability-related health supports
- read article, **Record Equipment and Consumables information**
- read article, **Complete personal and environmental circumstances**
- read article, **Create Personal and Environmental Circumstances case**
- read article, **Add disability-related health supports Appendix C – Guide to disability related Core supports**
- read Conversation Style Guide.

## Understanding assistive technology

### What is assistive technology?

The World Health Organisation (WHO) defines assistive technology (AT) as:

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- any device or system that allows individuals to perform tasks they would otherwise be unable to do or increases the ease and safety with which tasks can be performed.

We classify AT into four levels. We consider low-cost AT as **Basic (level 1)** or **Standard (level 2)**. A participant might purchase this with their **Core – Consumables** funding in their NDIS plan.

**Specialised (level 3)** and **Complex (level 4)** AT are usually higher cost. These may also carry significant risk, or risk of injury if set-up or issued incorrectly. This level of AT support includes home and vehicle modifications. A participant might purchase this through **capital** funding in their NDIS plan.

## When we fund assistive technology

Participants can have some assistive technology supports funded through the public healthcare system. These supports may not meet the reasonable and necessary criteria of the NDIS.

We will only include funding for AT if the participant gives us evidence of why they need the supports.

We can use the answers to the **Equipment and Consumables** questions in the **Personal and Environmental Circumstances** (PEC) case to identify a participant's AT needs.

## Record assistive technology information

Use your interpersonal skills in a guided conversation and listen carefully to the person's answers. Explain to them we need the right information **before** we make an eligibility decision.

This will help you select the most appropriate responses for the PEC case.

**Note**: The PEC case **Steps** and questions are dynamic and may change. This will depend on the person's situation and age, as well as the response options selected for some questions.

# Next steps

1. Read article **Record Equipment and Consumables information** to continue with the PEC case.

# Version control

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| Version | Amended by | Brief Description of Change | Status | Date |
|---|---|---|---|---|
| 1.0 | EMN960 | Director approval with minor updates | APPROVED | 2022-11-02 |
| 2.0 | EMN960 | Director approval. Minor language updates to align with the personal and environmental circumstances case | APPROVED | 2023-02-16 |
| 2.1 | JJO192 | CI-package – Applying to the NDIS<br><br>Update knowledge article for the Disability (PEC) case. | DRAFT | 2023-06-09 |
| 2.2 | MIC163 | Peer review | DRAFT | 2023-06-09 |
| 2.3 | JJO192 | Actioned peer review | DRAFT | 2023-06-16 |
| 2.4 | JJO192 | Action visible thread review:<br><br>Flesch Readability 44<br><br>Grade 8.2<br><br>Passive voice 1.16% | DRAFT | 2023-06-16 |
| 2.5 | VFK746 | EL1 review and progress to EL2 review | DRAFT | 2023-06-16 |
| 3.0 | EMN960 | Director approval to publish – no feedback from SD or Partners | DRAFT | 2023-06-21 |

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# Add low cost assistive technology supports in a plan

This Standard Operating Procedure (SOP) will help you add low cost assistive technology (AT) supports in the participant's plan.

## 1.    Recent updates

| Date | What's changed |
|---|---|
| February 2022 | Plan developers update the How Often field to reflect the amount of low cost AT the participant needs during their plan. |
| September 2021 | Update to reflect support item is $1.00 in NDIS Business System. |

## 2.    Checklist

| Topic | Checklist |
|---|---|
| **Pre-requisites** | You have:<br>❑ read and understood Our Guideline – Assistive technology<br>❑ discussed with the participant the amount of funding they need for Low Cost AT<br>**Or**<br>referred to Fact sheet – Assistive technology – Guide for low cost support funding<br>❑ received Technical Advisory Branch (TAB) advice, if needed<br>❑ checked the participant's record for AT related interactions or inbound documents, including in the ATHM tile<br>❑ determined what AT is reasonable and necessary<br>❑ spoken to the participant about their preferred plan management option<br>❑ checked the request for AT does not relate to:<br>   o a primary request of a participant requested review (s 48 request) |

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| Topic | Checklist |
|---|---|
| | o   a primary request of a review of a Reviewable Decision (s 100 request)<br>o   a complaint about AT supports in the Feedback tile.<br><br>**Note:** If the request relates to one of the above, it is your responsibility to make sure the request is actioned by the right business area. Talk with your team leader if you need further advice. |
| **Actions** | ❑ [3.1 Add funding for low cost AT](#)<br>❑ [3.2 Next steps](#) |

# 3.   Procedure

## 3.1   Add funding for low cost AT

1.   From the participant's record select **Determine the Funded Supports** in **Planning – Staff Tasks**.

2.   Select **Core**.

| Q Search  ‹ | Determine the Support Needs | ⑦  ⚙ |
|---|---|---|
| Support Type | | |
| Support Type | Price $ | |
| Core | 30,113.50 | |
| Capacity Building | 15,979.25 | |
| Capital | 21,441.00 | |
| Total Plan Budget ( $ ) | 67533.75 | |

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3. Select the **Expander** in the **Consumables** price field to open the support calculator.



4. Select **Add Row** (plus sign) in the **Support Calculator**.



5. Select the **Expander** in the **Product** field.

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**6.** Enter **Low Cost** In the **Product** search field. Choose the support item from the list.



**7.** Complete the following:

- **Quantity:** enter the number of units (1 unit = $1).

- **How Often:** select the option for the amount of support the participant needs during their plan. For example, if the participant needs replacement knee sleeves each year select Per Year. If the participant only needs the item once during their plan, select Once.

- **Item Type:** leave blank.



V6.0 2022-01-31          Add low cost assistive technology supports in a plan          Page **4** of **6**

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8. Add support items for each low cost category the participant needs. For example if the participant needs walking sticks and a doorbell alert, add the personal mobility item and the hearing related item in their plan.

9. Select **Done**.

10. Add the following **Comment** in the **Consumables** section:

> Funding for assistive technology: $<insert budget amount> to buy low cost assistive technology, and minor repairs to my assistive technology. This will support me to pursue my goals and outcomes.



11. Add capacity building supports using Standard Operating Procedure – Add assistive technology capacity building supports in a plan.

### 3.2 Next steps

1. Check you have included all other reasonable and necessary supports. Refer to relevant Planning resources when you complete the remaining steps to develop the participant's plan.

## 4. Related procedures or resources

- Our Guideline – Assistive technology
- Standard Operating Procedure – Add assistive technology capacity building supports in a plan
- Fact sheet – Assistive technology – Guide for low cost support funding
- Practice Guide – Hearing supports

## 5. Feedback

If you have any feedback about this Standard Operating Procedure, please complete our Feedback form.

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## 6. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|------------|----------------------------|--------|------|
| 4.0 | CS0074 | Class 1 approved<br><br>Update to hyperlink for Fact sheet - Assistive Technology – Guide for Low Cost support prices under related procedures or resources.<br><br>Updated language from Operational Guidelines to Our Guideline. | APPROVED | 2021-07-14 |
| 5.0 | CW0032 | CLASS 1 APPROVED<br><br>Amendment to show line item price of $1 | APPROVED | 2021-09-22 |
| 6.0 | CW0032 | CLASS 1 APPROVED<br><br>Update to reflect how to add low cost supports in the system | APPROVED | 2022-01-31 |

V6.0 2022-01-31          Add low cost assistive technology supports in a plan          Page **6** of **6**
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Page 9 of 875

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## Standard Operating Procedure
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# Add mid cost assistive technology in a plan

This Standard Operating Procedure (SOP) helps you add mid cost assistive technology (AT) supports in the participant's plan.

You can also use this SOP if the participant requests replacement of a mid cost AT support. Do not use the replacement AT process in the Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT.

## 1. Recent updates

| Date | What's changed |
|------|----------------|
| February 2022 | Update to align with Our Guideline – Assistive technology changes for mid cost AT supports. Mid cost AT items are now between $1,500 and $15,000. Includes new procedure to use the new AT Item Budget Tool to calculate how much mid cost AT funding to include plans. |
| November 2021 | Plan developers update the Quantity and How Often fields to reflect the amount of mid cost AT the participant needs during their plan. |

## 2. Checklist

| Topic | Checklist |
|-------|-----------|
| **Prerequisites** | You have: <br> ❑ read and understood Our Guidelines – Assistive Technology <br> ❑ received Technical Advisory Branch (TAB) advice, if needed <br> ❑ checked the participant's record for AT related interactions or inbound documents, for example written evidence, including in the ATHM tile <br> ❑ determined what mid cost AT is reasonable and necessary <br> ❑ determined if the participant has a diagnosis of Motor Neurone Disease (MND) and requires AT supports. Refer to Practice Guide – Motor Neurone Disease <br> ❑ spoken with the participant about their preferred plan management option <br> ❑ reviewed the Participant Service Guarantee and are complying with the response timeframe related to your task <br> ❑ checked the request for AT does not relate to: |

## Standard Operating Procedure
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| Topic | Checklist |
|---|---|
| | o a primary request of a participant requested review (s 48 request) <br> o a primary request of a review of a Reviewable Decision (s 100 request) <br> o a complaint about AT supports in the Feedback tile. <br><br> **Note:** If the request relates to one of the above, it is your responsibility to make sure the right business area actions the request. Talk with your team leader if you need further advice. |
| **Actions** | ☐ 3.1 Find the AT Item Budget Tool <br> ☐ 3.2 Use the AT Item Budget Tool <br> ☐ 3.3 Add mid cost AT supports in the participant's plan <br> ☐ 3.4 Next steps |

# 3. Procedure

## 3.1 Find the AT Item Budget Tool

1. Open the intranet and select **NDIS PANDA and PANDA live** located under **My Links**.

2. Select **View PANDA**.

| Home | COVID-19 information | Service Delivery | Internal News | Our Organisation | Corporate Services |
|---|---|---|---|---|---|

**NDIS PANDA and PANDA live**

Home > Corporate Services > Office of Scheme Actuary; Sustainability; Reporting and Data > NDIS PANDA and PANDA live

Training Resources ▼

Panda Release Notices

Site Contents

### Panda and Panda Live

**Panda Report Catalogue**

The Panda Report Catalogue your one-stop shop for information on Panda and Panda Live reports.
View Panda Report Catalogue

**Panda Delivery Outlook**

See the delivery outlook for the quarter for all of Panda Enterprise Reporting.
View 1st Quarter 21/22 Panda Delivery Outlook

View 2nd Quarter 21/22 Panda Delivery Outlook

View Panda Live  View PANDA

NDIS Panda Live
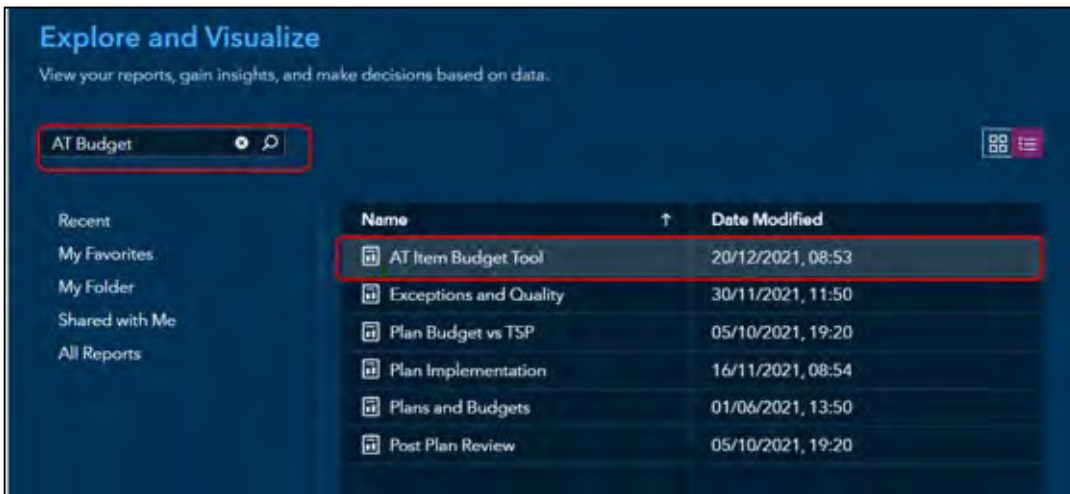
3. Type AT Budget in the search bar and select **search**. Select **AT item budget tool**.

V12.0 2022-02-24        Add mid cost assistive technology in a plan    Page 2 of 11
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Page 11 of 875

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## 3.2 Use the AT Item Budget Tool

Use the AT Item Budget Tool to select the correct mid cost AT code to use and the right quantity (number of units) for an AT item in a plan. You must consider all costs that may come with the AT item such as:

- delivery

- set-up/installation

- rental of a similar item due to maintenance, repairs or short term rental.

You can also use this procedure to search for the benchmark price for low cost and high cost AT.

1. From **1. Search for item**: Enter item name or code. Select item from dropdown list.
   **Note:** For Motor Neurone Disease type flexible in the Search for item.



V12.0 2022-02-24          Add mid cost assistive technology in a plan      Page 3 of 11

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2. The result will display.

- For mid cost AT, go to step 3.

- For low cost or high cost AT, go to step 6.

3. You need to note the following information to complete the steps in section 3.3 Add mid cost AT supports in a participant's plan:

- At **2 Use this mid cost code in the plan**, note this code.

- At **3 Funding level to be added to the budget**, note the amount. You will need it to choose the quantity (1, 2 or 3) when you add the AT item in the participant's plan. You **must** place the amount determined by the AT Item Budget Tool into the participant's plan for each mid cost AT item.

- At **4. Please type the following information to the comments sections in the plan**, note the information. You will need it to complete the comment in the Support Calculator. Make sure the comment section includes information for **all AT items** if there is more than that one item.

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4. Is there **more than one** mid cost AT item for the participant?

- No, go to section 3.3 Add mid cost AT supports in a participant's plan.

- Yes, repeat steps 1–3. You can copy all the information (from the AT Item Budget Tool) onto a blank Word document. This will help you see if two of the items are using the **same** mid cost AT support. You can not enter the same support twice. You will need to add up the **total quantity** and put that against the support when you enter it in the Support Calculator. There will be a comment relating to the each of the AT items covered with the support item used.

5. Go to section 3.3 Add mid cost AT supports in a participant's plan.

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6. For low cost and high cost AT, the AT Item Budget Tool will give you the benchmark price (for reference). No information will display in **2**, **3** or **4**. Follow the relevant Standard Operating Procedure for that level of AT as per the alert.

- For high cost AT: refer to Standard Operating Procedure – High cost support including replacement or Standard Operating Procedure – High cost supports – No quote provided.

- For low cost AT: refer to Standard Operating Procedure – Add low cost assistive technology supports in a plan.

| Item Description | Item Code | Benchmark (for reference) |
|---|---|---|
| Wheelchair - Powered With Powered Standing Mechanism | 05_122306139_0105_1_2 | $17,357 |
| | This is a High Cost Assistive Technology Item. Please follow relevant section in SOP/OG. | |

## 3.3 Add mid cost AT supports in the participant's plan

1. Select **Determine the Funded Supports** from the **Planning – Staff Tasks**.

2. Select **Capital**.

| Support Type | Price $ |
|---|---|
| Core | 15,065.50 |
| Capacity Building | 5,924.80 |
| Capital | 31,012.95 |
| Total Plan Budget ( $ ) | 52003.25 |

Plan Duration: 24 months

Generate Support Plan    Save    Submit

V12.0 2022-02-24        Add mid cost assistive technology in a plan       Page 6 of 11
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Page 15 of 875

# Standard Operating Procedure

For Internal Use Only

3.  Select the **Expander** in the **Assistive Technology** price field to open the support calculator.



4.  Check the support items in the **Support Calculator**. Items generate from the **Guided Planning Questions** (in TSP generated plans). Select **Delete Row** and remove mid cost items and items that don't meet reasonable and necessary criteria.



5.  Use the **Support Calculator** to add the support item using the code from the AT Item Budget Tool. Add support items for each mid cost category the participant needs. For example, if the participant needs a walker and a bed, add the mobility item and the personal care item to their plan.

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6. Complete the following fields:

- **Item Type**: leave blank. **Do not make these items stated**.

- **Quote required**: leave unticked.

- **Quantity**: The AT Item Budget Tool determines the funds in $5,000 increments. Enter the funds determined by the AT Item Budget Tool in the **Quantity** field. For example, if the funding level is:
   - $5,000, enter 1
   - $10,000, enter 2
   - $15,000, enter 3.

- **How Often**: select the option to reflect the amount of support the participant needs during their plan. For example, if the participant needs new orthotics each year, select **Per Year**. If the participant only needs the item once during their plan, select **Once**.



7. Record **Comments** for each support you include using the following template. Comments print on the participant's plan and are visible in their myPlace portal.

> Funding for your <item> with a price range from $xxx to $xxxx. You must contact your AT advisor to help you choose and set up the right AT for you.

8. If the funding level determined by the AT Item Budget Tool is not enough for the item based on the evidence you have been given, you will need to add more funding in the participant's plan.

**Example**: The participant lives in a rural area, needs a new shower commode and is going on a holiday. The new shower commode is $4700 and the AT Item Budget Tool determined $5000. The participant's evidence shows that delivery and set up is $350. You will need to add $50 extra funding to the **Assistive Technology** budget to cover all reasonable and necessary costs for the participant. Refer to Standard Operating

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Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology supports to add rental supports.

**Note:** If the item is lower cost and the determined amount has enough flexible funding for reasonable and necessary additional costs, for example short term rental, you may not need to add separate funding for short term rental.

9. Add comments based on the participant's plan management type:

- **Agency Managed**: Your registered NDIS provider can claim the funds for your AT support using their provider portal without further NDIA approval.

- **Plan Managed**: Your Plan Manager provider can claim the funds for your AT support using their provider portal without further NDIA approval.

- **Self-Managed:** You can claim your AT support cost using the participant myPlace portal without further NDIA approval.



### 3.4 Next steps

Check you include all other reasonable and necessary supports such as:

- repairs and maintenance
- short term rental
- capacity building budget for the AT advisor.

Refer to relevant Planning resources when you complete the remaining steps to develop the participant's plan.

## 4. Related procedures or resources

- Operational Guidelines – Assistive technology
- Practice Guide – Motor Neurone Disease
- Participant Service Guarantee
- Technical Advisory Branch (TAB)

V12.0 2022-02-24        Add mid cost assistive technology in a plan      Page 9 of 11
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Page 18 of 875

**Standard Operating Procedure**

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- Factsheet – Understand assistive technology evidence, advice, assessments and quotes
- Standard Operating Procedure – Add low cost assistive technology supports in a plan
- Standard Operating Procedure – Add assistive technology capacity building supports in a plan
- Standard Operating Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology supports
- Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT
- Standard Operating Procedure – No quote provided for high cost assistive technology
- Planning resources Intranet page

## 5. Feedback

If you have any feedback about this standard operating procedure, please complete our Feedback Form.

## 6. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|----------------------------|--------|------|
| 7.0 | CW0032 | Class One<br><br>The correct Mid Cost support items will show a price of $5000 in the System. | APPROVED | 2020-11-20 |
| 8.0 | CW0032 | Class 1 approved.<br><br>Updated links to assistive technology guidance. | APPROVED | 2020-12-09 |
| 9.0 | CW0032 | CLASS 1 APPROVED<br><br>Partners access the product catalogue tile from their home screen to find the benchmark price for AT supports. | APPROVED | 2021-09-22 |

V12.0 2022-02-24        Add mid cost assistive technology in a plan    Page 10 of 11
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Page 19 of 875

# Standard Operating Procedure

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| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|---------------------------|--------|------|
| 10.0 | CW0032 | Class 2 approved<br><br>Clarified plan developers update the Quantity and How Often fields to reflect the amount of mid cost AT the participant needs during their plan. | APPROVED | 2021-11-09 |
| 11.0 | GO0002<br>LNL387<br>SM0075 | Class 3 APPROVED<br><br>New AT budget tool to assist with mid cost calculation of funds to place in the plan build and benchmark price for high cost AT items | APPROVED | 2022-02-11 |
| 12.0 | CW0032 | Class 1 APPROVED<br><br>Update screenshots to reflect mid cost line items in system and amendments from internal preview. | APPROVED | 2022-02-24 |

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# Add high cost assistive technology in a plan and include replacement AT

This Standard Operating Procedure (SOP) will help you add high cost and replacement assistive technology (AT) supports in the participant's plan.

**Note:** If the participant requests replacement mid cost or low cost AT support do not use this process. Follow the procedure in Standard Operating Procedure - Add low cost assistive technology in a plan or Standard Operating Procedure - Add mid cost assistive technology in a plan.

## 1. Recent updates

| Date | What's changed |
|------|----------------|
| February 2022 | Update to align with Our Guideline – Assistive technology (AT) changes for mid cost AT supports. For AT, quotes are only required when the item is more than $15,000, or for repairs over $1,500. |
| September 2021 | Partners access the product catalogue tile from their home screen to find the benchmark price for an AT support. |

## 2. Checklist

| Topic | Checklist |
|-------|-----------|
| **Prerequisites** | You have:<br><br>❑ read and understood Our Guideline – Assistive Technology<br>❑ received TAB advice, if needed<br>❑ an assessment and quote for the AT support<br>    **Or**<br><br>    the assessment for the AT support and have determined the cost of the AT support using Standard Operating Procedure – No quote provided for high cost assistive technology |

V6.0 2022-02-10 Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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| Topic | Checklist |
|---|---|
| | **Or** |
| | determined the support meets the criteria for replacement AT process |
| | ❑ checked the participant's record for AT related interactions or inbound documents, including the ATHM tile. |
| | ❑ determined what high cost or replacement AT is reasonable and necessary |
| | ❑ spoken with the participant about their preferred plan management option |
| | ❑ checked the request for AT does not relate to: |
| | ○ a primary request of a participant requested review (s 48 request) |
| | ○ a primary request of a review of a Reviewable Decision (s 100 request) |
| | ○ a complaint about AT supports in the Feedback tile. |
| | **Note:** If the request relates to one of the above, it is your responsibility to make sure the right business area actions the request. Talk with your team leader if you need further advice. |
| **Actions** | ❑ 3.1 Check the provider is registered for a support item |
| | ❑ 3.2 Add high cost AT supports |
| | ❑ 3.3 Check quote for delivery and set-up costs |
| | ❑ 3.4 Next steps |

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 2 of 14

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Page 22 of 875

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## Standard Operating Procedure

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# 3. Procedure

## 3.1 Check the provider is registered for a support item

Complete this process if the participant's plan is Agency Managed. If the plan is Agency Managed, the participant must use a registered provider. If the participant is Self-Managed or Plan Managed, go to 3.2 Add high cost AT supports.

1. Select **Product Catalogue** from your **Home Screen.** For help to add the product catalogue tile refer to Standard Operating Procedure – Personalise your home screen in the NDIS Business System.
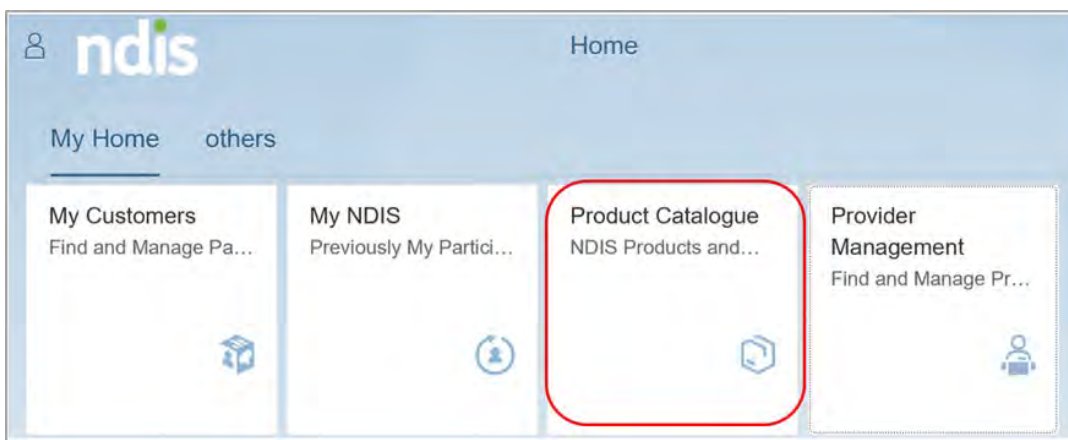


2. Select **Search**.
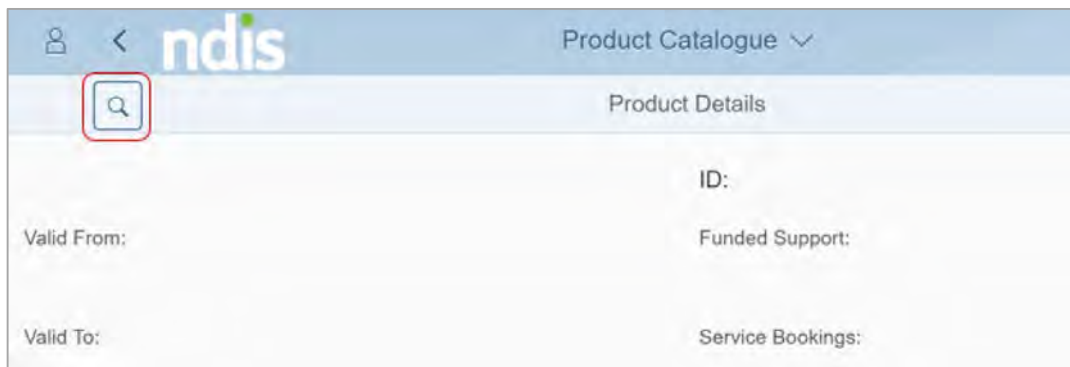


V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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**3.** Search for and select the AT support item.



**4.** Take note of the **Registration Group** for the AT support. You will compare this to the provider's Registration Groups in Step 8.



**5.** Select **Provider Management** from your **Home Screen**.
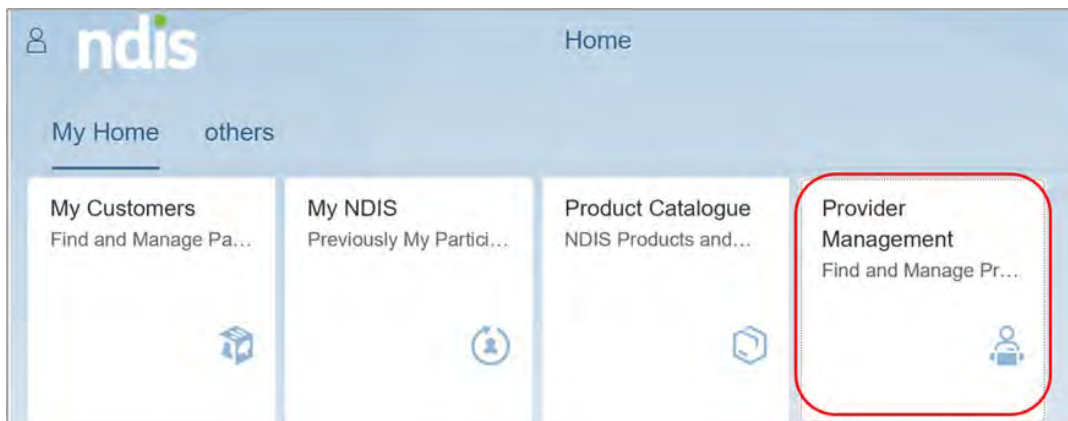
V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 4 of 14

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Page 24 of 875

# Standard Operating Procedure

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6.  Search for the provider using their provider number or Australian Business Number (ABN).
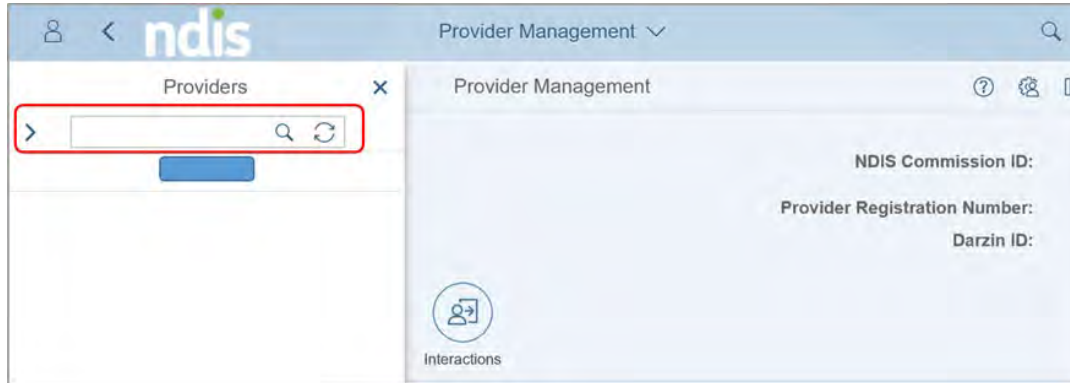


7.  Select **Rego Group**.



8.  Check **Registration Group**, **Start Date** and **End Date**. Make sure the provider is currently registered for the AT support you noted in Step 4.

## 3.2   Add high cost AT supports

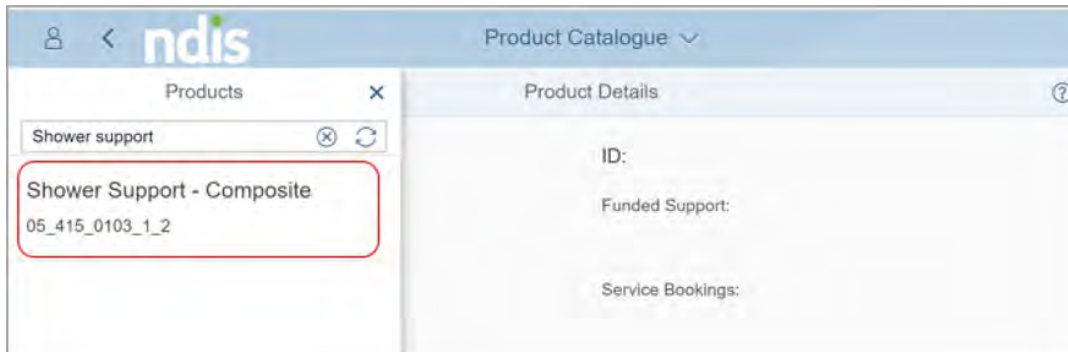1.  Select **Determine the Funded Supports** In the **Planning – Staff Tasks**.

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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**2.** Select **Capital**.



**3.** Select the **Expander** in the **Assistive Technology** price field to open the support calculator.



V6.0 2022-02-10  Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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4.  Check the support items in the **Support Calculator**. Items generate from the **Guided Planning Questions** (in TSP generated plans). Select **Delete Row** and remove items if they do not meet reasonable and necessary criteria.



5.  Add support items manually if they are not generated from the **Guided Planning Questions**. AT supports over $15,000 are added differently depending on how the participant has chosen to manage their plan. If the participant has chosen to:

   *   **Agency Manage** their supports go to 3.2.1 Use the support calculator to add high cost AT supports.

   *   **Self-Manage** or **Plan Manage** go to 3.2.2 Add funding for high cost AT supports at budget level.

## 3.2.1 Use the support calculator to add high cost AT supports

1.  Add AT supports items using the **Support Calculator**. To add an item select the **Add Row** (plus sign).

2.  Include all AT supports and select **Done**.



3.  Delete the pre-populated comments in the **Comments** field.

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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## Standard Operating Procedure

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4. Record **Comments** for each support you include. If you don't have a quote use the comment you drafted using Standard Operating Procedure – No quote provided for high cost assistive technology.

Clearly describe the AT support so the participant understands what is funded in their plan. Include in your comments:

- the type of equipment being funded

- how it will support the participant to pursue their goals.

For example: Funding for your powered wheelchair to pursue community engagement and employment goals.



5. Add capacity building supports using Standard Operating Procedure – Add assistive technology capacity building supports in a plan.

### 3.2.2 Add funding for high cost AT supports at budget level

When you include funds at budget level you do **not** use support items or the **support calculator**. Increase the price field with the cost of support following step 3.

1. Review the quote you used to support your reasonable and necessary decision making.

V6.0 2022-02-10 Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 8 of 14

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Page 28 of 875

# Standard Operating Procedure

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2. The System generates support items from the **Guided Planning Questions.** Remove the support items if they do not meet the reasonable and necessary criteria. Select **Delete Row** (trash can) to remove the support item from the support calculator. Select **Done**.



3. Add the quoted amount at the **Capital – Assistive Technology** budget level. To do this increase the **Assistive Technology** budget by the amount of funding needed for the high cost AT support. Do **not** use the support calculator.



In this example the **Capital - Assistive Technology budget** is $300.00 and you need to add $18,078 for the High Cost AT support at budget level. You need to increase the funding in the **Captial – Assistive Technology** budget to $18,378.

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 9 of 14

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Page 29 of 875

4.  Record **Comments** for each support item. If you don't have a quote use the comment you drafted using Standard Operating Procedure – No quote provided for high cost assistive technology.

    Clearly describe the AT support so the participant understands what is funded in their plan. Include in your comment:

    -   the type of equipment being funded

    -   how it will support the participant to pursue their goals.

    For example: Funding for your powered wheelchair to pursue community engagement and employment goals.



5.  Add capacity building supports using Standard Operating Procedure – Add assistive technology capacity building supports in a plan.

## 3.3  Check quote for delivery and set-up costs

1.  Check the quote for AT supports to confirm the cost of delivery and set-up. If the cost of delivery and set-up is:

    -   **included** as part of the overall cost, go to 3.4 Next steps

    -   **not** included you will need to add funding separately, go to step 2.

2.  Select the **Capital**.

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 10 of 14

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Page 30 of 875

# Standard Operating Procedure

For Internal Use Only

3. Select the **Expander** (2 overlapping boxes) in the **Assistive Technology** price field to open the support calculator.



4. Select **Add Row** (plus sign) to add an item.



5. Enter Delivery in the **Product** search field.

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 11 of 14

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# Standard Operating Procedure

For Internal Use Only

**6.** Select the support item that matches the quoted AT item.



**7.** Leave **Quantity** as one, **How Often** as once and select **Done**. When the quoted delivery and set up costs are above the benchmark price you need to change the quantity.



V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 12 of 14

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**Standard Operating Procedure**

For Internal Use Only

**8.** Record **Comments** for each support item you included. For example:

Funding of $xxxx for delivery and setup of [equipment type].



## 3.4  Next steps

**1.** Check you have included all other reasonable and necessary supports. Refer to relevant Planning resources when completing the remaining steps to develop the participant's plan.

# 4.  Related procedures or resources

- Our Guideline – Assistive technology
- Standard Operating Procedure – No quote provided for high cost assistive technology
- Standard Operating Procedure – Add assistive technology capacity building supports in a plan
- Standard Operating Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology supports
- Standard Operating Procedure Add low cost assistive technology supports in a plan
- Standard Operating Procedure Add mid cost assistive technology in a plan
- Standard Operating Procedure Initiate and Record Quotes
- Standard Operating Procedure Consider and Action Quotes
- Planning resources Intranet page

# 5.  Feedback

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

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## Standard Operating Procedure

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If you have any feedback about this standard operating procedure, please complete our Feedback Form.

## 6. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---|---|---|---|---|
| 3.0 | CW0032 | Class One<br><br>Delivery and set-up section updated to provide clarity on when to include.<br><br>Additional information on the terminology 'budget level.' Wording was changed and an example provided.<br><br>Instructions on using the hotkey to open the Find and Replace box in Excel. | APPROVED | 2020-11-20 |
| 4.0 | CW0032 | Class 1 approved.<br><br>Updated links to assistive technology guidance. | APPROVED | 2020-12-09 |
| 5.0 | CW0032 | CLASS 1 APPROVED<br><br>Removal of Partner specific step as they have access to the product catalogue tile in CRM | APPROVED | 2021-09-22 |
| 6.0 | CW0032 | Class 2 approved.<br><br>Update to align with Our Guideline – Assistive technology (AT) changes for mid cost AT supports. For AT, quotes are only required when the item is more than $15,000, or for repairs over $1,500. | APPROVED | 2022-02-10 |

V6.0 2022-02-10   Assistive technology - High Cost including replacement assistive technology in a plan and include replacement AT

Page 14 of 14

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Page 34 of 875

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# ndis

## Standard Operating Procedure
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# No quote provided for high cost assistive technology

This Standard Operating Procedure (SOP) will help you find the amount to include for high cost Assistive Technology (AT) when the participant does not have a quote. Use this SOP when the participant has given you an assessment, but does not have a quote.

## 1.  Recent updates

| Date | What's changed |
|---|---|
| February 2022 | The way you find the cost for AT supports has changed. Section 3.1 has been updated to explain you can use the assistive technology budget tool in PANDA to check the benchmark price. |
| December 2020 | Pre-requisites updated to include reference to the Participant Experience Delivery (PED) Key Performance Indicators (KPIs) and compliance relevant to this task. |

## 2.  Checklist

| Topic | Checklist |
|---|---|
| Pre-requisites | You have:<br><br>❑ read and understood Our Guidelines – Assistive Technology<br>❑ received the assessment, but don't have a quote for the AT support<br>❑ have reviewed the Participant Service Guarantee and are complying with the response timeframe related to your task. |
| Actions | ❑ 3.1 Determine funding for high cost AT<br>❑ 3.2 Next steps |

V5.0 2022-01-31        No quote provided for high cost assistive technology        Page 1 of 3
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Page 35 of 875

# 3. Procedure

## 3.1 Determine funding for high cost AT

1. Find the cost of the AT support using the following resources as a guide:

   - information on the NDIS Pricing Arrangements and Price Limits section of the NDIS website

   - the assistive technology budget tool in PANDA. For help to use the tool to find the benchmark price refer to Standard Operating Procedure – Add mid cost assistive technology in a plan

   - the product catalogue in the NDIS Business System (System).

2. Check if you need mandatory advice from the Technical Advisory Branch (TAB) for the AT support. Request advice if needed.

3. Use this amount to determine if the high cost AT is reasonable and necessary. Refer to Our Guidelines – Assistive Technology.

4. Draft a detailed comment to add to the participant's plan. Make sure you include the following:

   - the reasonable and necessary amount of funding you determined in step 1

   - a description of the AT support you are approving (planners and delegates) or recommending (partners in the community)

   - the description of the item from the Assistive Technology, Home Modifications and Consumables Code Guide.

   **Example comment**: Funding for your specialised computer input device using eye or neural/neuromuscular control up to the value of $19,800.00.

   **Note:** Include all the detail in your comment. When the participant submits the quote it is compared to the information you record.

## 3.2 Next steps

1. Add the high cost AT using Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT.

V5.0 2022-01-31     No quote provided for high cost assistive technology     Page 2 of 3
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Page 36 of 875

# Standard Operating Procedure

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## 4. Related procedures or resources

- Our Guidelines – Assistive technology
- Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT
- Standard Operating Procedure – Add mid cost assistive technology in a plan
- Assistive Technology, Home Modifications and Consumables Code Guide

## 5. Feedback

If you have any feedback about this standard operating procedure, please complete our Feedback Form.

## 6. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|---------------------------|--------|------|
| 3.0 | CW0032 | Class One<br><br>Language update to make plan approval inclusive. | APPROVED | 2020-11-20 |
| 4.0 | CS0074 | Class 1 approval<br><br>Pre-requisites updated to include reference to the Participant Experience Delivery (PED) Key Performance Indicators (KPIs) and target relevant to this task. | APPROVED | 2020-12-23 |
| 5.0 | CW0032 | Class 2 Approved<br>Update of resource at 3.1 to include AT Item budget tool to find benchmark cost of assistive technology | APPROVED | 2022-01-31 |

V5.0 2022-01-31  No quote provided for high cost assistive technology  Page 3 of 3
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Page 37 of 875

**ndis**

# Approve an expired quote less than $15,000

The content of this document is OFFICIAL. This Standard Operating Procedure (SOP) will help you approve an expired quote less than $15,000 in the NDIS Business System (System).

This is interim guidance for quotes less than $15,000 dated from 1st December 2020.

## 1.   Recent updates

| Date | What's changed |
|------|----------------|
| July 2021 | Interim SOP to help you approve an expired quote less than $15,000 in the System. This SOP is for quotes dated from 1 December 2020 – 31 August 2021 only. |

## 2.   Checklist

| Topic | Checklist |
|-------|-----------|
| **Pre-requisites** | You have read:<br><br>❑ Our Guideline – Assistive Technology<br><br>Assistive Technology (AT):<br><br>❑ has been discussed with the participant<br>❑ funding is approved in the participant's plan<br><br>And a quote is:<br><br>❑ expired<br>❑ less than $15,000<br>❑ dated between 1 December 2020 and 31 August 2021<br>❑ recorded in the System. For more help to record the quote go to Standard Operating Procedure – Initiate and Record Quotes. |
| **Actions** | ❑ 3.1 Draw down the quote for approval<br>❑ 3.2 Check the participant's record<br>❑ 3.3 Check the quote details<br>❑ 3.4 Approve the quote |

# Standard Operating Procedure

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## 3. Procedure

### 3.1 Draw down the quote for approval

1. From your **Inbox** select **Ready for Work**.
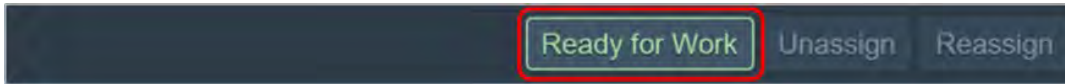


2. Select the **NDIS number** hyperlink.
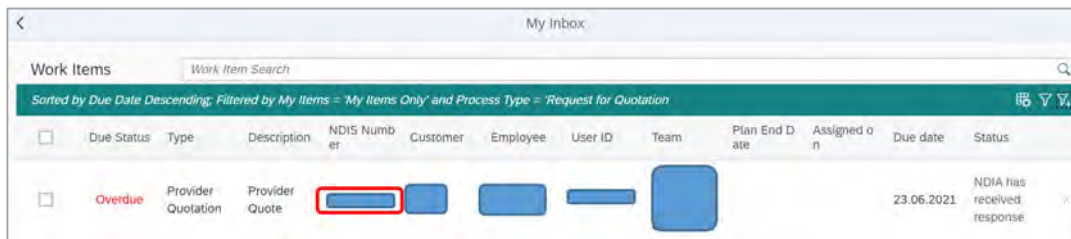


### 3.2 Check the participant's record

1. Check the participant's record and review any **Interactions**, **Inbound Documents** or **Quote Attachments** for information related to the quote required support.

2. If equipment is included in the quote with additional features not considered reasonable and necessary, the participant may make their own arrangements with a provider to pay the additional amount for the higher priced item or features.

### 3.3 Check the quote details

1. Go to **Implement** in the participant's record and select **Provider Quotations**.

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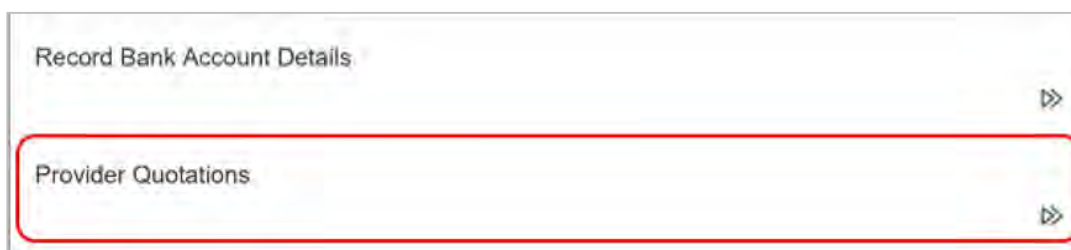
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# Standard Operating Procedure

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2. Select the checkbox for the relevant **Open** support item and select **Next**.
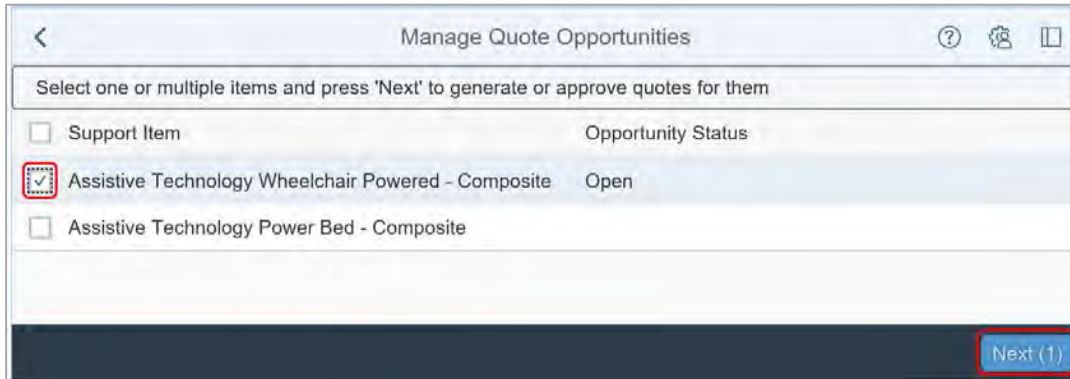


3. Expand the quote details.



4. Check the **Date of Response** is between 1 December 2020 and 31 August 2021. If the date of response is not between these dates and the quote is still valid use Standard Operating Procedure – Consider and action quotes to action the quote.



5. Review any documents attached to the quote for additional information. If the quote is attached you can also check the amount and date in the attachment. If there are no documents attached, you can check for further information in **Inbound Documents** or **Interactions**.

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6. Check the **Quote Amount** is:

- less than $15,000: go to 3.4 Approve the quote

- more than $15,000: use Standard Operating Procedure – Consider and action quotes to action the quote.

## 3.4 Approve the quote

1. Contact the provider. Let them know you are approving the quote for the participant for the quoted amount. Make sure you confirm the amount you are approving. If the provider:

- **Agrees** – go to 3.4.2 Complete the approval

- **Does not agree** – go to 3.4.1 Discuss a verbal offer to vary the quote

### 3.4.1 Discuss a verbal offer to vary the quote

1. If the quote has expired and provider does not agree to provide the item at the quoted amount, calculate 5% increase of the original quoted amount. Add 5% to the quoted amount.

2. Ask the provider if they agree to the new quote amount. You can accept the revised verbal quote. If the provider:

- **Agrees**: go to 3.4.2 Complete the approval

- **Does not agree:** Let them know they will need to submit a new quote. Refer to Standard Operating Procedure – Consider and action quotes for help to reject and re-send the request for quote to the provider in the System.

### 3.4.2 Complete the approval

1. Select **Approve this quote**.



V2.0 2021-07-05          Approve an expired quote less than $15, 000          Page 4 of 7
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**OFFICIAL**
Page 41 of 875

# Standard Operating Procedure

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2.  Complete **User Notes**.



Make sure you include:

- the price, if it is above the price in the **Support Calculator**
- your reasons for approving the quote
- quote assessed by (include your log on details).

3.  Select **Submit**.



4.  The confirmation message displays, select **Yes** to continue.



**Note** If you do not have delegation to approve the quote, you will need to reassign it to someone with appropriate delegation using Standard Operating Procedure – Consider and action quotes.

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**5.** A success message displays, select **Close**.
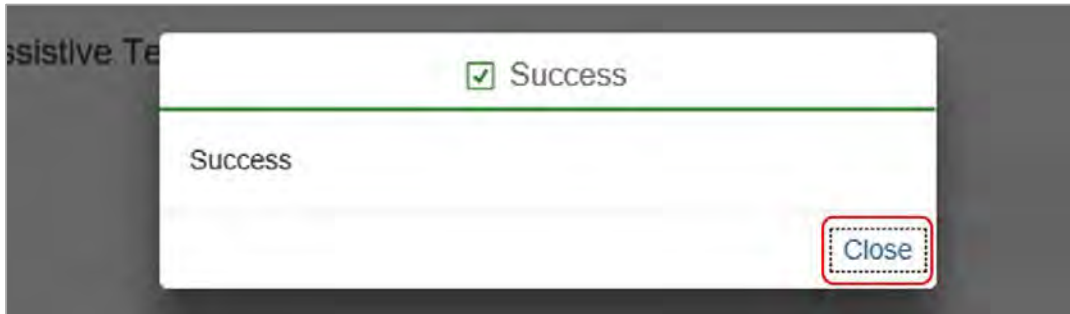


### 3.4.3 Contact the participant

**1.** Contact the participant using their preferred communciation method. Let them know:

- you have approved the quote for the support item in their plan

- their provider will contact them to discuss the next steps. Include any information you confirmed with the provider about how or when they will contact the participant

- their provider will claim for the support from their plan.

### 3.4.4 Create an interaction

**1.** Create an **Interaction** to record your conversations with the participant and the provider. Make sure you include your delegate decision and a summary of the basis for your decision. You can use the followiing template a guide.

> **Category 1:** Pathway
>
> **Category 2**: Planning
>
> **Category 3**: Assistive Technology quote actioned
>
> **Status**: Completed
>
> **Notes**:
>
> **ATHM type:** (enter the item or type of the approved ATHM)
>
> **ATHM assessed by:** NDIS delegate name
>
> **Funding in current plan**: Y/N
>
> **Participant requested/Agency initiated review required:** Y/N
>
> **Supplier/provider**: Supplier/provider name
>
> **Provider contact:** (date and summary of the contact with the provider. Include the existing quote amount, whether the provider agreed to the existing quote amount and any discussion you had to increase the quote amount.
>
> **Agreed quote amount:**

# Standard Operating Procedure

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> **Summary of Decision**: (summary of the approval decision. Include your decision to accept a verbal quote increase up to 5% under the interim arrangement (if applicable). Include how the ATHM supports meet the requirements of S34 of the NDIS Act.)
>
> **Service Booking created:** Y/N
>
> **Participant contact:** (summary of your conversation with the participant advising your ATHM decision.)

## 4.  Related procedures or resources

- Our Guideline – Assistive Technology
- Standard Operating Procedure – Initiate and record quotes
- Standard Operating Procedure – Consider and action quotes

## 5.  Feedback

If you have any feedback about this Standard Operating Procedure, please complete our Feedback Form.

## 6.  Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|-----------------------------|--------|------|
| 1.0 | BIB217 | Class 3 Approval<br><br>Interim SOP to help you approve an expired quote less than $15, 000. This is for quotes dated between 1 December 2020 and 31 August 2021 only.<br><br>Endorsed by General Managers: National Delivery Division, Operations and Support, Participant Experience Design. | APPROVED | 2021-07-05 |
| 2.0 | JS0082 | Class 1 Approval<br><br>Added pre-requisite the quote must be expired. Strengthened a verbal offer to vary the quote is made only if the provider cannot provide the item at the quoted amount. | APPROVED | 2021-07-05 |

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# Add assistive technology capacity building supports in a plan

<span style="color:red">The content of this document is OFFICIAL.</span> This Standard Operating Procedure (SOP) will support you to add funding for capacity building Low Cost, Mid Cost and High Cost assistive technology (AT) supports.

## 1.  Recent updates

| Date | What's changed |
|------|----------------|
| September 2020 | 1.  New SOP format to align with Operational Guidelines refresh. SOPs include process information only. Use Operational Guidelines to help you make decisions and refer to Related procedures or resources.<br><br>2.  You must include a minimum of $500.00 ($700.00 for participant's living in remote or very remote areas) of Capacity Building support for Low Cost AT supports. |

## 2.  Checklist

| Topic | Checklist |
|-------|-----------|
| Pre-requisites | ❑ You have read and understood Operational Guidelines – Assistive Technology.<br>❑ You have determined the reasonable and necessary funding needed to assess, find and set up all of the participant's AT supports.<br>❑ You have received TAB advice, if needed.<br>❑ You have determined what AT is reasonable and necessary.<br>❑ You have included funding for AT supports.<br>❑ You have used the Practice Guide - Hearing Supports to determine Capacity Building supports for participants with hearing loss. |
| Actions | ❑ 3.1 Add Capacity Building supports<br>❑ 3.2 Next steps |

# Standard Operating Procedure

## 3.  Procedure

### 3.1  Add Capacity Building supports

1.  In **Planning – Staff Tasks**, select the **Determine the Funded Supports** task.

2.  The **Determine the Support Needs** form will open. Select **Capacity Building**.



3.  The two capacity building sub-types appear. Select **Capacity Building**.

# Standard Operating Procedure

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4. Include funding in **CB Daily Activity** at **budget** level to assess, source and set up all of the participant's AT supports. The amount of reasonable and necessary capacity building supports will be different for each participant. As a minimum, you need to include $500.00 or $700.00 for participant's living in remote or very remote areas.

   **Note**: To include funding at budget level you increase the amount of funding in the CB Daily Activity Price field (highlighted below) by the amount of funding. This means that you do not use support items to add funding.



5. In the **Comment** section include the following:

   Support from an AT assessor to assist me to select, set up and use my assistive technology.



## 3.2 Next steps

1. Check you have included all other reasonable and necessary supports when completing the **Determine the Funded Supports** task. Refer to relevant planning resources when completing the remaining steps to develop the participant's plan.

V3.0 2020-12-07      Assistive technology - Capacity building supports      Page 3 of 4

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## 4.    Related procedures or resources

- Operational Guidelines – Assistive Technology
- Planning resources Intranet page

## 5.    Feedback

If you have any feedback about this Standard Operating Procedure, please complete our Feedback form.

## 6.    Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---|---|---|---|---|
| 2.0 | BIB217 | Class 3 approval.<br><br>Standard Operating Procedure moved to the new SOP format to be used with the Assistive technology operational guidelines. | APPROVED | 2020-10-07 |
| 3.0 | CW0032 | Class 1 approved.<br><br>Updated links to assistive technology guidance. | APPROVED | 2020-12-07 |

<span style="color:purple">**Standard Operating Procedure**</span>

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# Consider and action quotes

This Standard Operating Procedure (SOP) will help you to consider, approve or reject quotes in the NDIS Business System (System). You will also reassign the quote if it is above your delegation.

## 1.    Recent updates

| Date | What's changed |
|------|----------------|
| February 2022 | Update to align with Our Guideline – Assistive technology changes for mid cost Assistive Technology (AT) supports. For AT, quotes are only required when the item is more than $15,000, or for repairs over $1,500.<br><br>Includes instruction for partners to reassign the quote when it is above the approved total plan value. |

## 2.    Checklist

| Topic | Checklist |
|-------|-----------|
| **Prerequisites** | ❑ A quote required support is recorded in the System for the participant. For more information, refer to Standard Operating Procedure – Initiate and Record Quotes<br>❑ You have received Technical Advisory Branch (TAB) advice, if required. For more information refer to 4.3 Technical Advisory Branch advice for quotable support items<br>❑ You have reviewed the Participant Service Guarantee and are complying with the response timeframe related to your task. |
| **Actions** | ❑ 3.1 Consider the quote<br>❑ 3.2 Approve the quote<br>❑ 3.3 Reject the quote in the System<br>❑ 3.4 Next steps |

## Standard Operating Procedure

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# 3.   Procedure

For more information about quote safeguards, value for money or TAB advice, refer to:

- 4.1 Safeguard for managing quotes in the System

- 4.2 Value for money

- 4.3 Technical Advisory Branch advice for quotable support items

## 3.1   Consider the quote

When you consider the quote, you need to decide if it is in line with the *National Disability Insurance Scheme (Supports for Participant) Rules 2013*. For further information about quotes for specific supports, refer to:

- Our Guideline – Assistive technology

- SOP - Include minor home modification supports in plans

- SOP - Include complex home modification supports in plans

- Our Guideline - Specialist Disability Accommodation

- Technical Advisory Branch mandatory referral criteria

- NDIS Pricing Arrangements and Price Limits on the NDIS website.

1. Check the participant's record and review any **Interactions**, **Inbound Documents** or **Quote Attachments** for information related to the quote required support.

2. To assist you with your decision making:

   - compare the quote amount to the **Product Catalogue** (benchmark price) or the **Support Calculator** in the **Determine the Support Needs** task in the System. **For AT only**: You can also use the AT Budget Tool in PANDA to check the benchmark price.

   - consider whether the quote is value for money. For more information refer to 4.2 Value for money.

3. If you need help with AT quotes contact your Team Leader. Remember for AT you only need a quote if the AT item is more than $15,000, or repairs are more than $1,500.

## Standard Operating Procedure

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4.  If you need another quote from a provider discuss this with the participant. Then initiate a new quote, or ask for an amended quote. For example, the quote supplied did not include all the required specifications for the participant. **No more than two quotes are required**.

5.  If equipment is included in the quote for additional features that are not reasonable and necessary talk to the participant. The participant can choose to make their own arrangements with a provider to pay the additional amount for the higher priced item or features.

## 3.2  Approve the quote

Once you consider the quote, you need to record the details and communicate the decision to the participant, provider and plan developer.

1.  Go to **Implement** in the participant's record and select **Provider Quotations**.



2.  Select the checkbox for the relevant **Open** support item and select **Next**.
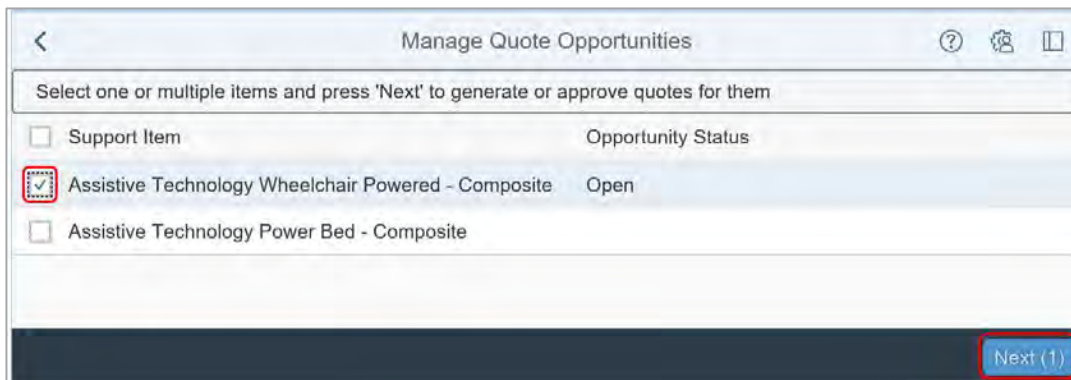


**Note:** You can only approve one quote at a time, if you try to approve more than one, an **Error** message displays. Select **Close** to return to the **Quotations** screen.

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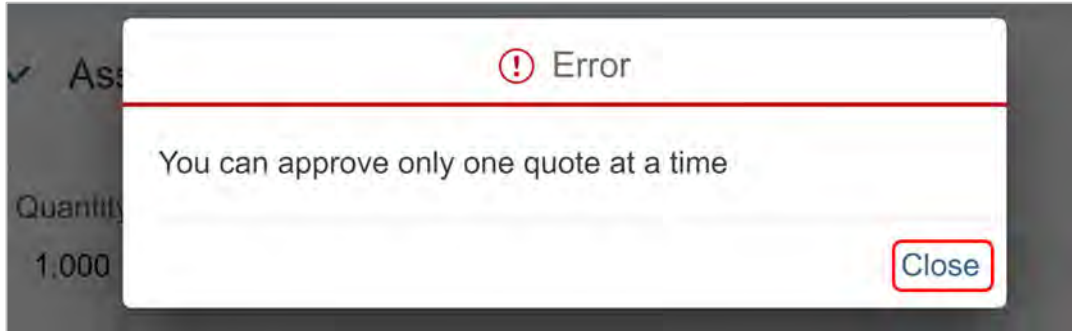


**3.** Expand the quote details. Make sure the quote details recorded, including the **Quoted Amount** are correct.



**4.** Scroll down to see **Attachments.**



**5.** Review any documents attached to the quote for additional information. The provider is able to attach or delete documents to an **Open** quote.

If there are no documents attached check for further information about the quote in **Inbound Documents** or **Interactions**.

**6.** Select **Approve this quote**. You can select **Undo** at any time. When you approve the quote all other quotes for the same item will be automatically closed, as only one quote can be approved for the support.

# Standard Operating Procedure

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**7.** Complete the **User Notes** field.



Details to include:

- the price of the quote if it is above the price in the **Product Catalogue** or **Support Calculator**.

- amount accepted and reasons for approving the quote.

- assessed by (include your log on details)

- quote assessed by the (insert state) Assessment Team (if applicable).

- Please **do not reject this quote** (this is needed if the quote is work flowed to a higher level delegate to be approved).

**8.** Copy the **User Notes** to paste into an interaction at a later step. Select **Submit**.



**Note:** To approve the quote the provider must be registered. If the provider is not registered for this support an **Error** message displays. Select **OK**. To include funding for quotes for non registered providers refer to the Standard Operating Procedure – Initiate and Record Quotes.

**9.** A message displays for you to confirm the total quoted amount, the amount the plan budget will increase (or reduce) to and if you wish to continue.

# Standard Operating Procedure

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- If you select **Yes** and you have the delegation to approve the quote, or the quote is within the approved total plan value, the System will process the approval. Go to Step 10.
- If you select **Yes** and you do not have the delegation to approve the quote the following message will display. You will need to reassign to a delegate with the appropriate delegation in the System.
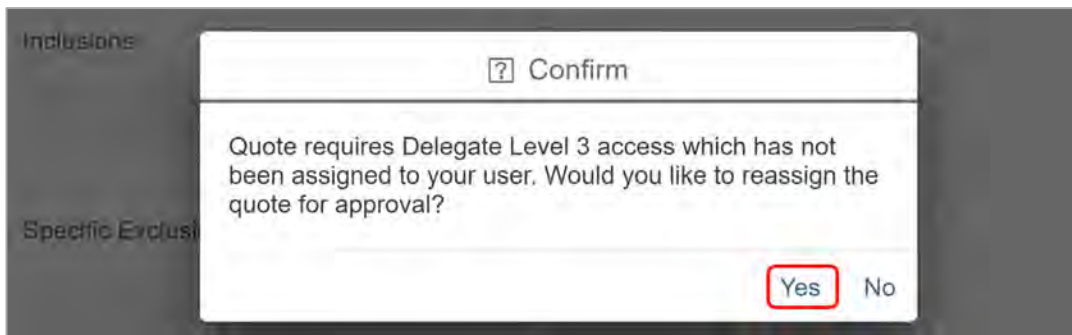


**For NDIA plan developers and delegates:**

- Select **Yes** and go to 3.2.2 Reassign the quote for approval if higher delegation required.
- If you select **No**, an **Error** message displays. Select **Close** and return to the quotations screen to edit the quote details.

**For Partners in the Community:**

- Select **No**. An **Error** message displays. Select **Close** and go to 3.2.3 Reassign the quote from Open Activities.
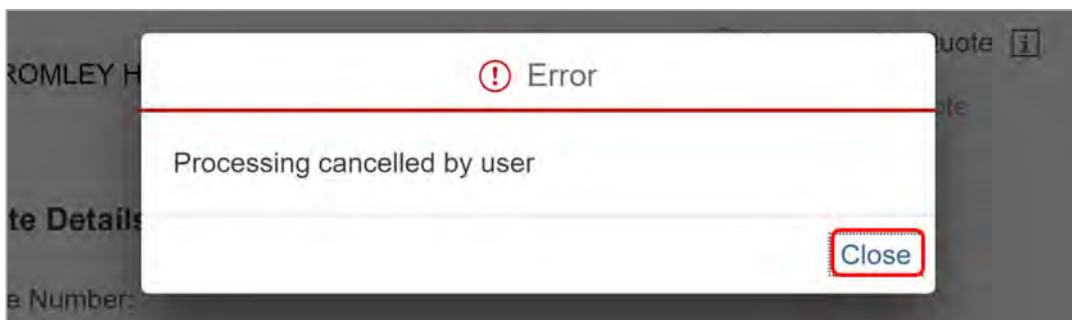
# Standard Operating Procedure

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10. If the provider is registered for the support item, a **Success** message displays. Select **Close**.
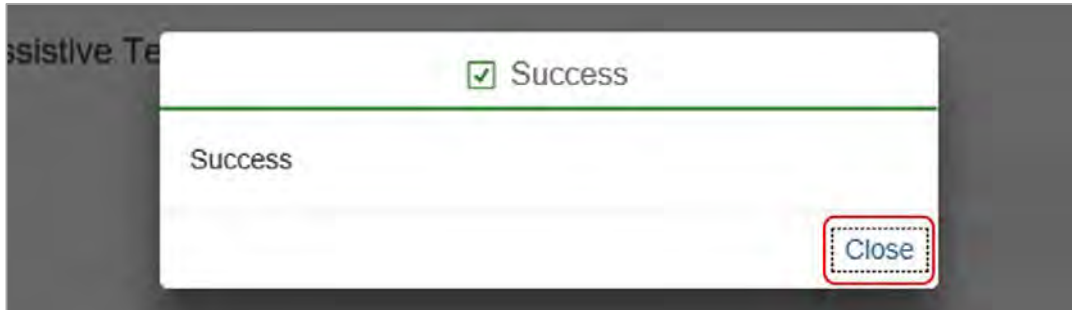


11. **For AT only**, if the quote was reassigned to you, update the Interaction Templates – Planning – Assistive Technology quote ready for approval interaction and change the status to **Completed**.

12. When the quote is approved, funding in the participant's plan automatically updates in the System to the quote accepted amount. The approved amount is available in the myplace portal.

## 3.2.1 Plan Managed quotable items

If the quotable item included in the participant's approved plan is plan managed, complete the steps in 3.2 Approve the quote. Approve the quote to the plan manager directly. The System creates a **Service Booking** for the plan manager automatically.

For Agency managed supports, a **Service Booking** is also automatically generated for the provider if it is a registered provider for the ATHM Registration group.

1. A message displays for you to confirm if you want to approve the quote now or later:

   - if the plan manager is in place – select **Yes**.

   - if the plan manager is not in place select **No** and go to step 3.
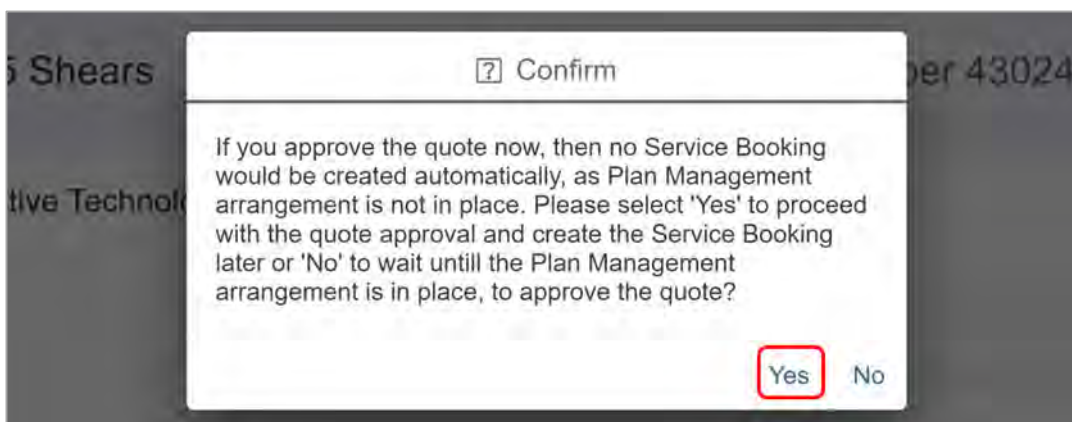
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2. A **Success** message displays, select **Close**.

3. If you selected **No** an **Error** message displays. You will not proceed and can approve the quote later. Select **Close**.
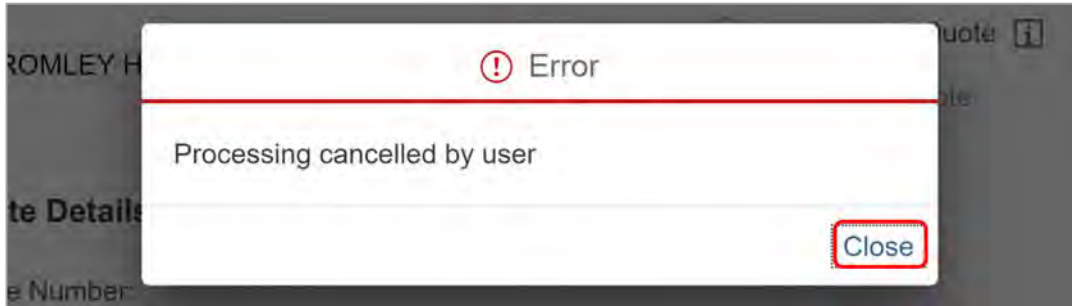


4. An **Alert** is automatically created on the particant's record that a service booking is required.



5. The **Manage Quote Opportunities** screen displays and the **Opportunity Status** is **Closed**. If you re-enter the quotation screen the status **Quote is accepted** displays.
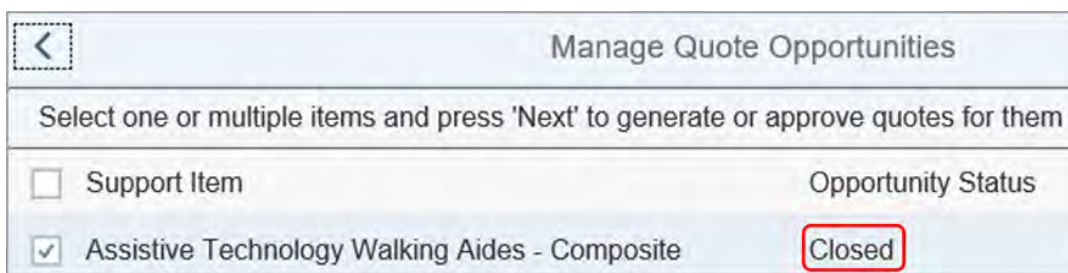


## 3.2.2 Reassign the quote for approval if higher delegation required

Only reassign the quote during approval if you are the delegate who approved the plan, or you received a ATHM Quote work item and it is above your delegation level.

**For Partners in the Community** reassign the quote from **Open Activities** if it needs delegate approval. Refer to 3.2.3 Reassign from Open Activities.

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1. From the **Select Responsible Person** screen enter the First Name, Last Name or User ID of the appropriate approver and select **Search**.



**Note:** Quotes above your delegation must be reassigned to a relevant member from your jurisdiction. To reassign to a team or to the High Decision Delegate (HDD) team for level 4 delegation refer to 3.2.3 Reassign quote from Open Activities

2. You also have the option to complete a blank search and get a list of delegates who can approve the quote. If you want a list of delegates select **Search**.



3. Select a delegate to approve the quote and select **OK**.

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4. A **Success** message displays, select **OK**. A **Work Item** displays in the delegates **Inbox**.
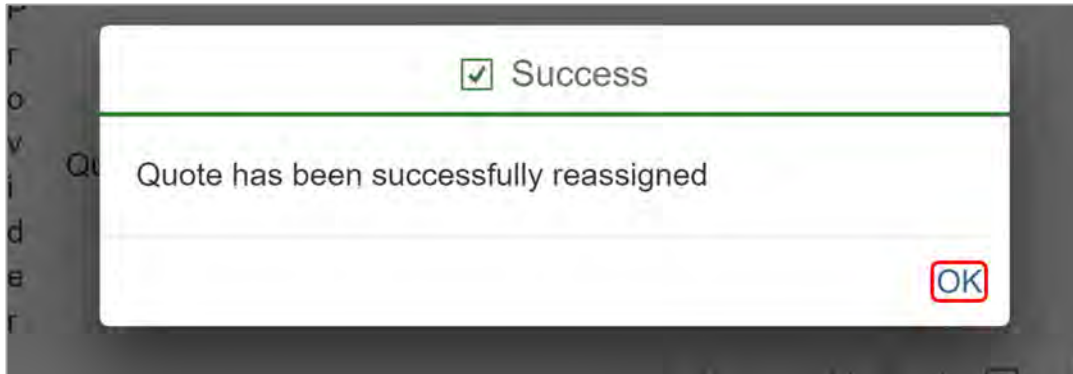


5. **For AT only**, create an open **Interaction** using Interaction Templates – Planning – Assistive Technology quote ready for approval.

### 3.2.3 Reassign quote from Open Activities

Reassigning the quote for approval from **Open Activities** should be completed by:

- the delegate who approved the plan

- you if you received the **ATHM Quote** work item and it is above your delegation level

- the Partner in the Community who has received the **ATHM Quote** work item and it is above the approved total plan value.

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1. From the **Participant Account** screen, select **Internal Use**, **Open Activities** and **Reassign** the **Quote Receipt Notification**.



2. Select the expander to choose the **Team** or **Employee** to assign to.



- **For NDIA plan developers and delegates:** Quotes above your delegation must be reassigned to a relevant member from the selection list within your State or Territory.

- **For Partners in the Community:** If a quote is above the approved total plan value, reassign the quote to the **Return to Service Delivery and Performance (RTS)** inbox for your State or Territory. For more information refer to the Standard CRM inbox structure.

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- **Level 4 delegation** - NDIA plan developers, delegates and Partners in the Community should reassign to **SDS SDSA RFA/ SDSA Ready for Approval** for High Decision Delegate (HDD) team.

3.   The **Success** message displays, select **OK**.
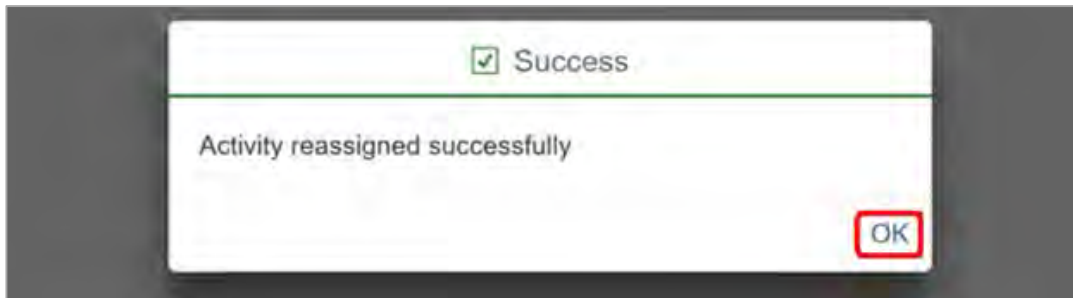


4.   **For AT only,** create an open **Interaction** using Planning Templates – Assistive Technology quote ready for approval. You may be contacted by the higher delegate if they need more information.

## 3.3   Reject the quote in the System

Before you reject the quote in the System, you will need to make sure the participant is advised, you have explained any available options and an **Interaction** is recorded.

**Only delegates with appropriate delegation levels can reject a quote.** Partners in the Community should not reject a quote in the System.

If you do not accept the quote, you should:

1.   Contact the participant or authorised representative and advise the reason the submitted quote has not been accepted. For example, the submitted quote includes additional features that are not necessary for the participant to achieve their goals.

2.   Explain they have the option to submit a revised quote for the support from the same provider, or another provider.

   **Note**: You are able to re-open a rejected/closed quote from the same provider as many times as required. Once a quote from a provider has been rejected, another quote can be raised for this item from the same provider.

3.   Explain the participant has the right to choose a more expensive option at their own expense (less the NDIS reasonable and necessary amount for the support), if they prefer the more expensive item. Advise the participant to discuss payment arrangements directly with the supplier. Where possible, an updated quote showing the NDIS funding and any contribution from the participant or other source, for any other

## Standard Operating Procedure

For Internal Use Only

features is preferred. The quote can then be edited and accepted in the System for the adjusted amount to match the agreed NDIS funding to be provided.

**4.** From the **Implement** screen, select **Provider Quotations**.
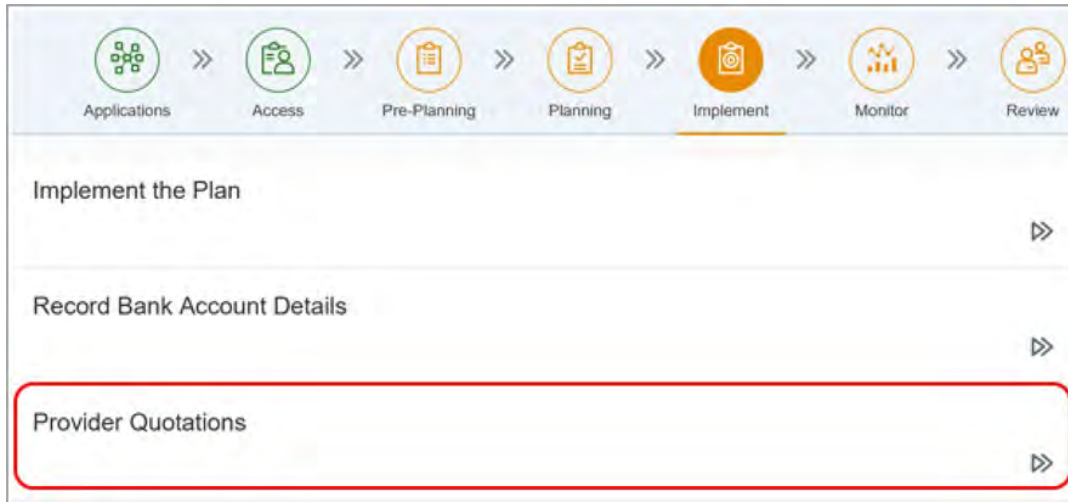


**5.** The **Manage Quote Opportunities** screen displays. The opportunity status is **Open**.



**6.** Select the checkbox for the support item and select **Next**.
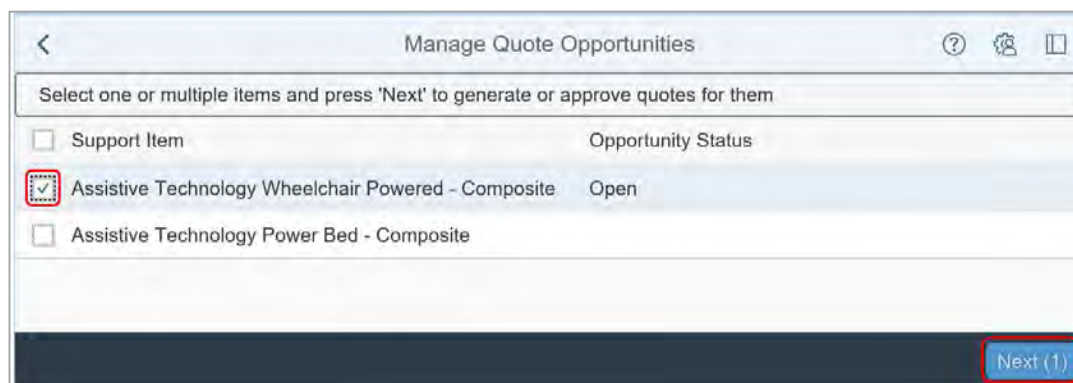
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# Standard Operating Procedure

For Internal Use Only

7. Select **Reject this Quote**.



8. The **Undo** button is now active.Select **Undo** to remove the check box next to **Reject this Quote**, if required



9. Select the expander and complete the **User Notes** field. Record your reasons for rejecting the quote.



**Note**: An **Error** message displays if you do not complete the **User Notes**. Select close and complete the **User Notes** to continue.

10. Select **Submit**.

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**11.** A **Success** message displays. Select **Close**.
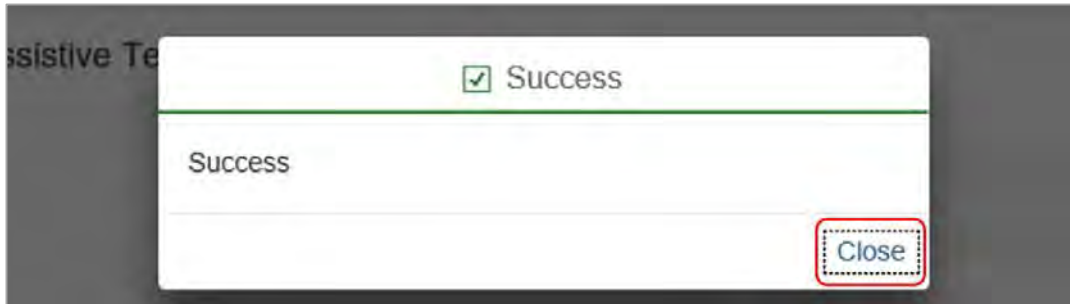


**12.** From the **Quotations** screen the status is automatically updated to **Quote was unsuccessful.**
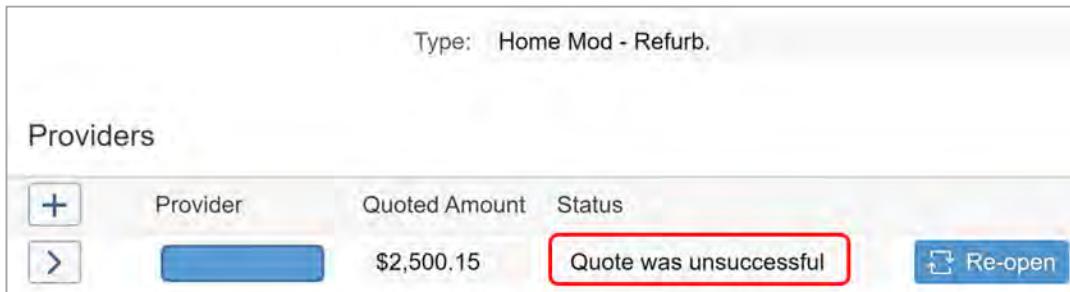


**13.** You can re-open a rejected quote to edit the details or send the quote back to the provider. To edit the quote amount select **Re-open**.
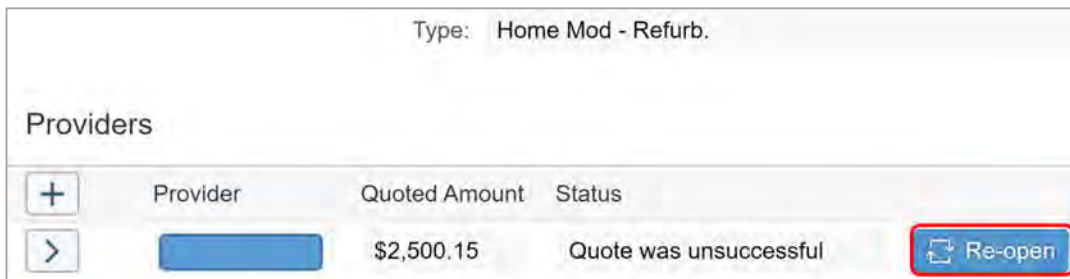
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**14.** Select **Re-open** again and **Submit**.



**15.** A **Success** message displays. To return to the **Quotations** screen to make changes to the quote, select **OK**.

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For Internal Use Only

**16.** You can resubmit the quote to the same provider as it is, or you can change the **Price** or **User Notes**. Select **Yes** at **Update Details** and update detalis if needed.



**17.** Select **Send to Provider**.



**18.** Select **Submit**.

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19. A **Success** message displays. To return to the **Quotations** screen to make changes to the quote. Select **OK**.
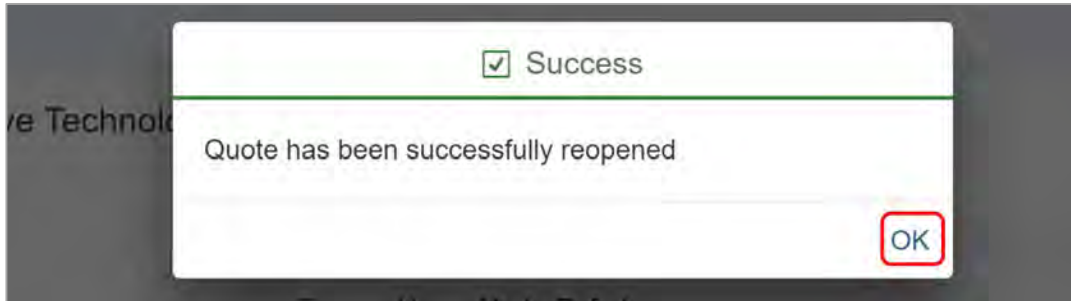


20. Create a closed **Interaction** and record the details of your conversation with the participant, including the details of the options available to them.

## 3.4  Next steps

1. Contact the participant and let them know if the quote for their AT is approved. Also contact the following, if relevant:

- the AT provider

- the plan manager, if a plan manager is appointed

- the plan developer, if you did not develop the plan.

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# 4.   Appendices

## 4.1   Safeguards for managing quotes in the System

- Partners in the community can approve quotes if the cost of the plan remains within the approved total plan value.

- If the quote increases the total plan amount above the delegation of the original approver, the System prevents approval of the quote. The quote approval will need to be reassigned to a delegate with the required delegation to approve the quote.

- A quote can only be approved for one provider for each support item. Once a quote is approved, any quotes from other providers for the same item will be automatically closed in the System.

- If a quote is approved for less than the support item price, the remaining funds cannot be claimed. A further quote cannot be raised for the same item.

- Multiple quotes cannot be accepted for the same support item.

- The details of the partner or delegate who approves or the delegate who rejects the quote are recorded in the System.

- A quote can be approved as long as the participant's plan is active.

## 4.2   Value for Money

There may be times where items on a quote are not considered value for money. Some examples are:

- Another support would achieve the same outcome at a substantially lower cost. For example, a mattress with the same specifications can be sourced from another supplier for a cheaper price.

- If the participant has chosen additional features for their AT support that do not relate to their disability. For example, a metallic blue paint finish for a wheelchair.

If there are items on a quote you do not consider value for money, you should:

- contact the participant to discuss your decision

- request a new quote without the features which are not reasonable and necessary

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- discuss whether the participant would like to make their own arrangements with the provider to pay for any additional features that do not meet reasonable and necessary criteria

- provide time for the participant to submit the new quote prior to plan approval. If the quote is not received prior to plan approval, you cannot approve the item and will need to complete a plan review when the quote is received.

### 4.3 Technical Advisory Branch advice for quotable support items

If you are not sure if the quote and assessment match the justification for the support in the current approved plan you should talk to your team leader. If further advice is then required, refer to the Technical Advisory Branch (TAB) for advice using the TAB Making a Request intranet page.

For assistive technology you only need to ask for a quote if the item is more than $15,000. If there is a large difference between the price on the quote and the benchmark value (more than 10%). You will also need to refer to TAB for any supports listed as needing mandatory referral on the AT Mandatory TAB Request intranet page.

If, following TAB advice, you make a decision that the support meets the reasonable and necessary criteria you can approve the quote. You should also contact the TAB if the person providing the assessment is the same as the supplier to determine if there is any perceived or actual conflict of interest.

For home modifications where the quote is higher than the benchmark (more than 20%) in the support calculator you should refer to the TAB for advice. All Complex home modifications, are required to be referred to the TAB. For further information, refer to the HM Mandatory TAB Request advice page.

## 5.   Related procedures or resources

- *National Disability Insurance Scheme Act 2013*
- *National Disability Insurance Scheme (Supports for Participant) Rules 2013*
- NDIS Our Guidelines
- Standard Operating Procedure – Initiate and Record Quotes

## 6.   Feedback

If you have any feedback about this Standard Operating Procedure, please complete our

## Standard Operating Procedure

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Feedback form.

# 7. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|------------|---------------------------|--------|------|
| 1.0 | JC0075<br><br>AGV957 | Class 2 Approved<br><br>Endorsed by Partner Performance Branch<br><br>New resource created by separating Standard Operating Procedure – Manage Quotations into Standard Operating Procedure – Initiate and Record Quotes and Standard Operating Procedure – Consider and Action Quotes | APPROVED | 2020-09-24 |
| 2.0 | JS0082 | Class 2 Approval<br><br>Updated instruction to reassign to HDD inbox. | APPROVED | 2020-09-28 |
| 3.0 | JS0082 | Class 1 approval<br><br>Sentence on PED KPIs included in Pre-requisites to encourage compliance with KPIs relevant to pre-planning.<br><br>General updates to wording and formatting for consistency and readability. | APPROVED | 2020-12-22 |
| 4.0 | CW0032 | Update to align with Our Guideline – Assistive Technology (AT) changes for mid cost supports. Quotes are only required when the AT item is more than $15, 000. Includes instruction for partners to reassign the quote if it above the approved total plan value. | APPROVED | 2022-01-31 |

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# Add funding for repairs, maintenance, rental and trial of assistive technology supports

This Standard Operating Procedure will help you to add funding for repairs, maintenance, rental and trial of the participant's assistive technology (AT).

## 1.    Recent updates

| Date | What's changed |
|------|----------------|
| February 2022 | Update to align with Our Guideline – Assistive technology changes for mid cost AT supports.<br><br>New procedure to add funding for short term rental for AT up to $15,000. This includes temporary rental if the participant is on holiday or if their AT is not available because of repair. There is no quote required. |
| September 2020 | New SOP format to align with Operational Guidelines refresh. SOPs include process information only. Use Operational Guidelines to help you make decisions and refer to Related procedures or resources. |

## 2.    Checklist

| Topic | Checklist |
|-------|-----------|
| **Prerequisites** | You have:<br><br>❑ read and understood Our Guidelines – Assistive technology<br>❑ received Technical Advisory Branch (TAB) advice, if needed<br>❑ checked the participant's record for any AT interactions or inbound documents, including in the ATHM tile<br>❑ discussed with the participant their preferred plan management option<br>❑ checked if the participant has a diagnosis of Motor Neurone Disease (MND). For information about rental and trial of AT for participants with a diagnosis of MND refer to Practice Guide – Motor Neurone Disease. |

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| Topic | Checklist |
|---|---|
| | ❑ checked if the participant's AT request relates to:<br>  ○ a primary request of a participant requested review (s 48 request)<br>  ○ a primary request of a review of a Reviewable Decision (s 100 request)<br>  ○ a complaint about AT supports in the Feedback tile.<br><br>**Note:** If the request relates to one of the above, it is your responsibility to make sure the right business area actions the request. Talk with your team leader if you need further advice. |
| Actions | ❑ 3.1 Calculate funding for minor repairs, maintenance, trial and short-term rental<br>❑ 3.2 Add funding for repairs and maintenance<br>❑ 3.3 Add funding for rental of AT supports<br>❑ 3.4 Add funding for trial of AT supports<br>❑ 3.5 Next steps |

## 3. Procedure

### 3.1 Calculate funding for minor repairs, maintenance, trial and short-term rental

1. Calculate the amount of funding the participant needs for minor repairs, maintenance, trial and short-term rental of the participant's AT supports using:

   - 3.1.1 Calculate funding for minor repairs and maintenance

   - 3.1.2 Calculate funding for short-term rental

   - 3.1.3 Calculate funding for minor trial

#### 3.1.1 Calculate funding for minor repairs and maintenance.

1. Talk to the participant about the minor repairs and maintenance they may need for their AT equipment. You can use their past experience as a guide for the amount of funding they may need. If you are unsure refer to Fact sheet – Assistive technology – Guide for annual repairs and maintenance funding. You can also discuss with your team leader

2. Identify all the participant's AT items.

3. Calculate the annual cost of any minor repairs and maintenance for all their AT items. Use information from your conversation with the participant or the Fact sheet – Assistive technology – Guide for annual repairs and maintenance funding.

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial     Page 2 of 16
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Page 71 of 875

**Standard Operating Procedure**

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4. Adjust this amount to reflect the length of the participant's plan. For example, if it is a 36 month plan multiply the annual amount for minor repairs and maintenance by 3.

5. Go to 3.2 Add funding for repairs and maintenance.

### 3.1.2 Calculate funding for short-term rental

Requests for short-term rental may come from the participant, or from evidence provided by their assistive technology advisor or assessor. Use the evidence they provide to decide the amount of funding needed. If you do not have evidence refer to Fact sheet - Assistive Technology - Guide for minor trial and rental funding. You can also discuss with your team leader.

1. Calculate the annual cost of any short-term temporary rental for all their AT items. Use information from the assistive technology advisor or assessor and your conversation with the participant. You can also refer to Fact sheet - Assistive Technology - Guide for minor trial and rental funding.

2. Adjust the amount to reflect the participant's plan duration, if needed. For example, if the participant will need short term rental each year and the plan is 24 months, multiply the yearly amount for short-term rental by 2.

3. Check if there are enough flexible funds in the participant's assistive technology budget for their rental needs. You need to add extra funding for temporary rental if there is not enough for their reasonable and necessary rental needs. For example, they may need short term AT rental when on holiday or when their AT is not available because of repair.

4. Go to 3.3 Add funding for rental of AT supports.

### 3.1.3 Calculate funding for minor trial

1. You may receive requests for minor trials from participants to help them and their assistive technology advisors or assessors prepare evidence to request mid and high cost AT supports. Use the evidence they provide to decide the amount of funding they need for the trial. If you do not receive this information refer to Fact sheet - Assistive Technology - Guide for minor trial and rental funding.

2. Check if there are enough flexible funds in the participant's assistive technology budget for their AT trial needs. You need to add additional funding for AT trial if there is not enough for their reasonable and necessary trial needs.

3. Go to 3.3 Add funding for trial of AT supports.

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial      Page 3 of 16
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Page 72 of 875

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## 3.2 Add funding for repairs and maintenance

### 3.2.1 Add funding for minor repairs and maintenance (up to $1,500)

You add funding for minor repairs and maintenance supports differently depending on how the participant has chosen to manage their AT supports:

- For **self-managed** or **plan-managed** supports add the total amount of funding as Low Cost AT supports using the Standard Operating Procedure – Assistive Technology - Low Cost.

- For **Agency** managed supports continue to step 1.

1. Calculate the funding for minor repairs and maintenance using information from the evidence provided by the participant or an assistive technology advisor or assessor. If you do not receive this information from the participant refer to the Fact sheet – Assistive technology – Guide for annual repairs and maintenance funding. Make sure you consider the support the participant needs if they have more than one AT item.

2. In **Determine the Support Needs** task, select **Capital**.



3. Adjust the yearly repairs and maintenance amount for the length of the plan. For example, if it is a 36 month plan, multiply the amount by 3.

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial     Page 4 of 16
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Page 73 of 875

**Standard Operating Procedure**

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4.  Increase the **Assistive Technology** budget by the amount of funding needed for minor repairs and maintenance. Do **not** use the support calculator.



In this example the **Capital - Assistive Technology** budget is $21,854.00 and you need to add $2650.00 for repairs and maintenance at budget level. You need to increase the funding in the **Captial – Assistive Technology** budget to $24,504.00.

5.  In the **Assistive Technology** section add the following to any existing comments in the **Comments** field.

> Funding of $xxxx is for repair(s) and maintenance of [equipment types]. An assessment and quote are not required for this support.



### 3.2.2  Add funding for major repairs – quote required

Add funding for major repairs for high cost wheeled mobility or prosthetic AT items that may require repair.

1.  In the **Determine the Support Needs** task, select **Capital**.

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2. Select the expander in the **Price** field of **Assistive Technology** to open the **Support Calculator**.



3. Select **Add Row** (plus sign).

## Standard Operating Procedure

For Internal Use Only

4. In the **Product** field, use the search term **Major** to search for and select the relevant major repair item.



5. In the **Assistive Technology** section add the following to any existing comments in the **Comments** field.

> For repairs over $1,500 you need to submit a quote to the NDIA.



### 3.3   Add funding for rental of AT supports

#### 3.3.1  Add funding for short term rental

You need to include funding for short term rental for all participants with AT with a value of more than $1,500. This is so they can access temporary rental if their AT is not available because of repair, or to rent AT on a holiday. There is no quote required.

1. In the **Determine the Support Needs** task, select **Capital**.

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial      Page 7 of 16
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**OFFICIAL**
Page 76 of 875

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# Standard Operating Procedure

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2. Check if there is enough flexible funding in the participant's **Assistive Technology** budget for their rental needs. For example if they have funding to buy a shower commode with a price range up to $4,200, and their AT budget has $5,000 they could use up to $800.00 to rent equipment when they are on holiday.

3. If there is not enough funding for the participants reasonable and necessary rental supports, increase the **Assistive Technology** budget by the amount of funding needed for short term rental. Do **not** use the support calculator.



In this example the **Capital - Assistive Technology** budget is $21,854.00 and you have calculated $300.00 for short-term rental. You add funding to the **Captial – Assistive Technology** budget and increase the amount to $22,154.00.

4. In the **Assistive Technology** add a **Comment** describing the support. Use the following example as a guide:

Funding of $xxxx is for short-term rental of assistive technology equipment.

# Standard Operating Procedure

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### 3.3.2 Add funding for major rental

For all major rentals, you need evidence from an assistive technology advisor or assessor. AT rental costing over $15,000 needs a quote. Add funding for the reasonable and necessary amount.

1. Select the expander in the **Assistive Technology price** field to open the **support calculator**.



2. Select **Add Row** (plus sign).

# Standard Operating Procedure

For Internal Use Only

3.  In the **product field**, use the search term **Rental** to search for and select the rental item related to the AT item. Refer to 4.1 – Rental support items.



4.  Update the **Quantity** and **How Often** field as required. Change the **Quantity** to the amount the participant needs for AT rental. Use the evidence provided to check the amount. At **How Often** select the option for the amount of support the participant needs during their plan.

    Do **not** change the **Item Type** or tick **Quote Required.**



5.  Select **Done** to return to **Determine the Supports Needs.**

6.  In the **Comments** section add the following:

    Funding of $xxxx is for rental of [equipment types].

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## 3.4 Add funding for trial of AT supports

### 3.4.1 Add funding for minor trial

1. In the **Determine the Support Needs** task, select **Capital**.



2. Check if there is enough flexible funding in the participant's **Assistive Technology** budget for their trial needs

3. If there is not enough funding for their reasonable and necessary trial needs, increase the **Assistive Technology** budget by the amount of funding needed for minor trial for the duraton of the plan. Do **not** use the support calculator.

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4.  In the **Comments** section add the following:

    Funding of $xxxx is for minor trial of assistive technology equipment.

### 3.4.2 Add funding for longer trials

For all trials, other than short term trials, you need evidence from assistive technology advisors or assessors. For AT items costing more than $15,000 refer to the quote to add funding for the reasonable and necessary amount.

1.  Select the expander icon in the **Assistive Technology price** field to open the **support calculator**.



2.  Select **Add Row** (plus sign).



3.  In the **product field**, use the search term **Rental** to search for and select rental item related to the AT item.

# Standard Operating Procedure

For Internal Use Only



4. Update the **Quantity** and **How Often** field as required. Change the **Quantity** to the amount the participant needs for AT trial. Use the evidence provided to check the amount. At **How Often** select the option for the amount of support the participant needs during their plan.

   Do **not** change the **Item Type** or tick **Quote Required.**



5. Select **Done** to return to **Determine the Supports Needs.**

6. In the **Comments** section add the following:

   Funding of $xxxx is for trial of [equipment types] as recommended by an assistive technology <advisor or assessor> to determine suitability.

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### 3.5 Next Steps

1. Check you have included all other reasonable and necessary supports when completing the **Determine the Funded Supports** task. Refer to relevant planning resources when completing the remaining steps to develop the participant's plan.

## 4. Appendix

### 4.1 Rental support items

- **AT Rental - Assistive Products for Respiration Support**: 05_040312115_0103_1_2

- **AT Rental - Prosthetic and Orthotic:** 05_060000115_0135_1_2

- **AT Rental - Products for Personal Care and Safety:** 05_090000155_0103_1_2

- **AT Rental - Personal Mobility and Transfer:** 05_120000115_0105_1_2

- **AT Rental - Vehicle modified for Access:** 05_121227125_0108_1_2

- **AT Rental - Assistive Products for Household Tasks:** 05_150000115_0123_1_2

- **AT Rental - Vision support or alternate access:** 05_220300115_0113_1_2

- **AT Rental - Hearing Devices and Accessories:** 05_220600112_0122_1_2

- **AT Rental - Communication and Computer access:** 05_300000115_0112_1_2

- **AT Rental - Modified equipment for accessible recreation:** 05_300000115_0112_1_2

## 5. Related procedures or resources

- Our Guidelines - Assistive technology

- Fact sheet – Assistive technology – Guide for annual repairs and maintenance funding

- Fact sheet – Assistive technology – Guide for minor trial and rental funding

- Standard Operating Procedure – Assistive Technology – Mid Cost

- Standard Operating Procedure – Assistive Technology – High Cost including replacement

- Standard Operating Procedure – Assistive Technology - High Cost - No quote provided

- Standard Operating Procedure – Initiate and Record Quotes

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial    Page 14 of 16
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Page 83 of 875

**Standard Operating Procedure**

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- [Standard Operating Procedure – Consider and Action Quotes](#)
- [Planning resources Intranet page](#)

# 6. Feedback

If you have any feedback about this Standard Operating Procedure, please complete our [Feedback form](#).

V4.0 2022-02-25 Assistive Technology - Repairs, maintenance, rental and trial    Page 15 of 16
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**OFFICIAL**
Page 84 of 875

**Standard Operating Procedure**

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## 7. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|---------------------------|--------|------|
| 2.0 | BIB217 | Class 3 approval.<br><br>Standard Operating Procedure moved to the new SOP format to be used with the Assistive technology operational guidelines. | APPROVED | 2020-10-07 |
| 3.0 | CW0032 | Class 1 approved.<br><br>Updated links to assistive technology guidance. | APPROVED | 2020-12-07 |
| 4.0 | CW0032<br>AGV957<br>LS0042 | Class 2 approval<br><br>Update to align with Our Guideline – Assistive technology changes for mid cost AT supports. | APPROVED | 2022-02-25 |

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# Complete the determine the funded supports task

This Standard Operating Procedure (SOP) will help you complete the Determine the Funded Supports task in the NDIS Business System (System).

**Note:** The age range is changing for the NDIS early childhood approach. From July 1 2023, the age will change to include children younger than 9. The change will be rolled out over the next 2 years. Early childhood partners will need to use this resource to plan for children aged 7 or 8.

To plan for children younger than 7, refer to Standard Operating Procedure – Determine the funded supports in early childhood.

## 1.    Recent updates

| Date | What's changed |
|------|----------------|
| July 2023 | Updates to support early childhood partners to plan for children aged 7 or 8. |
| February 2023 | The SOP – Include financial management capacity building supports will be decommissioned. Link added to new SOP – Include capacity building and training in self-management. |

## 2.    Checklist

| Topic | Checklist |
|-------|-----------|
| **Prerequisites** | You have: <br> ❑ read and understood the Age range change <br> ❑ decided what reasonable and necessary supports to include using Our Guideline – Reasonable and necessary supports <br> ❑ viewed and understood the Participant Experience Delivery (PED) Key Performance Indicators (KPIs) and are complying with the PED KPI and target relevant to this task <br> ❑ checked the primary disability is correct |

## Standard Operating Procedure

For Internal Use Only

| Topic | Checklist |
|---|---|
| | ❑ checked the appropriate functional impact assessment tool is complete and attached to the participant's record<br>❑ checked contacts and communication preferences for the participant are up to date<br>❑ completed all relevant pre-planning tasks<br>❑ checked if a mandatory referral to Technical Advisory Branch (TAB) is required for any supports. Refer to <u>TAB - Requesting Advice</u>.<br><br>If no reasonable and necessary supports are identified, you have:<br><br>❑ decided the participant's mainstream, community and/or informal supports meet their current support needs<br>❑ made this decision using <u>Our Guideline – Reasonable and necessary supports</u><br>❑ completed all relevant pre-planning tasks. |
| **Actions** | If reasonable and necessary supports are identified:<br><br>❑ <u>3.1 Generate the support plan</u><br>❑ <u>3.2 Adjust the Typical Support Package (TSP)</u><br>❑ <u>3.3 Use the support calculator to add specific supports</u><br><br>If no reasonable and necessary supports are identified:<br><br>❑ <u>3.4 No reasonable and necessary supports identified</u> |

**Standard Operating Procedure**

For Internal Use Only

## 3. Procedure

### 3.1 Generate the support plan

1. In **Planning – Staff Tasks**, select the **Determine the Funded Supports** task.

2. The **Determine the Support Needs** screen displays. There are three **Support Types** in the plan budget: **Core, Capacity Building** and **Capital**.

   - If this is the participant's first plan the values displayed are zero. Go to **Step 11** to generate the support plan.

   - If this is a plan reassessment, this screen may display amounts from the previous plan. If you are completing a full plan review you need to delete these amounts and any related support items before generating the support plan. Go to **Step 3.**



**Notes:**

- When you develop the plan, make sure you save regularly to prevent loss of data.

- Supports added using the support calculator and later removed may still appear in the Finalise Plan and Approve task. Check the plan budget reflects your reasonable and necessary decision. Make sure you check the plan budget before you submit the plan for approval or approve the plan.

V8.0 2023-06-19        Complete the Determine the Funded Supports task        Page 3 of 20
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 88 of 875

# Standard Operating Procedure

For Internal Use Only

**3.** Select the relevant support category. For example, select **Core**.



**4.** The **Core** support categories display. Open the **Support Calculator** (two overlapping boxes) for the relevent support category. For example, select **Daily Activities**.



**5.** Select **Delete** (trash can) to remove any support items from the previous plan, if needed. Select **Done**.

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# Standard Operating Procedure

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6. If you delete any support items, the message **Do you want to increase the Support Category Price** displays. Select **No**.



7. The **Core** support categories screen displays. Delete the amount showing in the **Daily Activities** support category.



8. Repeat **Steps 3-7** for each support category as needed.

9. When you are finished, return to the **Determine the Support Needs** screen. Check you have removed all funding that is not reasonable and necessary. Select **Save**.

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10. A success message displays. Select **Yes**.

11. Return to the **Determine Funded Supports** task. Select **Generate Support Plan**.



**Note:** If you select **Per Week** in the **Support Calculator** the **Frequency** will calculate to the whole number without rounding up. For example, a 365 day plan is 52.14 weeks. This means the **Frequency** default calculation is 52 instead of adjusting to 53. This happens automatically when you use the **Generate Support Plan** button.

12. A confirmation message displays. Select **Ok**.

13. The support plan made up of the Typical Support Package (TSP) displays.

# Standard Operating Procedure

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**Notes:**

- Make a note of the TSP amounts before you make any changes. This will help you determine if your changes increase the TSP by more than 10%.

- The TSP generates Core supports in line with the length of the plan. For example, a 24 month plan will include 24 months of Core supports.

- Capacity Building (CB) and Capital supports generate based on a 12 month plan. This is because most CB and Capital supports are time limited or once off supports. You must consider the participant's circumstances and adjust the supports needed for the length of the plan.

## 3.2 Adjust the Typical Support Package (TSP)

1. Select **Core**.



2. TSP funds will show in categories linked to the participant's support needs and goals.

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3. The **Participant Goals** are below the support categories. Check the goals are aligned correctly to the goal type before you adjust the TSP. Return to the **Participant Statement** task if you need to make changes.

| Participant Goals | | |
|---|---|---|
| Goal Category | Goal Type | Goal |
| Medium to Long Term Life Goals | | test |
| Plan Goals | Daily life | I would like to learn to manage my own money so I can pay for things myself and save money to go on holiday with my friends. |

4. Use reasonable and necessary decision making and adjust the TSP if needed.

5. Include the following comment in the **Daily Activities Comment** field:

I can use core support funding flexibly to help with daily activities and my current disability related needs. It will also help me to work towards pursuing my goals. This may include supports to sustain my informal supports such as respite.

| Support Category | Price $ | Comment |
|---|---|---|
| Consumables | 0.00 | |
| Daily Activities | 4,006.44 | I can use my core support funding flexibly to help with my daily activities, my current disability related needs |

**Notes:**

- The supports from these Core support categories display as one flexible budget on the participant's plan. Comments also appear on the participant's plan.

- For funds to be used flexibly the support categories must have the same plan management type.

- Participants can use their Core funding flexibly even if no funding is allocated to the support category.

- You must record comments for fixed (stated) supports. The comments must clearly describe the intent of the support.

- Before making a Core support item fixed (stated), you must consider:
  - the impact on flexibility for the participant and their providers

V8.0 2023-06-19       Complete the Determine the Funded Supports task       Page 8 of 20
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**OFFICIAL**
Page 93 of 875

**Standard Operating Procedure**

For Internal Use Only

- o  if the support item is categorised by the time of day or by the days of the week. Making this type of support item stated will reduce the participant's choice over when they receive their supports.

- You may need to add comments for specific supports. Go to the [Planning intranet page](#) and search for the guidance you need by topic.

- Keep a copy of your comments off the System, for example in a word document. This will help you when the System overrides your comments with its usual summary of the included supports.

6. The Periodic transport check box next to the Transport support category is ticked by default. Untick the transport funding box if the participant's transport funding will be either:

- Agency-managed

- Plan-managed

- the participant does not want their transport as a periodic payment.

You must refer to [Standard Operating Procedure – Add transport supports to the participant's plan](#) for guidance on including transport funding in the plan.

| Transport | 1,783.50 | Support to access work, study and community activities. | ☑ |

7. Go back to the **Determine the Supports Needs** screen. Select **Capacity Building**.

| Determine the Support Needs | |
|---|---|
| **Support Type** | |
| Support Type | Price $ |
| Core | 5,961.00 |
| Capacity Building | 5,985.98 |
| Capital | 2,601.00 |

V8.0 2023-06-19     Complete the Determine the Funded Supports task     Page 9 of 20
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**OFFICIAL**
Page 94 of 875

## Standard Operating Procedure

For Internal Use Only

8. The **Capacity Building** support screen displays.

| Support Type > Support Category | | |
|---|---|---|
| Support Category | Price $ | Comment |
| Capacity Building | 5,924.80 | |
| Support Coordination | 1,092.90 | |

9. **Participant Goals** are listed below the support categories. Check the goals align correctly to the participant's goal type before you adjust the TSP. Return to the **Participant Statement** task if you need to make changes.

| Participant Goals | | |
|---|---|---|
| Goal Category | Goal Type | Goal |
| Medium to Long Term Life Goals | | test |
| Plan Goals | Daily life | I would like to learn to manage my own money so I can pay for things myself and save money to go on holiday with my friends. |

10. Select **Capacity Building**.

| Support Type > Support Category | | |
|---|---|---|
| Support Category | Price $ | Comment |
| Capacity Building | 5,924.80 | |
| Support Coordination | 1,092.90 | |

11. Eight support categories display. Capacity building funding generated by the TSP defaults to **CB Choice and Control**. Use reasonable and necessary decision making and adjust the TSP if needed.

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# Standard Operating Procedure

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**Notes:**

- You need to apply reasonable and necessary decision making even if no funding has generated in the **CB Choice and Control** budget.

- Unlike the core support budget, CB supports are only flexible in the same CB support category. For example, funding from CB Daily Activity can be used flexibly across all non-stated support items in the CB Daily Activity budget. However, this funding is not flexible to purchase supports from other CB budgets.

- Funding for plan management support does not generate in the TSP. If a participant is using a registered plan manager, you must include funding for plan management support items in **CB Choice and Control**. For more information refer to:
  - Standard Operating Procedure – Include plan management support items
  - Standard Operating Procedure – Include capacity building and training in self-management supports.

V8.0 2023-06-19        Complete the Determine the Funded Supports task        Page 11 of 20
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**OFFICIAL**
Page 96 of 875

# Standard Operating Procedure

For Internal Use Only

**12.** Add a **Comment** describing the purpose of the support for each **Capacity Building** category.



**Note:** You may need to add comments for specific supports such as therapy supports.

Go to the Planning intranet page and search for the guidance you need by topic.

**13.** Select the relevant **Associated Goal** from the drop down box.



**14.** Go to the **Determine the Supports** needs screen. Select **Capital**.

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Page 97 of 875

# Standard Operating Procedure

For Internal Use Only

15. Funding for home modifications, assistive technology, maintenance on equipment or repairs may generate in **Capital Supports**. Funding only generates if you identified the need during your planning conversation and recorded the details in the guided planning questions.

If funds have generated in this area, refer to:

- Our Guideline – Assistive technology

- Assistive technology (AT) and home modifications standard operating procedures on the Planning resources intranet page.

| Support Type > Support Category | | |
| --- | --- | --- |
| Support Category | Price $ | Comment |
| Assistive Technology | 2,601.00 | |
| Home Modifications | 0.00 | |
| **Participant Goals** | | |
| Goal Category | Goal Type | Goal |
| | No goals selected | |

16. **Participant Goals** are listed below the support categories. Check the goals align correctly to the goal type before you adjust the TSP. Return to the **Participant Statement** task if you need to make changes.

| Participant Goals | | |
| --- | --- | --- |
| Goal Category | Goal Type | Goal |
| Plan Goals | Social and community activities | I want to build my independence and do more things by myself. I want to explore what assistive technology can help me get around my local community on my own and start to use it. |

17. Use reasonable and necessary decision making and adjust the TSP if needed.

18. Add a **Comment** describing the purpose of the support for each **Capital** budget with allocated funding.

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# Standard Operating Procedure

For Internal Use Only

| Support Type | > | Support Category | |
|---|---|---|---|
| Support Category | Price $ | | Comment |
| Assistive Technology | 17,357.00 | | Funding for your powered wheelchair to pursue community engagement and employment goals. |
| Home Modifications | 0.00 | | |

## 3.3 Use the support calculator to add specific supports

You can use the support calculator to add specific supports or determine the benchmark cost of a support. For example, you can use it to compare a quote, for stated supports, or for some in-kind supports.

1. Go to the relevant support budget (**Core**, **Capacity Building** or **Capital**) for the support you want.

| | Determine the Support Needs | |
|---|---|---|
| Support Type | | |
| Support Type | Price $ | |
| Core | 5,960.00 | > |
| Capacity Building | 5,985.98 | > |
| Capital | 2,601.00 | > |
| Total Plan Budget ( $ ) | 14546.98 | |

2. Select the expander (2 overlapping boxes) in the price field to open the **Support Calculator**.

| Support Type | > | Support Category | |
|---|---|---|---|
| Support Category | Price $ | | Comment |
| Consumables | 0.00 | | |
| Daily Activities | 0.00 | | |

# Standard Operating Procedure

For Internal Use Only

3. The **Support Calculator** displays. Select the expander (2 overlapping boxes) in the **Product** field.



4. The **Select a Product** screen displays. Search for and select the relevant product from the search results.

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# Standard Operating Procedure

For Internal Use Only

**5.** You will return to the support calculator. Update the **Quantity**, **How Often** and **Item Type** fields to reflect the participant's support needs.



**Notes:**

- Check the **Unit** of measure (each, hours, weeks, years).

- Update the **Quantity** and **How Often** fields to reflect the amount of support the participant needs during their plan. For example, if the Unit of measure is hours, the Quantity is 2 and How Often is per week, this means 2 hours per week of support.

- Do not make any items stated unless there is guidance to do so, for example, behavioural support.

**6.** To add another support item, select **Add Row** (plus sign). When you have added all support items, select **Done**.



V8.0 2023-06-19          Complete the Determine the Funded Supports task          Page 16 of 20
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**OFFICIAL**
Page 101 of 875

# Standard Operating Procedure

**For Internal Use Only**

7. The **Support Category** screen displays. Replace the System generated comment with a more descriptive comment.

| Daily Activities | 350,290.50 | Support for my day to day needs in residing in accommodation with five other people. This assistance |
|---|---|---|

**Note:** Keep a copy of your comments off the System, for example in a word document. This will help you when the System overrides your comments with its usual summary of the included supports.

8. For **Capital** AT supports use the assistive technology budget tool in PANDA to find the expected price range or benchmark price for the item. For help using the AT budget tool go to Standard Operating Procedure – Add mid cost assistive technology in a plan.

9. Review the final budget amounts and select **Submit**.

| Determine the Support Needs | | |
|---|---|---|
| **Support Type** | | |
| Support Type | Price $ | |
| Core | 220,699.01 | |
| Capacity Building | 16,036.40 | |
| Capital | 2,601.00 | |
| Total Plan Budget ( $ ) | 239336.41 | |

Plan Duration: 24 months

Generate Support Plan    Save    Submit

10. If an alert displays to proceed to review the **Determine Plan Management** Task, select **OK**.

> **Information**
>
> Changes to this task may have an effect on Plan Management, please review the Determine Plan Management Task.
>
> OK

**Standard Operating Procedure**

For Internal Use Only

11. A success message displays. This success message asks **Are the funded supports correctly aligned to the goals listed in the Participant Statement?**
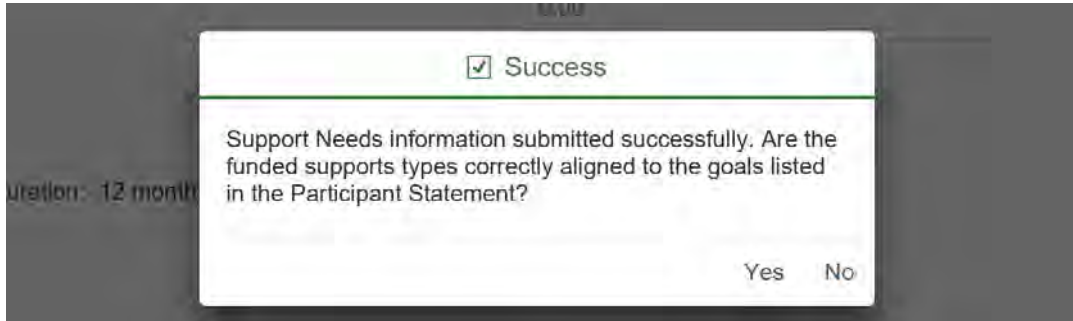


- If you select **No** you return to the **Participant Statement** to review the goals section and correct the support type boxes.

- If you select **Yes** you return to the planning screen.

## 3.4 No reasonable and necessary supports identified

1. In **Planning – Staff Tasks**, select the **Determine the Funded Supports** task.

2. If the plan is a plan review, delete any funding and related support items showing from the previous plan. Refer to Section 3.1, steps 1-7.

3. Do not generate the support plan.

4. Submit the task with $0.00 funding.

## Standard Operating Procedure

For Internal Use Only

5. If the participant has requested supports add an **Interaction** using Interaction templates – Planning – Declined supports.

   If the participant has not requested supports, add an **Interaction** in the **Review and submit plan for approval** or **Finalise and approve the plan task**. Record details of your conversation with the participant in the interaction.

### 3.5 Next Steps

1. If reasonable and necessary supports are identified: Go to **Determine Plan Management**. Refer to Standard Operating Procedure – Complete the determine plan management task.

2. If no reasonable and necessary supports are identified: Go to **Review and Submit plan for Approval** or **Finalise and Approve the plan**. Refer to Standard Operating Procedure – Review and submit plan for approval or Standard Operating Procedure – Finalise and approve a plan.

## 4. Related procedures or resources

- Our Guideline – Reasonable and necessary supports
- Planning intranet page
- Interaction templates – Planning – Declined supports
- Standard Operating Procedure – Add transport supports to the participant's plan
- Standard Operating Procedure – Add mid cost assistive technology in a plan
- Standard Operating Procedure – Determine the funded supports in early childhood
- Standard Operating Procedure – Complete the determine plan management task
- Standard Operating Procedure – Finalise and approve a plan
- Standard Operating Procedure – Include plan management support items
- Standard Operating Procedure – Include capacity building and training in self-management supports
- Standard Operating Procedure – Review and submit plan for approval

## 5. Feedback

If you have any feedback about this Standard Operating Procedure, please complete our feedback form.

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## Standard Operating Procedure
For Internal Use Only

## 6. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---|---|---|---|---|
| 4.0 | NAN927 | Class 1 approval. Plan developers must refer to relevant resources on the Planning Intranet page when specific supports. | APPROVED | 2021-05-27 |
| 5.0 | CW0032 | Class 1 approved<br><br>Added a step to explain what do to when you submit the guided planning questions and an alert displays. This alert asks you to review the plan management type in the Determine Plan Management task. | APPROVED | 2021-08-26 |
| 6.0 | CW0032 | Class 2 Approved<br>Update of resource at 3.3 to include AT Item budget tool to find benchmark cost of assistive technology | APPROVED | 2022-01-31 |
| 7.0 | ED0024 | Class 1 Approval<br><br>Link to new SOP– Include capacity building and training in self-management supports. Clarification when funding plan management. | APPROVED | 2023-03-30 |
| 8.0 | CW0032<br>IIW664 | Class 2 Approval.<br><br>Updated to align with the early childhood age range change. Updates to support early childhood partners to plan for children aged 7 or 8. | APPROVED | 2023-06-19 |

V8.0 2023-06-19     Complete the Determine the Funded Supports task     Page 20 of 20
**This document is uncontrolled when printed.**
OFFICIAL
Page 105 of 875

**Standard Operating Procedure**

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# Complete a Planning Internal Review Decision

This Standard Operating Procedure (SOP) will help you to make timely and quality decisions consistently by explaining:

- The key actions and pathways to make an s100 decision
- When to communicate with participants or their representatives
- How to give effect to your decision
- How to return the participant into the regular review cycle

**Note:** All references to "participant" in this document also refers to authorised representatives/nominees/child representatives.

## 1.   Recent updates

| Date | What's changed |
|------|----------------|
| December 2021 | **Amended Content**<br>Change to Higher Delegation Process at section 4.7.1 |

## 2.   Checklist

| Topic | Checklist |
|-------|-----------|
| **Pre-requisites** | You have:<br><br>❑ Role delegation or skill tags to access and modify review items on the Business System (system), for example, the s100 form. Otherwise, access to a Team Leader.<br>❑ Access to the intranet to view linked SOPs and templates.<br>❑ Read and considered the available Service Delivery Resources on the intranet, particularly in regards to Pre-planning, Planning and Review before assessing requested supports.<br>❑ Identified intake has been completed and you are familiar with the Intake of a Planning Internal Review Request Standard Operating Procedure and Managing Miscategorised Internal Review Requests Standard Operating Procedure. |

## Standard Operating Procedure

For Internal Use Only

| Topic | Checklist |
|-------|-----------|
|  | ❑ Allocated the work item to yourself following all steps in the Self Allocation on the System Standard Operating Procedure<br>❑ Familiarised yourself with Contact Process Standard Operating Procedure<br>❑ Familiarised yourself with the Escalation and Prioritisation Matrix |
| **Actions** | ❑ 4.1 Conduct a desktop review<br>❑ 4.2 Contact Participant or Authorised Representative (if required)<br>❑ 4.3 Record conversation with participant<br>❑ 4.4 Make a decision for the internal review request<br>❑ 4.5 Make a preliminary decision on plan duration<br>❑ 4.6 Submit a decision outcome<br>❑ 4.7 Build the new plan<br>❑ 4.8 Approve the new plan<br>❑ 4.9 Record the Decision Outcome<br>❑ 4.10 Prepare the decision letter<br>❑ 4.11 Send decision letter and relevant documents<br>❑ 4.12 Hand over decision for implementation<br>❑ 4.13 Complete remaining closure tasks<br>❑ 8.3 Appendix A - Assigning a Review Application or Interaction for action by ND and PiTC |

# 3.  Scope of Review

### 3.1.1  Background

The intent of an internal review is to reconsider a decision by 'standing in the shoes of the original decision maker'. This means reviewers will usually consider if the original decision made, was correct under the law based on the participant's situation and support needs at the time of the original decision. The internal review team will seek to review the request based on the issue/s at hand, and confine the scope of the review to those issue/s that the participant wishes to raise as part of their request. If there are dependencies or related issues, these will also be considered. For further guidance on what is in scope for an internal review refer to the Principles of In Scope s100 Planning Review guidance.

### 3.1.2  Referrals to other teams

The Home and Living Team complete internal reviews that includes at least one of the following review types (noting the Home and Living Team will then conduct the entire s100):

- SIL funding in dispute

# Standard Operating Procedure

For Internal Use Only

- SDA funding in dispute

- Medium Term Accommodation in dispute

- Independent living options in dispute

- Complex Home Modifications in dispute

- NSW Living alone with significant supports in dispute

The Review of Reviewable Decision (RORD) form or supporting information on the s100 work item should identify the above supports are what is being disputed. Refer to any interactions on the record for any Home and Living applications and read file alerts. If you are unsure, please confirm with your team leader.

If you have been assigned a s100 work item and the request is a dispute as listed above, and you have not yet commenced the review, complete the following steps.

1. In the **IRT Database**, identify the case in the review screen using the **browse all cases** button and close the record by entering in the Outcome as **Referral - Housing**.

2. Assign the s100 work item to ⬚ s22(1)(a)(ii) - irrelevant mater in the system.

# 4. Procedure

## 4.1 Conduct a desktop review

### 4.1.1 Finding and uploading documents

1. As you review existing documents throughout the process of making a decision make sure those documents are linked to the s100 form. If they are already in inbound documents under a different line, you will need to link the document to the s100 form before reaching an outcome.

2. The participant has been given an opportunity to provide evidence both at the time they submit the request and since the acknowledgement letter was sent. Check that it has been 10 calendar days since the acknowledgment letter was sent so the participant has had the opportunity to provide any additional evidence before progressing with this review.

3. When you are reviewing a request and receive further information, this must be added to inbound documents under the line titled "**s100 internal review request dd/MM/yyyy**".

   **Note:** When uploading a document please follow this naming convention style: Participant Surname First Name NDIS number Topic/Document Name. For example

## Standard Operating Procedure

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Smith James 4312345678 Occupational Therapist Report July 2021, or Smith James 4312345678 Unable to Contact Letter.

### 4.1.2 Review the category and requested outcomes

Review the s100 Form or the Review of Reviewable Decision Form in Inbound Documents and the intake interaction and determine:

- The category of s100 review being requested (for example, a s100 on a statement of supports, or on a decision not to review a plan).

- Why the participant has made the request and the outcomes they are seeking. For a review regarding statement of supports, identify the specific details of the request, including the requested frequency/nature/funding value of requested supports.

### 4.1.3 Review the evidence available

1. Review the participant's record for available evidence or information to support the review request. For example, assessments, reports, quotes and any interactions with the participant such as phone conversations.

2. Given the participant has had an opportunity to provide additional evidence at the time of the review request and following acknowledgement of the s100 it is not expected that the delegate will need to request additional available information. Additional available evidence should only be requested by delegates if it is likely to materially change the decision or there is an identified risk to the participant if we don't fund it and we need the evidence to justify the decision. If you think additional evidence is required, follow the steps in section 4.2.

3. Review the participant's record including all pre-planning and planning tasks in the current plan, justifications in the plan, the utilisation of these supports, and any other relevant interactions to develop an understanding of what was funded and why.

   **Note:** Panda Live V2 is a helpful tool to identify budget utilisation and plan value compared with TSP.

4. Consider whether there are opportunities for **early resolution** – for example, the participant's request may be achieved simply through flexible use of the plan. Unless supports are fixed (stated) in the plan the core support budget is fully flexible. The Capacity Budget is flexible within each category across all non-stated support items. If early resolution seems likely to resolve the participant's request, they will need to understand a withdrawal is required and what the consequences are when withdrawing their internal review. If so, withdrawal can be discussed, for contact with the participant

**Standard Operating Procedure**

For Internal Use Only

go to section 4.2. For further information on the early resolution, criteria see Withdrawal of an Internal Review Request Standard Operating Procedure.

5.  Consider whether the requested supports are related to the disability/disabilities for which they have made access to the scheme.

6.  Consider whether the approval and funding of the requested supports will have an impact on any other supports in the plan.

    For example, the funding of vehicle modifications may lead to the removal of transport funds. If so, this will need to be discussed with the participant go to section 4.2.

### 4.1.4  Review other details on participants record.

1.  Review the participant's record including alerts to make sure you are aware of any concerns. For example, it may be indicated the participant has complex needs or accessibility requirements and you may require the procedures from Standard Operating Procedure – Assist the Participant with their preferred method of communication.

    - If you identify the participant is in the Complex Support Needs (CSN) pathway, contact the relevant staff member regarding the s100 review before proceeding. Their details can be found on an active alert on the file or interactions. If the staff member details are missing, email CSN. The purpose of this contact is to advise CSN the participant has a s100 internal review requested and clarify if there is any information IRT need to be advised to best support the participant with their request for internal review. Record your conversation with the CSN team on the participant's s100 form.

    - If you identify the participant is in receipt of compensation and has had a Compensation Reduction Amount (CRA) applied to their plan, or special circumstances considered, please reassign the s100 work item request to the IRT Escalations Team and email s22(1)(a)(ii) - irrelevant material.

2.  If you identify the participant has also been waiting for Assistive Technology or Home Modifications (ATHM), take note of this  as there are additional closure tasks that are required.

3.  If you identify the participant is a YPIRAC participant or the request is in relation to any of the Home and Living categories refer to Intake of a Planning Internal Review Request Standard Operating Procedure for details on identifying those that need to be completed by another team and reallocate to that team following steps for reallocation in the Intake SOP.

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 5 of 27
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 110 of 875

## Standard Operating Procedure

For Internal Use Only

4. If the request appears to be because the original planner has made an **error** in calculations or missing support that was intended to be included in justifications Refer to the Managing Planner Error in Internal Review Planning Requests Standard Operating Procedure before progressing further

After the completion of the above review of circumstances, you should have developed a preliminary view for the request(s).

## 4.2 Determine if contact is required

After the desktop review is completed, you need to contact the participant/authorised representative to discuss the review if the following exceptions apply:

- If there is high or extreme risk identified for the participant in accordance with the escalation and prioritisation matrix.

- Information provided by participant is still unclear after you have reviewed PCT, justification and interactions, and further clarity is required to progress the request.

- The IRO is unable to locate or view evidence used by the Planner with the original decision and required to undertake the s100 decision.

- If it appears that an early resolution is possible through a clarification phone call. Refer to Withdrawal of an Internal Review Requests Standard Operating Procedure.

- The request appears to be miscategorised (refer to the Managing miscategorised internal review requests SOP to identify when a call is required).

If the above criteria is met, talk to your TL or AD to determine if contact is required and if so, please refer to Contact Process Standard Operating Procedure.

### 4.2.1 You can then proceed with one of the options below:

**a) Determine if further information needs to be received before a decision can be made.**

This option is for reviews where further information is required to make a decision. Refer to the Internal Review Gathering Evidence Guide.

When asking for additional evidence you need to be clear on the following:

- What you are asking for and why it is needed to make a decision

- Limit the request for additional evidence to what is within the scope of the review.

- Confirm a time frame to return the information – a maximum of 28 days and advise the participant that if the evidence is not provided in the timeframe a decision will be

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 6 of 27
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 111 of 875

made based on information available and the circumstances as they exist at the time the reviewer makes the decision. Be clear with the participant why and what you are requesting the additional evidence or information for and limit this to what is required within the scope of the review Additional time may be allowed in exceptional circumstances if the participant cannot reasonably acquire the evidence within this time. Assistant Directors are required to approve any extension of the timeframe. This will not extend the pause process below.

- Send the Internal Review Request for Information Letter to the participant and upload this document onto the system.

- Inform the participant to return the evidence by emailing the documents to Internal Reviews planning and:

- Inform the participant to note their full name and NDIS number in the email subject.

- If required, obtain consent to speak to third parties (for example occupational therapists, physiotherapists) and document consent on the participant record.

- Create an **Alert** on the participant's record as per below with an end date calculated at 28 days from the day of request for information:

| | |
|---|---|
| Primary: | ☐ |
| * Alert: | S100 in progress |
| Additional Information: | RFI pending for s100 |
| * Start Date: | 04.03.2021 |
| * End Date: | 02.04.2021 |

Image caption: Screenshot showing a system Alert on the participant's record. The primary box is unticked, the Alert title is 's100 in progress', additional information states 'RFI pending for s100', the start date is 4.03.2021 and end date is 2.04.2021.

- Update the Database putting the record on hold as per IRT Planning Database Manual.

- If the review is for a statement of supports, enquire about their preferred plan management options for the requested supports. If you preliminary assess this preferred self management is unable to be provided (prohibited by agency

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 7 of 27
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 112 of 875

guidance, and the participant only prefers the self management option), inform them you may record this as a declined request on the s100 review.

- Confirm with the participant that as a result of the internal review decision a new plan may be created and confirm with the participant any preferences they may have regarding plan duration. Refer to section 4.4 for further information.

- Inform the participant that they may be contacted again or will receive a letter with the outcome of a review request.

- Proceed to section 4.3.

### b) Review request can be withdrawn

This option is for participant requested withdrawals or for early resolution of requested supports achieved.

Discuss the option for withdrawal with the participant and inform them of the consequences of withdrawing the internal review. Once the request to withdraw is confirmed, follow the key talking points in the Withdrawal of an Internal Review Request Standard Operating Procedure.

- Record the conversation in both the s100 supporting information field and the s100 Request Received interaction using the **s100 - Request Withdrawn early resolution** interaction from the Internal Review of a Planning Request Interaction Templates.

- Once you have completed the withdrawal conversation, complete this review by following the Withdrawal of an Internal Review Request Standard Operating Procedure.

### C) Review request is miscategorised

This option is for miscategorised reviews which have been confirmed after clarification with the participant. This only applies when the **entire** request is miscategorised.

- Complete the conversation and review by following the appropriate steps in the Managing Miscategorised Internal Review Requests Standard Operating Procedure.

### 4.2.2  Record the conversation with participant

# Standard Operating Procedure

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1. Record the conversation with participant as an interaction on the system using the **s100 contact** interaction template from Internal Review of a Planning Request Interaction Templates.

   **Note:** Please add your progress interactions to the **s100 Request Received interaction** already created during intake. This will make sure all conversations, actions, progress on the s100 are captured in the one interaction trail. Only differ from this when an open interaction is created and needs to be assigned to another team/region for action.

2. Make sure any specific supports withdrawn from the review (if any) by the participant have been noted on the interaction.

3. Record the date of contact and progress of review in the IRT Database. Make sure the participant contacted date field is completed.

4. If you are waiting for further information, make sure you have added an alert on the participant record and set the review in the IRT Database to **on hold**. Refer to section 4.2. Once the requested evidence or further information is received, proceed to the next step.

## 4.3 Make a decision for the internal review request

1. The available evidence will need to be assessed to determine whether the original decision should be appropriately set aside or confirmed according to the legislation.

2. Refer to the Principles of s100 Decision Making to support your decision making.

3. Consider the available evidence to build a view on the participant's current functional capacity or circumstances. If there is conflicting information, consider which source is most credible.

4. Make sure any evidence or information considered in your decision is uploaded to Inbound Documents and linked to the s100 form. If evidence considered was gathered during a call, the interaction should be recorded in the "Supporting Information" field using the relevant interaction template. Follow the steps below for linking all evidence to the s100 form:

# Standard Operating Procedure

For Internal Use Only

Update **Supporting Information**, if required**.**



Image caption: Screenshot of the Request Details screen on the participant record showing the supporting information field where the interaction should be recorded.

5.  Select **Add** to add **Attachments**, if required (Documents already in Inbound Documents).



Image caption: Screenshot of the Attachments screen highlighted by a red box showing the plus button on the right side to attach documents.

6.  Select **Save**.



Image caption: Screenshot of the system Attachments screen showing a test document attached and a save button at the bottom right.

7. A success message displays. Select **OK.** Consider each request alongside the available evidence and whether it meets the legislation under the NDIS Act and relevant Rules under the Act. For example, a request on statement of supports will require consideration under section 34 (reasonable and necessary) and Part 5 of the NDIS (Supports for Participants) Rules.

8. An internal review request on decision not to review a plan (s.48) will require consideration of the criteria under NDIA's Operational guidelines for s48. You do not need to assess the requested supports as your decision is whether or not the decision made not to review a plan is correct. The next step in the process for these requests is at section 4.5.

9. Review the Operational Guidelines – Reasonable and Necessary Supports and Would we fund it for additional guidance on making decisions on statement of supports if required.

10. Seek advice from your Team Leader or Assistant Director if required.

11. Seek specialist input from the **Technical Advisory Branch** (TAB) if required. Check the Requesting Advice intranet page for **mandatory** TAB referrals. Before making a decision, it is mandatory to obtain and follow TAB advice in relation to requests for the listed mandatory items. If you disagree with the advice received from TAB, discuss first with your team leader (or equivalent) and then contact TAT enquiries who will contact the TAB Advisor or TAB Assistant Director for further discussion and resolution. Refer to the Requesting Advice intranet page for more guidance.

12. Consider seeking advice from the **Early Childhood Services Branch** if it relates to a participant who is under 7 years.

13. Apply any agency guidance and policy if applicable from the NDIS operational guidelines.

14. Weigh the above factors to determine a set aside or confirmed decision.

## 4.4 Make a preliminary decision on plan duration

Delegates should be guided by the Panda Live V2 recommendation of plan duration in most instances. Typically, this would be for requests that meet the following criteria.

**Criteria**:

- There are no expected life stages changes to occur for the duration of the plan

- Funded supports are within TSP or the plan is not inflated by more than 10 percent of the previous plan value.

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 11 of 27
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 116 of 875

# Standard Operating Procedure

For Internal Use Only

If criteria is not met, you should retain the same end date (as close as possible) and record your justification for altering the recommended plan duration when completing the Risk Assessment in Pre Planning. You will need to pro-rata funding when you build the plan.

Delegates should also consider other factors when determining plan duration such as:

- Keeping family groups review schedules together
- Supported Independent Living (SIL) Participant groups together
- Utilisation variance in previous plans
- Support meets R&N for the duration of the plan and there are no time limited supports included.

If more than two of these considerations apply, speak to your Team Leader or Assistant Director regarding a shorter plan duration.

## 4.5   Submit a decision outcome

Once a decision has been determined, it needs to be submitted on the system.

**Note**: If the decision being reviewed is the decision not to review a plan you will not need to follow step 2 below.

1.   If you are an Internal Review Officer without delegation, email your Team Leader to seek approval. Wait for their approval before proceeding to section 4.7.

2.   If the plan is inflated by more than 50 percent the decision needs to be discussed with an Assistant Director before proceeding.

3.   Otherwise, if you have delegation to submit a decision outcome, proceed to open the s100 form for this review under open activities and select **Edit**.

# Standard Operating Procedure

For Internal Use Only

Image caption: Screenshot of the system s100 form showing the Edit button highlighted at the bottom of the screen.

4.  Update the **Supporting Information** stating all evidence/information supporting the decision has been uploaded to the system and linked to the s100 form. Select **Save** to confirm your updates.



Image caption: Screenshot of system s100 form showing the supporting information field highlighted where all evidence/information supporting the decision should be recorded. At the bottom of the form the Save button is highlighted.

5.  Record the outcome decision by selecting **Ready to Submit** outcome. Select the appropriate decision outcome as **Confirm Decision** or **Set-Aside Decision**. Do not select the **Vary decision** option as the system currently does not allow us to 'vary' plans. A plan review will be initiatied for a set-aside decision.



Image caption: Screenshot of the s100 ready to submit system screen, with the Outcome Justification drop down options Confirm Decision and Set-Aside Decision each highlighted in a red box.

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6. For **Confirmed** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

   **Review on statement of supports**

   - s100 confirm: s100 decision made to confirm the original decision, the supports requested were not found to meet NDIS funding criteria or could not be considered as they were out of scope. See outcome letter for details.

   **Review on decision not to review a plan (s48)**

   - s100 confirm: s100 decision made to confirm the original decision as it was unable to be demonstrated that; circumstances have changed, or there is new information that would change/affect our assessment of the participant's needs, or, their needs can't be met by existing supports. See outcome letter for details.

7. For **Set-aside** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

   **Review on statement of supports**

   - s100 Set aside: A s100 review request was submitted on [insert date], consideration was given to s34 reasonable and necessary criteria in the NDIS Act and the NDIS Rules. As a result of this, a plan review was initiated to give effect to the decision to vary the current level of funding – the original budget has been set aside.

   **Review on decision not to review a plan**

   - s100 decision to set aside the decision not to approve a request to review the plan under s48. A plan review is approved and has been initiated to give effect to the s100 decision.
   - The plan review has been initiated and now needs to be assigned for action. Follow the steps in Appendix A to assign the plan review and interaction.
   - Go to section 4.8

## 4.6   Build the new plan (if required)

1. If the outcome of an internal review was a 'Confirmed decision', ' for an internal plan review decision' skip to section 4.8.

**Standard Operating Procedure**

For Internal Use Only

2. A set-aside decision for a statement of supports will have a new and automatically generated Review Application under Pathway in the participant record with a status of in-progress.

### 4.6.1 Complete pre-planning tasks

Complete the pre planning tasks below as per the Standard Operating Procedure - Complete a Plan Review (light touch).

1. The **Outcomes Questionnaire** in Pre Planning must be reviewed and submitted so quotes can be implemented after the review. Occassionally this may be blanked out as the participant has moved into another age group and a different outcomes questionnaire is required. If this occurs we can still submit the outcomes questionnaire and make a note in the implementation interaction that this was not completed for the purpose of giving effect to a s100 internal review decision.

2. **Risk Assessment/Plan Duration**: Refer to section 4.5 and the Standard Operating Procedure – Complete the Risk Assessment task. Adopt the approach to make the plan the duration the same as what it was originally approved for, for example 12 months or the participant preference as indicated previously. This will mean pro-rata will not need to be completed. However, based on your investigations of the original plan, Panda recommendations, conversation/s with the participant, risk and/or participant's current circumstances, you identify a shorter term plan duration approach is required, pro-rata will need to be completed to reflect the plan duration.

   **Note:** If there is a discrepancy in plan duration calculated in the **Pre Planning Risk Assessment** compared to the original approved plan duration or a plan duration you have determined based on the participants circumstances and risk. You will need to adjust it accordingly for the remaining month/days while ticking the **'Plan reviewed early or amended'** box and note it is an outcome of an internal review.

3. Select **Review and Submit for Funded Supports** and select **Yes**.

### 4.6.2 Complete planning tasks

1. Complete the **Determine Funded Supports Task** as per Standard Operating Procedure - Complete a plan review (light touch) noting this will be pre populated with approved funded supports from the current active plan.

   **Note:** If the plan duration is **not** what the original approved plan was for, make sure the calculated supports are correct for the time period in each category, you may need to apply pro-rata to the supports. Where you do need to pro rata follow the methodology found in Standard Operating Procedure - Complete a plan review (light touch), Standard Operating Procedure – Complete the Risk Assessment, or Standard Operating Procedure – Complete a plan review (full) which provides guidance for pro rata Capacity

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# Standard Operating Procedure

Building and Capital Supports. All supports in the plan will need to be pro-rated even if you have not changed the level of funding in the previous plan with the exception of stated capital supports.

- Special Consideration is required for some specialist plan builds, for example ECEI participants. Refer to the relevant SOPs and ECEI Practice Guide on the intranet when building their plans.

- Changes to NDIA's approach to funding supports may also have occurred since the approval of the original plan. For example, changes arising from Price Guide updates, employment support changes, SIL changes, hearing service changes and others. Make sure you are aware of any recent changes to supports by reviewing the intranet resources guidance page, and you have applied any recent updates to new and existing supports in the new plan.

- Check and maintain in-kind information in the plan for relevant supports to make sure there is not duplication of funding since the generation of the TSP and phasing out of in-kind programs. Make sure you are accessing information available in Panda Live v1 for the latest in-kind data and information.

**Notes regarding SIL**: If you have a plan which includes SIL, make sure you follow Standard Operating Procedure – Supported Independent Living (SIL) advice and use IRT **SIL** interaction templates for referencing SIL in s100 decisions. Refer to Internal Review of a Planning Request Interaction Templates.

If you intend to make changes to the SIL funding, you will need to discuss this with the SIL Assessment Team before approving a plan, as you will need the SIL assessors updated SIL recommendation to know the amount of SIL supports to include in the plan.

To make sure you receive the SIL assessor's recommendation in time, send the interaction to the appropriate **state-based SIL team CRM inbox**, and if required, escalate through to the SIL Team Leader via email, and if further escalation is necessary, directly contact the National SIL Director, s22(1)(a)(ii) - irrelevant material

The SIL Team Inbox are **NSW ACT SIL**, **VIC TAS SIL**, **SA NT SIL**, **QLD SIL** and **WA SIL** for assigning the open interaction to the appropriate state SIL team.

For more information refer to:

- Standard Operating Procedure – Supported Independent Living (SIL) Section 4.4 for state and territory **SIL CRM Inboxes**. Section 6.2 - Include SIL in the participant's plan.

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# Standard Operating Procedure

For Internal Use Only

- SIL Intranet page for state and territory SIL teams MS Outlook contact details.

- Operational Guideline – Supported Independent Living (SIL).

**Note:** If there are In-Kind supports as part of the plan, refer to the In-Kind intranet page for guidance, check the transition dates for the state/territory of the participant and speak to your Team Leader. Do not contact or notify the SIL Team for plans with In-Kind supports.

2. Any Capital Supports funding claimed in the original plan should be removed. Claimed capital supports can be determined from checking the plan utilisation (ensuring you have considered costs of repair and maintenance) or any accepted assistive technology quotes. Refer to Standard Operating Procedures for further guidance on adding low, mid and high cost supports and repairs and maintenance for new and existing items. Also, check if the system has made an error in adding any funding for Capital Supports were not approved in the last plan, which will need to be removed.

3. Plan comments may need to be updated to reflect the supports in the new plan as a result of the decision outcome. This may also include reviewing and updating any existing comments that relate to the supports determined in scope for the internal review and removing those that no longer apply to explain to the participant what the funding is for. Comments should be written in each of the Support Categories where funded supports have been placed. A Support Category are the areas in the plan where funding/line items have been placed, for example, Consumables, Daily Activities, Social Community and Civic Participation, Transport, CB Choice and Control, CB Daily Activity, CB Relationships, Assistive Technology, Home Modifications to name a few.

**Note:** Plan comments will be printed in the participants plan. Refer to Standard Operating Procedure – What print's on a plan.



Image caption: Screenshot showing comments for each support type in the Finalise Plan and Approve tab. Comments column highlighted. Example showing from top to

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# Standard Operating Procedure

For Internal Use Only

bottom. First line: Support category: CB Choice and control, price: 2627.17, comment: plan management and financial capacity building - set up costs. Second line: CB daily activity, price: 5676.00, comments: support to build my skills so I can achieve all my plan goals. Third line: CB Employment, price: 7733.23, comments supports to help me find and keep a job.

4.  Once you are satisfied you have included all reasonable and necessary supports in the plan, select **Submit**.

5.  Complete the **Determine Plan Management Task.** This task will be pre-populated with the recommended plan management based on the responses in the **Complete Risk Assessment Task**. Review and confirm it reflects the plan management determined previously. Previous plan management allocations can be viewed in Panda Live v2. When making changes to the Determine Plan Management task make sure the unit of entry is **percentage** (not currency).

    **Note:** If you have rejected the participant's request for self-management of their supports, this will be considered a declined request and will need to be reflected when preparing the decision letter and communicating the decision in section 4.9 and section 4.10.

6.  Select **Submit**.

## 4.7   Approve the new plan

Under the **Planning Tab**, Internal Review Officers without delegation will need to either select the **Review and Submit Draft Plan** or **Review and Submit Plan for Approval task**. Only one will be available based on your role.

If you are an internal review officer with delegation, select the **Finalise Plan and Approve** task.

1.  Review all sections of the Plan as per the **Review Sections** of the Standard Operating Procedure – Finalise and approve a plan with careful consideration to adjust the justifications (Part 5: Funded supports in the Finalise Plan and Approve task, and Part 4: Funded Supports in the Review and Submit Draft Plan task) to explain the internal review decision for those supports determined in scope for the internal review.

    **Note:** When writing justifications we must consider: supporting information, evidence provided, lived experience, participants goals, participant circumstances and disability support needs, section 34 of the NDIS Act 2013, Part 5 of the NDIS Rules, previous budget utilisation, TSP, inflation and agency wide guidance materials.

    **a) If no changes are required to the support category:**

# Standard Operating Procedure

For Internal Use Only

Copy the justifications from the previous plan and add "This support category was not changed as part of the of the s100 Internal Review Request. Justification remains the same".

**b) If changes were made to the support category:**

Please start each support category justification with the sentence, "As part of the s100 review, I have found these supports meet s34 reasonable and necessary criteria in the NDIS Act and NDIS Rules. I have made a decision to vary the current level of funding."

If there are existing justifications within this support category, you will need to update the entire justification if you changed the funding making sure the following are included:

- describe the support and how it relates to the participant's disability support needs
- describe how the support will help the participant work towards their goals
- describe how the support meets reasonable and necessary criteria
- refer to any relevant supporting evidence.

Examples to guide your written justifications are included in Appendix Write a best practice justification within the Standard Operating Procedure - Review and Submit plan for approval.

1. For Internal Review Officers without delegation, click on **Save** at the bottom of the **Review and Submit Draft Plan** section. Do not select Submit as this submits the plan to WLM for National Delivery staff and is not a process IRT follow. Email your Team Leader once you have prepared the draft decision letter, and note the plan and letter are ready for approval. You can now refer to section 4.8.

2. Otherwise, if you are a delegate, proceed to select **Yes** on the **Generate plan only** button at **Part 9: Delegate** after completing the **Finalise plan and approve** section. This option is selected to supress the default cover letter which is sent with plan approvals, as it will be replaced by our decision letter.



V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 19 of 27
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 124 of 875

# Standard Operating Procedure

For Internal Use Only

Image caption: Screenshot of Part 9: Delegate screen from the Planning; Finalise Plan and Approve system tab. Select yes on the Generate plan only.

**Note:** Prior to selecting Approve, you can select the **Print Preview** button. This will display a draft copy of the plan and will allow you to proof read and view what will be provided to the participant.



Image caption: Screenshot of the buttons at the bottom of the Finalise Plan and Approve screen with Print Preview highlighted.

3.  Select **Delegate Approval** and then select the **Submit** button.

4.  If an Alert appears stating level 4 delegation approval is required for this plan, follow the steps outlined in section 4.7.1.

5.  Once the plan has been approved, if applicable, implement any 'Quote required line items' required as a result of this decision outcome (except SDA). The Standard Operating Procedure – Initiate and Record Quotes and Standard Operating Procedure – Consider and action quotes provides guidance on how to implement quotations. For plans that include Supported Independent Living (SIL) funding, create SIL service booking following Standard Operating Procedure – Supported Independent Living (SIL).

## 4.7.1  Higher Delegation Approvals Process

The following steps outline the process for referring to the High Decision Delegate (HDD) Team for a level 4 delegation approval.

1.  Confirm the s100 alert is active on the participant's record.

2.  Liaise with your Team Leader to check the plan is complete with the justifications and evidence complete in CRM.They will then create the below interaction.

    **Note:** If you are an APS6 IRO you do not need to complete step 2, go straight to step 3.

3.  Create an **open** interaction using the **s100 – High Decision Delegate** interaction template outlined in the Internal Review of a Planning Request Interaction Templates guidance and assign this interaction to **SDS SDSA RFA**.

4.  Assign the application to **SDS SDSA RFA**.

5.  The plan will be triaged then assessed by a HDD Delegate. The HDD Delegate may reach out to you via email if further information is required.

6.  When ready for approval:

# Standard Operating Procedure

For Internal Use Only

- **Del 4 Plans** – The HDD delegate will approve the plan in the System and reassigns the updated interaction back to the APS6 Internal Review Officer or APS6 Team Leader along with an email advising it has been completed.

- **For Del 5 Plans** – Once the HDD is satisfied that the plan is ready for approval, they will prepare and present Del 5 plans in a designated panel. For detailed information on the Level 5 Delegation Approval Process, refer to the Level 5 Delegate Resources found on the High Decision Delegate Intranet Page.

7. **Escalations:** For significant risk to participant or Agency and a plan requires urgent approval and has been escalated through to the IRT Director, outlining the specific risks that require an escalated response. The IRT Director may either escalate to the HDD Director or arrange for an internal delegate approval . Following response from the HDD Director, the application will be processed and approved within a 4 hour timeframe.

## 4.8    Record the Decision Outcome

### 4.8.1  For Statement of Supports Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Statement of Supports** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

### 4.8.2  For not to review a plan Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Not to review a plan** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

## 4.9    Prepare the decision letter

1. Based on the decision outcome, complete the relevant letter found on the IRT intranet page.

2. Follow the instructions on the respective letter template to complete the decision letter and make sure:

- The date of the decision letter should be the same date the s100 review decision outcome was in effect (date you approved the plan on the system).

- Approved supports should be referred in terms of support hours/quantities, rather than dollar values.

# Standard Operating Procedure

For Internal Use Only

- Any requests withdrawn throughout the process need to be recorded, including those where we have spoken to the participant regarding requests that do not meet the scope of an internal review.

- Please do not write any more than 2 additional sentences per criteria in the Basis for Decision section. If you wish to provide detailed information on possible next steps including referrals to mainstream and/or community supports or other referrals you can include this in the implementation interaction completed at section 4.12For Internal Review Officers without delegation, email the decision letter to your Team Leader for approval. Once approved, proceed to section 4.10.

- For delegates, proceed to section 4.10.

## 4.10  Send decision letter and relevant documents

NDIA must give written notice to the participant and/or representative of the internal review decision.

If a new plan has been created as a result of the decision you will need to save or print the approved plan locally and send the plan with the decision letter. Complete the following steps:

- From **Outbound Documents**, save or print the approved plan locally. If you need help to do this, refer to Standard Operating Procedure – View, Print or Suppress an Outbound Document.

- Send the plan and letter to the participant or their authorised representative, using their preferred method of communication.

- If the participant preferred method contact is via email, use the Internal Review planning email address to send the decision letter as an attachment and use the subject line and email template below and new plan (if applicable) in section 4.11.
  **Email Template for Decision Letter**:
  Subject Line – Outcome of your Internal Review Request Participant Number<xxx>
  Body – Please find attached to this email the outcome of your request for an internal review of a decision.
  Regards,

1. If there are accessibility requirements required for printing the written notice or any other relevant documents follow the process in the Printing plans in braille and other

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 22 of 27
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 127 of 875

# Standard Operating Procedure

For Internal Use Only

accessible formats guidance. Please note the financial delegate mentioned will be the EL1 of your respective team.

2.  If there are language requirements required for printing the written notice or any relevant documents, follow the process in Practice Guide – Assisting communication.

3.  If the documents are being posted, mail all the relevant documents above in the one envelope. Check with your local site or team leader about mailing arrangements.

4.  Upload all the mailed documents onto the system as a PDF document in the participant's Inbound documents line titled 's100 internal review request dd/mm/yyyy'. Refer to the Standard Operating Procedure – Inbound Documents for how to upload a document and naming conventions. Refer to section 4.1.1 for naming conventions.

## 4.11  Inform National Delivery or Partners in the Community of Decision made.

After completing an internal review for **statement of supports** requests the participant's My NDIS Contact will need to be informed of the decision to implement new plan or follow-up activities where required.

1.  Complete the appropriate Implementation interaction from the Internal Review of a Planning Request Interaction Templates on the participant's record on the system. This will be either the **s100 Completed Change to statement of supports** or **s100 Completed No change to supports interaction**.

    **Note**: If you have identified alternative mainstream or community supports that should be explored you can include this in the interaction template for the local office to follow up with the participant.

2.  Re-assign your completed interaction to the appropriate local NDIS office. You can find the local office by following the Workflow Rules.

## 4.12  Complete remaining closure tasks

1.  Record the outcome of the review in the IRT Planning Database.

2.  You will also need to record the Original Decision Maker (ODM) feedback on the IRT Planning Database to make sure the reason for your decision is recorded in IRT's database. This is important information that allows us to provide feedback to original decision makers. Refer to the IRT Database Manual.

3.  End date the s100 alert created in section 4.2 by setting the end date as the day of the decision. Refer to Standard Operating Procedure – View or edit an alert for how to edit an alert.

# Standard Operating Procedure

For Internal Use Only

4. Review all open tasks in the participant record that relate to the Internal Review Request and make sure they are all closed with the exception of the Implementation interaction.

5. Check the ATHM Tab and s22(1)(a)(ii) - irrelevant material CRM inbox for any open ATHM items.

- If the open item has an ID number with a "700" prefix you will need to unassign the ATHM work item by using "User Unavailable" as a reason. Then apply an Extreme workflow identifier in CRM to the participants record, with an end date of 14 days later. **Refer to the** Standard Operating Procedure – Add or remove workflow identifiers

- If the open item does not start with a "700" prefix, you will need to reassign the ATHM interaction to the RTS inbox of the participants jurisdiction using the Standard CRM inbox structure.

## 5. Related procedures or resources

- NDIS Act
- NDIS Rules
- NDIS Operational Guidelines
- Intake of a Planning Internal Review Request Standard Operating Procedure
- Internal Review of a Planning Request Interaction Templates
- Standard Operating Procedure – Consent and Authority
- Operational Guidelines – Reasonable and Necessary Supports
- Standard Operating Procedure – Finalise and Approve a plan

## 6. Feedback

If you have any feedback about this Standard Operating Procedure, please complete the Internal Review Team Quality and Continuous Improvement Form and email it to the Business Improvement Team. In your email, remember to include the title of the product you are referring to and describe your suggestion or issue concisely.

## 7. Version control

## Standard Operating Procedure

For Internal Use Only

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|---------------------------|--------|------|
| 11.0 | DII394 KMM575 | Class 1 approval. Changes after Directors Review. Updating based on director feedback.Linked all new SOPs. Quality check and accessibility. | APPROVED DLL320 SW0065 | 2021-11-26 |
| 12.0 | DII394 | Class 1 Approval Updated the HDD referral process. | APPROVED SW0065 DLL320 | 2021-12-10 |

# 8.  Appendices

## 8.1  Appendix A – Assigning a Review Application or Interaction for action by ND and PiTC

A **Review Application** is created when you **set aside a decision not to review a plan.** The **Review Application** needs to be assigned to ND or PiTC for the plan review to be undertaken.

Participants who belong to **Young People in Residential Aged Care (YPIRAC)** and **Complex Support Needs (CSN)** cohort need to be identified and assigned manually:

**YPIRAC Participants**

1. Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates outlining the request for review, and that due to the participant residing in aged care the review application is to be actioned by a YPIRAC planner.

2. **Assign** the **Interaction** and **Review Application** to the NDIS business system inbox for employee "s22(1)(a)(ii) - irrelevant material"**(SV0008).** s22(1)(a)(ii) - irre will then allocate the application for progression.

**CSN Participants**

1. Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates. The Interaction provides information to the assignee to advise what has occurred and what is required.

2. **Assign** the **Interaction** and **Review application** to the correct inbox as per the super intensive Stream in the Workflow Rules.

V12.0 2021-12-10          Complete a Planning Internal Review Decision          Page 25 of 27
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 130 of 875

# Standard Operating Procedure

*For Internal Use Only*

**For all other participants, Review Applications are to be assigned using the Workflow Identifier. Refer to the** Standard Operating Procedure – Add or remove workflow identifiers.

For all Participants (except those who are in the YPIRAC and CSN cohorts) no matter the streaming undertake the following steps:

From the Participant Details tab select Workflow Identifiers.

1. Select **Edit** and then the **+ symbol** to add a new workflow identifier.

2. Select the **Change and Review Request** identifier from the drop down.



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved.

3. Add a **Valid To** date for **four** calendar months from the date the **review application** was **approved**.

4. Select **Submit**.

**Priority referral of Review Application**

For those participants whose risk is considered **High/Extreme** discuss with your TL if the review application requires **priority referral** resulting in the **Review Application** being drawn from **WLM** in the **next business day**.

If **Priority referral** has been **endorsed** Refer again to Standard Operating Procedure – Add or remove workflow identifiers.

1. **Select** the additional **Workflow Identifier** for **Extreme** or **High** depending on the risk rating.

# Standard Operating Procedure

For Internal Use Only



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved. Extreme and High highlighted in red.

2. The **Valid From** date will be the date the **review application** was **approved**.

3. Add a **Valid To** date for 4 calendar months from the date the **review application** was **approved.**

4. Select **Submit**.

V12.0 2021-12-10          Complete a Planning Internal Review Decesion          Page 27 of 27
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 132 of 875

**Standard Operating Procedure**

For Internal Use Only

# Complete a Planning Internal Review Decision

This Standard Operating Procedure (SOP) will help you to make timely and quality decisions consistently by explaining:

- The key actions and pathways to make an s100 decision
- When to communicate with participants or their representatives
- How to give effect to your decision
- How to return the participant into the regular review cycle

**Note:** All references to "participant" in this document also refers to authorised representatives/nominees/child representatives.

## 1. Recent updates

| Date | What's changed |
|------|----------------|
| March 2022 | **Added Content:** |
| | Document pre contact SMS was sent. |
| | Check for update to disability. |
| | Pre-requisite added for change to section 100(5) of the Act. |
| | Naming convention for the decision letter. |
| | APS5 IROs and those without delegation must seek team leader support before contacting TAB. |
| | Changes to the mid cost AT and linked to the AT SOPs. |
| | **Amended Content:** |
| | At section 4.5 if the plan is inflated more than 50 percent a discussion is required, this has changed to **40 percent**. |
| | Updated workflow rules link to IRT page. |
| | Housing referral changed from s22(1)(a)(i) - irrelevant mate to s22(1)(a)(ii) - irrelevant material |
| | Wording at section 4.12 – complete remaining closure tasks. |

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## Standard Operating Procedure

For Internal Use Only

| Date | What's changed |
|------|----------------|
|      | Added in wording to reflect IROs without delegation are making a recommendation. |
|      | Linked to the new HDD SOP for new approval process. |

## 2. Checklist

| Topic | Checklist |
|-------|-----------|
| **Pre-requisites** | You have:<br><br>❑ Not been involved in the making of the original decision that is being reviewed. The internal review must be completed by a different delegate.<br>❑ Role delegation or skill tags to access and modify review items on the Business System (system), for example, the s100 form. Otherwise, access to a Team Leader.<br>❑ Access to the intranet to view linked SOPs and templates.<br>❑ Read and considered the available Service Delivery Resources on the intranet, particularly in regards to Pre-planning, Planning and Review before assessing requested supports.<br>❑ Identified intake has been completed and you are familiar with the Intake of a Planning Internal Review Request Standard Operating Procedure and Managing Miscategorised Internal Review Requests Standard Operating Procedure.<br>❑ Allocated the work item to yourself following all steps in the Self Allocation on the System Standard Operating Procedure<br>❑ Familiarised yourself with Contact Process Standard Operating Procedure<br>❑ Familiarised yourself with the Escalation and Prioritisation Matrix |
| **Actions** | ❑ 4.1 Conduct a desktop review<br>❑ 4.2 Determine if contact is required<br>❑ 4.3 Make a decision for the internal review request<br>❑ 4.4 Make a preliminary decision on plan duration<br>❑ 4.5 Submit a decision outcome<br>❑ 4.6 Build the new plan<br>❑ 4.7 Approve the new plan<br>❑ 4.8 Record the Decision Outcome |

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**OFFICIAL**

**Standard Operating Procedure**

For Internal Use Only

| Topic | Checklist |
|-------|-----------|
| | ❑ 4.9 Prepare the decision letter |
| | ❑ 4.10 Send decision letter and relevant documents |
| | ❑ 4.11 Inform National Delivery or Partners in the Community of decision made. |
| | ❑ 4.12 Complete remaining closure tasks |
| | ❑ 8. Appendix A - Assigning a Review Application or Interaction for action by ND and PiTC |

# 3. Scope of Review

### 3.1.1 Background

The intent of an internal review is to reconsider a decision by 'standing in the shoes of the original decision maker'. This means reviewers will usually consider if the original decision made, was correct under the law based on the participant's situation and support needs at the time of the original decision. The internal review team will seek to review the request based on the issue/s at hand, and confine the scope of the review to those issue/s that the participant wishes to raise as part of their request. If there are dependencies or related issues, these will also be considered. For further guidance on what is in scope for an internal review refer to the Principles of In Scope s100 Planning Review guidance.

### 3.1.2 Referrals to other teams

The Home and Living Team complete internal reviews that includes at least one of the following review types (noting the Home and Living Team will then conduct the entire s100):

- SIL funding in dispute
- SDA funding in dispute
- Medium Term Accommodation in dispute
- Independent living options in dispute
- Complex Home Modifications in dispute
- NSW Living alone with significant supports in dispute

The Review of Reviewable Decision (RORD) form or supporting information on the s100 work item should identify the above supports are what is being disputed. Refer to any interactions on the record for any Home and Living applications and read file alerts. If you are unsure, please confirm with your team leader.

If you have been assigned a s100 work item and the request is a dispute as listed above, and you have not yet commenced the review, complete the following steps.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 3 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 135 of 875

1.   In the **IRT Database**, identify the case in the review screen using the **browse all cases** button and close the record by entering in the Outcome as **Referral - Housing**.

2.   Assign the s100 work item to <span style="background-color:#cccccc">s22(1)(a)(ii) - irrelevant material</span> in the system.

# 4.   Procedure

## 4.1   Conduct a desktop review

### 4.1.1   Finding and uploading documents

1.   As you review existing documents throughout the process of making a decision make sure those documents are linked to the s100 form. If they are already in inbound documents under a different line, you will need to link the document to the s100 form before reaching an outcome.

2.   The participant has been given an opportunity to provide evidence both at the time they submit the request and since the acknowledgement letter was sent. Check that it has been 10 calendar days since the acknowledgment letter was sent so the participant has had the opportunity to provide any additional evidence before progressing with this review.

3.   When you are reviewing a request and receive further information, this must be added to inbound documents under the line titled "**s100 internal review request dd/mm/yyyy**".

**Note:** When uploading a document please follow this naming convention style: Participant Surname First Name NDIS number Topic/Document Name. For example Smith James 4312345678 Occupational Therapist Report July 2021, or Smith James 4312345678 Unable to Contact Letter.

### 4.1.2   Review the category and requested outcomes

Review the s100 Form or the Review of Reviewable Decision Form in Inbound Documents and the intake interaction and determine:

- The category of s100 review being requested (for example, a s100 on a statement of supports, or on a decision not to review a plan).

- Why the participant has made the request and the outcomes they are seeking. For a review regarding statement of supports, identify the specific details of the request, including the requested frequency/nature/funding value of requested supports.

### 4.1.3   Review the evidence available

# Standard Operating Procedure

For Internal Use Only

1. Review the participant's record for available evidence or information to support the review request. For example, assessments, reports, quotes and any interactions with the participant such as phone conversations.

2. Given the participant has had an opportunity to provide additional evidence at the time of the review request and following acknowledgement of the s100 it is not expected that the delegate will need to request additional available information. Additional available evidence should only be requested by delegates if it is likely to materially change the decision or there is an identified risk to the participant if we don't fund it and we need the evidence to justify the decision. If you think additional evidence is required, follow the steps in section 4.2.

3. Review the participant's record including all pre-planning and planning tasks in the current plan, justifications in the plan, the utilisation of these supports, and any other relevant interactions to develop an understanding of what was funded and why.

   **Note:** Panda Live V2 is a helpful tool to identify budget utilisation and plan value compared with TSP.

4. Consider whether there are opportunities for **early resolution** – for example, the participant's request may be achieved simply through flexible use of the plan. Unless supports are fixed (stated) in the plan the core support budget is fully flexible. The Capacity Budget is flexible within each category across all non-stated support items. If early resolution seems likely to resolve the participant's request, they will need to understand a withdrawal is required and what the consequences are when withdrawing their internal review. If so, withdrawal can be discussed, for contact with the participant go to section 4.2. For further information on the early resolution, criteria see Withdrawal of an Internal Review Request Standard Operating Procedure.

5. Review open activities to identify if there is an open Change of Circumstances interaction – Request Disability Update. If the task is open do not continue until this has been completed. This process is estimated to take 48 business hours. Seek team leader advice if this has not been actioned within this timeframe.

6. Consider whether the requested supports are related to the disability/disabilities recorded. If these have been updated recently the National Operations Team will have added to the s100 alert that is open. <Disability update approved/declined, NOT Delegate <login ID>, dd/mm/yyyy>. If there is no change in functional capacity proceed with the s100 or if there has been a change to functional capacity since the original decision consider discussing the option of a PRR with the participant.

   If a PRR is required, refer to the steps in the Standard Operating Procedure – Create a plan reassessment (or variation) request (PRR).

7.  Consider whether the approval and funding of the requested supports will have an impact on any other supports in the plan.

    For example, the funding of vehicle modifications may lead to the removal of transport funds. If so, this will need to be discussed with the participant go to section 4.2.

### 4.1.4  Review other details on participant's record.

1.  Review the participant's record including alerts to make sure you are aware of any concerns. For example, it may be indicated the participant has complex needs or accessibility requirements and you may require the procedures from Standard Operating Procedure – Assist the Participant with their preferred method of communication.

    *   If you identify the participant is in the Complex Support Needs (CSN) pathway, contact the relevant staff member regarding the s100 review before proceeding. Their details can be found on an active alert on the file or interactions. If the staff member details are missing, email CSN. The purpose of this contact is to advise CSN the participant has a s100 internal review requested and clarify if there is any information IRT need to be advised to best support the participant with their request for internal review. Record your conversation with the CSN team on the participant's s100 form.

    *   If you identify the participant is in receipt of compensation and has had a Compensation Reduction Amount (CRA) applied to their plan, or special circumstances considered, please reassign the s100 work item request to the IRT Escalations Team and email s22(1)(a)(ii) - irrelevant material .

2.  If you identify the participant has also been waiting for Assistive Technology or Home Modifications (ATHM), take note of this as there are additional closure tasks that are required.

3.  If you identify the participant is a YPIRAC participant or the request is in relation to any of the Home and Living categories refer to Intake of a Planning Internal Review Request Standard Operating Procedure for details on identifying those that need to be completed by another team and reallocate to that team following steps for reallocation in the Intake SOP.

4.  If the request appears to be because the original planner has made an **error** in calculations or missing support that was intended to be included in justifications Refer to the Managing Planner Error in Internal Review Planning Requests Standard Operating Procedure before progressing further.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 6 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 138 of 875

After the completion of the above review of circumstances, you should have developed a preliminary view for the request(s).

## 4.2 Determine if contact is required

After the desktop review is completed, you need to contact the participant/authorised representative to discuss the review if the following exceptions apply:

- If there is high or extreme risk identified for the participant in accordance with the escalation and prioritisation matrix.

- Information provided by participant is still unclear after you have reviewed PCT, justification and interactions, and further clarity is required to progress the request.

- The IRO is unable to locate or view evidence used by the Planner with the original decision and required to undertake the s100 decision.

- If it appears that an early resolution is possible through a clarification phone call. Refer to Withdrawal of an Internal Review Requests Standard Operating Procedure.

- The request appears to be miscategorised (refer to the Managing miscategorised internal review requests SOP to identify when a call is required).

If the above criteria is met, talk to your TL or AD to determine if contact is required and if so, please refer to Contact Process Standard Operating Procedure.

**4.2.1 You can then proceed with one of the options below:**

**a) Determine if further information needs to be received before a decision can be made.**

This option is for reviews where further information is required to make a decision. Refer to the Internal Review Gathering Evidence Guide.

When asking for additional evidence you need to be clear on the following:

- What you are asking for and why it is needed to make a decision

- Limit the request for additional evidence to what is within the scope of the review.

- Confirm a time frame to return the information – a maximum of 28 days and advise the participant that if the evidence is not provided in the timeframe a decision will be made based on information available and the circumstances as they exist at the time the reviewer makes the decision. Be clear with the participant why and what you are requesting the additional evidence or information for and limit this to what is required within the scope of the review. Additional time may be allowed in

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 7 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 139 of 875

# Standard Operating Procedure

For Internal Use Only

exceptional circumstances if the participant cannot reasonably acquire the evidence within this time. Assistant Directors are required to approve any extension of the timeframe. This will not extend the pause process below.

- Send the Internal Review Request for Information Letter to the participant and upload this document onto the system.

- Inform the participant to return the evidence by emailing the documents to Internal Reviews planning and:

- Inform the participant to note their full name and NDIS number in the email subject.

- If required, obtain consent to speak to third parties (for example occupational therapists, physiotherapists) and document consent on the participant record.

- Create an **Alert** on the participant's record as per below with an end date calculated at 28 days from the day of request for information:



Image caption: Screenshot showing a system Alert on the participant's record. The primary box is unticked, the Alert title is 's100 in progress', additional information states 'RFI pending for s100', the start date is 4.03.2021 and end date is 2.04.2021.

- Update the Database putting the record on hold as per IRT Planning Database Manual.

- If the review is for a statement of supports, enquire about their preferred plan management options for the requested supports. If you preliminary assess this preferred self-management is unable to be provided (prohibited by agency guidance, and the participant only prefers the self-management option), inform them you may record this as a declined request on the s100 review.

V13.0 2022-03-11        Complete a Planning Internal Review Decision        Page 8 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 140 of 875

# Standard Operating Procedure

For Internal Use Only

- Confirm with the participant that as a result of the internal review decision a new plan may be created and confirm with the participant any preferences they may have regarding plan duration. Refer to section 4.4 for further information.

- Inform the participant that they may be contacted again or will receive a letter with the outcome of a review request.

- Proceed to section 4.3.

**b) Review request can be withdrawn**

This option is for participant requested withdrawals or for early resolution of requested supports achieved.

Discuss the option for withdrawal with the participant and inform them of the consequences of withdrawing the internal review. Once the request to withdraw is confirmed, follow the key talking points in the Withdrawal of an Internal Review Request Standard Operating Procedure.

- Record the conversation in both the s100 supporting information field and the s100 Request Received interaction using the **s100 - Request Withdrawn early resolution** interaction from the Internal Review of a Planning Request Interaction Templates.

- Once you have completed the withdrawal conversation, complete this review by following the Withdrawal of an Internal Review Request Standard Operating Procedure.

**C) Review request is miscategorised**

This option is for miscategorised reviews which have been confirmed after clarification with the participant. This only applies when the **entire** request is miscategorised.

- Complete the conversation and review by following the appropriate steps in the Managing Miscategorised Internal Review Requests Standard Operating Procedure.

### 4.2.2 Record the conversation with participant

1. Record the conversation with participant, including that the pre contact SMS was sent as an interaction on the system using the **s100 contact** interaction template from Internal Review of a Planning Request Interaction Templates.

# Standard Operating Procedure

For Internal Use Only

**Note:** Please add your progress interactions to the **s100 Request Received interaction** already created during intake. This will make sure all conversations, actions, progress on the s100 are captured in the one interaction trail. Only differ from this when an open interaction is created and needs to be assigned to another team/region for action.

2. Make sure any specific supports withdrawn from the review (if any) by the participant have been noted on the interaction.

3. Record the date of contact and progress of review in the IRT Database. Make sure the participant contacted date field is completed.

4. If you are waiting for further information, make sure you have added an alert on the participant record and set the review in the IRT Database to **on hold**. Refer to section 4.2. Once the requested evidence or further information is received, proceed to the next step.

## 4.3 Make a decision for the internal review request

**Note:** For internal review officers without delegation you are making a recommendation.

1. The available evidence will need to be assessed to determine whether the original decision should be appropriately set aside or confirmed according to the legislation.

2. Refer to the Principles of s100 Decision Making to support your decision making.

3. Consider the available evidence to build a view on the participant's current functional capacity or circumstances. If there is conflicting information, consider which source is most credible.

4. Make sure any evidence or information considered in your decision is uploaded to Inbound Documents and linked to the s100 form. If evidence considered was gathered during a call, the interaction should be recorded in the "Supporting Information" field using the relevant interaction template. Follow the steps below for linking all evidence to the s100 form:

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For Internal Use Only

Update **Supporting Information**, if required**.**



Image caption: Screenshot of the Request Details screen on the participant record showing the supporting information field where the interaction should be recorded.

**5.** Select **Add** to add **Attachments**, if required (Documents already in Inbound Documents).



Image caption: Screenshot of the Attachments screen highlighted by a red box showing the plus button on the right side to attach documents.

**6.** Select **Save**.



Image caption: Screenshot of the system Attachments screen showing a test document attached and a save button at the bottom right.

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# Standard Operating Procedure

For Internal Use Only

7. A success message displays. Select **OK.** Consider each request alongside the available evidence and whether it meets the legislation under the NDIS Act and relevant Rules under the Act. For example, a request on statement of supports will require consideration under section 34 (reasonable and necessary) and Part 5 of the NDIS (Supports for Participants) Rules.

8. An internal review request on decision not to review a plan (s.48) will require consideration of the criteria under NDIA's Operational guidelines for s48. You do not need to assess the requested supports as your decision is whether or not the decision made not to review a plan is correct. The next step in the process for these requests is at section 4.5.

9. Review the Operational Guidelines – Reasonable and Necessary Supports and Would we fund it for additional guidance on making decisions on statement of supports if required.

10. Seek advice from your Team Leader or Assistant Director if required.

11. Seek specialist input from the **Technical Advisory Branch** (TAB) if required.

   **Note:** APS5 Internal review officers and those without delegation **must** seek team leader support before contacting TAB.

   Check the Requesting Advice intranet page for **mandatory** TAB referrals. Before making a decision, it is mandatory to obtain and follow TAB advice in relation to requests for the listed mandatory items. If you disagree with the advice received from TAB, discuss first with your team leader (or equivalent) and then contact TAT enquiries who will contact the TAB Advisor or TAB Assistant Director for further discussion and resolution. Refer to the Requesting Advice intranet page for more guidance.

12. Consider seeking advice from the **Early Childhood Services Branch** if it relates to a participant who is under 7 years.

13. Apply any agency guidance and policy if applicable from the NDIS operational guidelines.

14. Weigh the above factors to determine a set aside or confirmed decision.

## 4.4   Make a preliminary decision on plan duration

**Note:** For internal review officers without delegation you are making a preliminary recommendation on plan duration.

Delegates should be guided by the Panda Live V2 recommendation of plan duration in most instances. Typically, this would be for requests that meet the following criteria.

**Criteria**:

# Standard Operating Procedure

For Internal Use Only

- There are no expected life stages changes to occur for the duration of the plan

- Funded supports are within TSP or the plan is not inflated by more than 10 percent of the previous plan value.

If criteria is not met, you should retain the same end date (as close as possible) and record your justification for altering the recommended plan duration when completing the Risk Assessment in Pre Planning. You will need to pro-rata funding when you build the plan.

Delegates should also consider other factors when determining plan duration such as:

- Keeping family groups review schedules together

- Supported Independent Living (SIL) Participant groups together

- Utilisation variance in previous plans

- Support meets R&N for the duration of the plan and there are no time limited supports included.

If more than two of these considerations apply, speak to your Team Leader or Assistant Director regarding a shorter plan duration.

## 4.5   Submit a decision outcome

Once a decision has been determined, it needs to be submitted on the system.

**Note**: If the decision being reviewed is the decision not to review a plan you will not need to follow step 2 below.

1. If you are an Internal Review Officer without delegation, email your Team Leader to seek approval. Wait for their approval before proceeding to section 4.6.

2. If the plan is inflated by more than 40 percent the decision needs to be discussed with an Assistant Director before proceeding. Seeking specialist advice from TAB or ECS should be considered in these cases to support significant deviation from the original decision especially where no new evidence has been provided.

3. Otherwise, if you have delegation to submit a decision outcome, proceed to open the s100 form for this review under open activities and select **Edit**.

# Standard Operating Procedure

For Internal Use Only



Image caption: Screenshot of the system s100 form showing the Edit button highlighted at the bottom of the screen.

4. Update the **Supporting Information** stating all evidence/information supporting the decision has been uploaded to the system and linked to the s100 form. Select **Save** to confirm your updates.



Image caption: Screenshot of system s100 form showing the supporting information field highlighted where all evidence/information supporting the decision should be recorded. At the bottom of the form the Save button is highlighted.

5. Record the outcome decision by selecting **Ready to Submit** outcome. Select the appropriate decision outcome as **Confirm Decision** or **Set-Aside Decision**. Do not select the **Vary decision** option as the system currently does not allow us to 'vary' plans. A plan review will be initiatied for a set-aside decision.

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Image caption: Screenshot of the s100 ready to submit system screen, with the Outcome Justification drop down options Confirm Decision and Set-Aside Decision each highlighted in a red box.

6. For **Confirmed** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

   **Review on statement of supports**

   - s100 confirm: s100 decision made to confirm the original decision, the supports requested were not found to meet NDIS funding criteria or could not be considered as they were out of scope. See outcome letter for details.

   **Review on decision not to review a plan (s48)**

   - s100 confirm: s100 decision made to confirm the original decision as it was unable to be demonstrated that; circumstances have changed, or there is new information that would change/affect our assessment of the participant's needs, or, their needs can't be met by existing supports. See outcome letter for details.

7. For **Set-aside** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

   Note: You must include in the justification the TSP has been considered when determining reasonable and necessary supports.

   **Review on statement of supports**

   - s100 Set aside: A s100 review request was submitted on [insert date], consideration was given to s34 reasonable and necessary criteria in the NDIS Act and the NDIS

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# Standard Operating Procedure

Rules. TSP has been considered when determining reasonable and necessary criteria. As a result of this, a plan review was initiated to give effect to the decision to vary the current level of funding – the original budget has been set aside.

**Review on decision not to review a plan**

- s100 decision to set aside the decision not to approve a request to review the plan under s48. A plan review is approved and has been initiated to give effect to the s100 decision.

- The plan review has been initiated and now needs to be assigned for action. Follow the steps in Appendix A to assign the plan review and interaction.

- Go to section 4.8

## 4.6   Build the new plan (if required)

1.  If the outcome of an internal review was a 'Confirmed decision', ' for an internal plan review decision' skip to section 4.8.

2.  A set-aside decision for a statement of supports will have a new and automatically generated Review Application under Pathway in the participant record with a status of in-progress.

### 4.6.1  Complete pre-planning tasks

Complete the pre planning tasks below as per the Standard Operating Procedure - Complete a Plan Review (light touch).

1.  The **Outcomes Questionnaire** in Pre Planning must be reviewed and submitted so quotes can be implemented after the review. Occassionally this may be blanked out as the participant has moved into another age group and a different outcomes questionnaire is required. If this occurs we can still submit the outcomes questionnaire and make a note in the implementation interaction that this was not completed for the purpose of giving effect to a s100 internal review decision.

2.  **Risk Assessment/Plan Duration**: Refer to section 4.5 and the Standard Operating Procedure – Complete the Risk Assessment task. Adopt the approach to make the plan the duration the same as what it was originally approved for, for example 12 months or the participant preference as indicated previously. This will mean pro-rata will not need to be completed. However, based on your investigations of the original plan, Panda recommendations, conversation/s with the participant, risk and/or participant's current circumstances, you identify a shorter term plan duration approach is required, pro-rata will need to be completed to reflect the plan duration.

V13.0 2022-03-11        Complete a Planning Internal Review Decision        Page 16 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 148 of 875

# Standard Operating Procedure

For Internal Use Only

**Note:** If there is a discrepancy in plan duration calculated in the **Pre Planning Risk Assessment** compared to the original approved plan duration or a plan duration you have determined based on the participants circumstances and risk. You will need to adjust it accordingly for the remaining month/days while ticking the '**Plan reviewed early or amended'** box and note it is an outcome of an internal review.

3.  Select **Review and Submit for Funded Supports** and select **Yes**.

## 4.6.2 Complete planning tasks

1.  Complete the **Determine Funded Supports Task** as per Standard Operating Procedure - Complete a plan review (light touch) noting this will be pre populated with approved funded supports from the current active plan.

    **Note:** If the plan duration is **not** what the original approved plan was for, make sure the calculated supports are correct for the time period in each category, you may need to apply pro-rata to the supports. Where you do need to pro rata follow the methodology found in Standard Operating Procedure - Complete a plan review (light touch), Standard Operating Procedure – Complete the Risk Assessment, or Standard Operating Procedure – Complete a plan review (full) which provides guidance for pro rata Capacity Building and Capital Supports. All supports in the plan will need to be pro-rated even if you have not changed the level of funding in the previous plan with the exception of stated capital supports.

    - Special Consideration is required for some specialist plan builds, for example ECEI participants. Refer to the relevant SOPs and ECEI Practice Guide on the intranet when building their plans.

    - Changes to NDIA's approach to funding supports may also have occurred since the approval of the original plan. For example, changes arising from Price Guide updates, employment support changes, SIL changes, hearing service changes and others. Make sure you are aware of any recent changes to supports by reviewing the intranet resources guidance page, and you have applied any recent updates to new and existing supports in the new plan.

    - Check and maintain in-kind information in the plan for relevant supports to make sure there is not duplication of funding since the generation of the TSP and phasing out of in-kind programs. Make sure you are accessing information available in Panda Live v1 for the latest in-kind data and information.

# Standard Operating Procedure

For Internal Use Only

**Notes regarding SIL**: If you have a plan which includes SIL, make sure you follow Standard Operating Procedure – Supported Independent Living (SIL) advice and use IRT **SIL** interaction templates for referencing SIL in s100 decisions. Refer to Internal Review of a Planning Request Interaction Templates.

If you intend to make changes to the SIL funding, you will need to discuss this with the SIL Assessment Team before approving a plan, as you will need the SIL assessors updated SIL recommendation to know the amount of SIL supports to include in the plan.

To make sure you receive the SIL assessor's recommendation in time, send the interaction to the appropriate **state-based SIL team CRM inbox**, and if required, escalate through to the SIL Team Leader via email, and if further escalation is necessary, directly contact the National SIL Director, s22(1)(a)(ii) - irrelevant material

The SIL Team Inbox are **NSW ACT SIL**, **VIC TAS SIL**, **SA NT SIL**, **QLD SIL** and **WA SIL** for assigning the open interaction to the appropriate state SIL team.

For more information refer to:

- Standard Operating Procedure – Supported Independent Living (SIL) Section 4.4 for state and territory **SIL CRM Inboxes**. Section 6.2 - Include SIL in the participant's plan.

- SIL Intranet page for state and territory SIL teams MS Outlook contact details.

- Operational Guideline – Supported Independent Living (SIL).

**Note:** If there are In-Kind supports as part of the plan, refer to the In-Kind intranet page for guidance, check the transition dates for the state/territory of the participant and speak to your Team Leader. Do not contact or notify the SIL Team for plans with In-Kind supports.

2. Any Capital Supports funding claimed in the original plan should be removed. Claimed capital supports can be determined from checking the plan utilisation (ensuring you have considered costs of repair and maintenance) or any accepted assistive technology quotes.

**Note**: The definition of 'mid cost AT' has changed from $5000 to $15000. Participants no longer need a quote for AT that cost less than $15000. The Factsheet – Understand assistive technology evidence, advice, assessments and quotes provides a general overview of the update.

Refer to the following Standard Operating Procedures for further guidance on adding low, mid and high cost supports and repairs and maintenance for new and existing items:

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 18 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 150 of 875

# Standard Operating Procedure

For Internal Use Only

- Standard Operating Procedure – Add low cost assistive technology supports in a plan
- Standard Operating Procedure - Add mid cost assistive technology in a plan
- Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT
- Standard Operating Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology

Check if the system has made an error in adding any funding for Capital Supports were not approved in the last plan, which will need to be removed.

3. Plan comments may need to be updated to reflect the supports in the new plan as a result of the decision outcome. This may also include reviewing and updating any existing comments that relate to the supports determined in scope for the internal review and removing those that no longer apply to explain to the participant what the funding is for. Comments should be written in each of the Support Categories where funded supports have been placed. A Support Category are the areas in the plan where funding/line items have been placed, for example, Consumables, Daily Activities, Social Community and Civic Participation, Transport, CB Choice and Control, CB Daily Activity, CB Relationships, Assistive Technology, Home Modifications to name a few.

**Note:** Plan comments will be printed in the participants plan. Refer to Standard Operating Procedure – What print's on a plan.



Image caption: Screenshot showing comments for each support type in the Finalise Plan and Approve tab. Comments column highlighted. Example showing from top to bottom. First line: Support category: CB Choice and control, price: 2627.17, comment: plan management and financial capacity building - set up costs. Second line: CB daily activity, price: 5676.00, comments: support to build my skills so I can achieve all my

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# Standard Operating Procedure

For Internal Use Only

plan goals. Third line: CB Employment, price: 7733.23, comments supports to help me find and keep a job.

4. Once you are satisfied you have included all reasonable and necessary supports in the plan, select **Submit**.

5. Complete the **Determine Plan Management Task.** This task will be pre-populated with the recommended plan management based on the responses in the **Complete Risk Assessment Task**. Review and confirm it reflects the plan management determined previously. Previous plan management allocations can be viewed in Panda Live v2. When making changes to the Determine Plan Management task make sure the unit of entry is **percentage** (not currency).

   **Note:** If you have rejected the participant's request for self-management of their supports, this will be considered a declined request and will need to be reflected when preparing the decision letter and communicating the decision in section 4.9 and section 4.10.

6. Select **Submit**.

## 4.7  Approve the new plan

Under the **Planning Tab**, Internal Review Officers without delegation will need to either select the **Review and Submit Draft Plan** or **Review and Submit Plan for Approval task**. Only one will be available based on your role.

If you are an internal review officer with delegation, select the **Finalise Plan and Approve** task.

1. Review all sections of the Plan as per the **Review Sections** of the Standard Operating Procedure – Finalise and approve a plan with careful consideration to adjust the justifications (Part 5: Funded supports in the Finalise Plan and Approve task, and Part 4: Funded Supports in the Review and Submit Draft Plan task) to explain the internal review decision for those supports determined in scope for the internal review.

   **Note:** When writing justifications we must consider: supporting information, evidence provided, lived experience, participants goals, participant circumstances and disability support needs, section 34 of the NDIS Act 2013, Part 5 of the NDIS Rules, previous budget utilisation, TSP, inflation and agency wide guidance materials.

   **a) If no changes are required to the support category:**

   Copy the justifications from the previous plan and add "This support category was not changed as part of the of the s100 Internal Review Request. Justification remains the same".

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# Standard Operating Procedure

For Internal Use Only

**b) If changes were made to the support category:**

Please start each support category justification with the sentence, "As part of the s100 review, I have found these supports meet s34 reasonable and necessary criteria in the NDIS Act and NDIS Rules. I have made a decision to vary the current level of funding."

If there are existing justifications within this support category, you will need to update the entire justification if you changed the funding making sure the following are included:

- describe the support and how it relates to the participant's disability support needs

- describe how the support will help the participant work towards their goals

- describe how the support meets reasonable and necessary criteria

- refer to any relevant supporting evidence.

Examples to guide your written justifications are included in Appendix Write a best practice justification within the Standard Operating Procedure - Review and Submit plan for approval.

1.  For Internal Review Officers without delegation, click on **Save** at the bottom of the **Review and Submit Draft Plan** section. Do not select Submit as this submits the plan to WLM for National Delivery staff and is not a process IRT follow. Email your Team Leader once you have prepared the draft decision letter, and note the plan and letter are ready for approval. You can now refer to section 4.8.

2.  Otherwise, if you are a delegate, proceed to select **Yes** on the **Generate plan only** button at **Part 9: Delegate** after completing the **Finalise plan and approve** section. This option is selected to supress the default cover letter which is sent with plan approvals, as it will be replaced by our decision letter.



Image caption: Screenshot of Part 9: Delegate screen from the Planning; Finalise Plan and Approve system tab. Select yes on the Generate plan only.

# Standard Operating Procedure

For Internal Use Only

**Note:** Prior to selecting Approve, you can select the **Print Preview** button. This will display a draft copy of the plan and will allow you to proof read and view what will be provided to the participant.



Image caption: Screenshot of the buttons at the bottom of the Finalise Plan and Approve screen with Print Preview highlighted.

3.  Select **Delegate Approval** and then select the **Submit** button.

4.  If an Alert appears stating level 4 delegation approval is required for this plan, follow the steps outlined in section 4.7.1.

5.  Once the plan has been approved, if applicable, implement any 'Quote required line items' required as a result of this decision outcome (except SDA). The Standard Operating Procedure – Initiate and Record Quotes and Standard Operating Procedure – Consider and action quotes provides guidance on how to implement quotations. For plans that include Supported Independent Living (SIL) funding, create SIL service booking following Standard Operating Procedure – Supported Independent Living (SIL).

### 4.7.1 Higher Delegation Approvals Process

1.  Confirm the s100 alert is active on the participant's record.

2.  Refer to the Higher Decision Delegate Standard Operating Procedure for assigning plans for approval.

    Note: You will need to seek preliminary endorsement from your Team Leader. APS6 delegates can endorse their own plans and do not require a second level quality check.

## 4.8   Record the Decision Outcome

### 4.8.1  For Statement of Supports Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Statement of Supports** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

### 4.8.2  For not to review a plan Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Not to review a plan** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 22 of 29
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**OFFICIAL**
Page 154 of 875

## 4.9    Prepare the decision letter

1.  Based on the decision outcome, complete the relevant letter found on the IRT intranet page.

2.  Follow the instructions on the respective letter template to complete the decision letter and make sure:

    - The date of the decision letter should be the same date the s100 review decision outcome was in effect (date you approved the plan on the system).

    - Approved supports should be referred in terms of support hours/quantities, rather than dollar values.

    - Any requests withdrawn throughout the process need to be recorded, including those where we have spoken to the participant regarding requests that do not meet the scope of an internal review.

    - Please do not write any more than 2 additional sentences per criteria in the Basis for Decision section. If you wish to provide detailed information on possible next steps including referrals to mainstream and/or community supports or other referrals you can include this in the implementation interaction completed at section 4.11.

    - Save a copy of the completed letter as a PDF using the naming convention. Participant Surname First Name NDIS Number Decision letter. For example, Smith James 4300044567 Decision Letter.

    - For Internal Review Officers without delegation, email the decision letter to your Team Leader for approval. Once approved, proceed to section 4.10.

    - For delegates, proceed to section 4.10.

## 4.10   Send decision letter and relevant documents

NDIA must give written notice to the participant and/or representative of the internal review decision.

If a new plan has been created as a result of the decision you will need to save or print the approved plan locally and send the plan with the decision letter. Complete the following steps:

    - From **Outbound Documents**, save or print the approved plan locally. If you need help to do this, refer to Standard Operating Procedure – View, Print or Suppress an Outbound Document.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 23 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 155 of 875

- Send the plan and letter to the participant or their authorised representative, using their preferred method of communication.

- If the participant preferred method contact is via email, use the Internal Review planning email address to send the decision letter as an attachment and use the subject line and email template below and new plan (if applicable).

  **Email Template for Decision Letter**:

  Subject Line – Outcome of your Internal Review Request Participant Number<xxx>

  Body – Please find attached to this email the outcome of your request for an internal review of a decision.

  Regards,

1. If there are accessibility requirements required for printing the written notice or any other relevant documents follow the process in the Printing plans in braille and other accessible formats guidance. Please note the financial delegate mentioned will be the EL1 of your respective team.

2. If there are language requirements required for printing the written notice or any relevant documents, follow the process in Practice Guide – Assisting communication.

3. If the documents are being posted, mail all the relevant documents above in the one envelope. Check with your local site or team leader about mailing arrangements.

4. Upload all the mailed documents onto the system as a PDF document in the participant's Inbound documents line titled 's100 internal review request dd/mm/yyyy'. Refer to the Standard Operating Procedure – Inbound Documents for how to upload a document and naming conventions. Refer to section 4.1.1 for naming conventions.

## 4.11 Inform National Delivery or Partners in the Community of Decision made.

After completing an internal review for **statement of supports** requests National Delivery and Partners in the Community will need to be informed of the decision to implement the new plan or follow-up activities where required.

1. Complete the appropriate Implementation interaction from the Internal Review of a Planning Request Interaction Templates on the participant's record on the system. This will be either the **s100 Completed Change to statement of supports** or **s100 Completed No change to supports interaction**.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 24 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 156 of 875

# Standard Operating Procedure

For Internal Use Only

**Note**: If you have identified alternative mainstream or community supports that should be explored you can include this in the interaction template for the local office to follow up with the participant.

- Re-assign your completed interaction to the appropriate local NDIS office by following the Workflow Rules.

## 4.12 Complete remaining closure tasks

1. Record the outcome of the review in the IRT Planning Database.

2. You will also need to record the Original Decision Maker (ODM) feedback on the IRT Planning Database to make sure the reason for your decision is recorded in IRT's database. This is important information that allows us to provide feedback to original decision makers. Refer to the IRT Database Manual.

3. End date the s100 alert created in section 4.2 by setting the end date as the day of the decision. Refer to Standard Operating Procedure – View or edit an alert for how to edit an alert.

4. Assign any Assistive Technolgy and Home Modifications (ATHM) items placed on hold by National Delivery due to an active s100, back to WLM or the Participant's region (RTS CRM inbox). To do this:

   - Check interactions using the table format for any ATHM items that are open, and also search s22(1)(a)(ii) - irrelevant material' (KM0054) CRM inbox for the Participant's name and open ATHM item/s

   - If an open ATHM item is found, and the interaction ID starts "700" you will need to un-assign the ATHM work item back to WLM by using "User Unavailable" as a reason.

   - Then apply an extreme workflow identifier to the participant's record, with an end date of 14 calendar days later. Refer to the Standard Operating Procedure – Add or remove workflow identifiers

   - If the open item does not start with and interaction ID of "700" you will need to reassign the ATHM interaction to the RTS inbox of the participants jurisdiction using the Standard CRM inbox structure.

5. Review all open tasks in the participant record that relate to the Internal Review Request and make sure they are all closed with the exception of the Implementation interaction.

V13.0 2022-03-11          Complete a Planning Internal Review Decision          Page 25 of 29
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**OFFICIAL**
Page 157 of 875

**Standard Operating Procedure**

For Internal Use Only

# 5. Related procedures or resources

- NDIS Act
- NDIS Rules
- NDIS Operational Guidelines
- Intake of a Planning Internal Review Request Standard Operating Procedure
- Internal Review of a Planning Request Interaction Templates
- Our Guideline – Your privacy and information
- Standard Operating Procedure – Check third party consent or authority
- Standard Operating Procedure – Record and verify identity for an individual
- Standard Operating Procedure – Record third party consent
- Standard Operating Procedure – Verify identity for a third party organisation
- Operational Guidelines – Reasonable and Necessary Supports
- Standard Operating Procedure – Finalise and Approve a plan

# 6. Feedback

If you have any feedback about this Standard Operating Procedure, please complete the Internal Review Team Quality and Continuous Improvement Form and email it to the Business Improvement Team. In your email, remember to include the title of the product you are referring to and describe your suggestion or issue concisely.

# 7. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|------------|----------------------------|--------|------|
| 11.0 | DII394 KMM575 | Class 1 approval. Changes after Directors Review. Updating based on director feedback. Linked all new SOPs. Quality check and accessibility. | APPROVED DLL320 SW0065 | 2021-11-26 |

V13.0 2022-03-11     Complete a Planning Internal Review Decision     Page 26 of 29
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**OFFICIAL**
Page 158 of 875

## Standard Operating Procedure

For Internal Use Only

| Version | Amended by | Brief Description of Change | Status | Date |
|---|---|---|---|---|
| 12.0 | DII394 | Class 1 Approval<br><br>Updated the HDD referral process. | APPROVED<br><br>SW0065<br><br>DLL320 | 2021-12-10 |
| 13.0 | LW0022<br><br>KMM575 | HDD process update. Document pre contact SMS sent. Wording updates for LH staff. Housing referral changed to s22(1)(a)(ii) - irre ▢. Linked to mid cost AT SOPs. Pre-requisite added for change to section 100(5) of the Act. Wording change at the desktop review where there are changes to the disability. Justification to include TSP has been considered. APS5 and IROs without delegation to seek team leader support prior to contacting TAB. Removal of NDIS contact. | APPROVED | 2022-03-11 |

# 8. Appendices

## 8.1 Appendix A – Assigning a Review Application or Interaction for action by ND and PiTC

A **Review Application** is created when you **set aside a decision not to review a plan.** The **Review Application** needs to be assigned to ND or PiTC for the plan review to be undertaken.

Participants who belong to **Young People in Residential Aged Care (YPIRAC)** and **Complex Support Needs (CSN)** cohort need to be identified and assigned manually:

**YPIRAC Participants**

1. Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates outlining the request for review, and that due to the participant residing in aged care the review application is to be actioned by a YPIRAC planner.

2. **Assign** the **Interaction** and **Review Application** to the NDIS business system inbox for employee "s22(1)(a)(ii) - irrelevant material"**(SV0008).** s22(1)(a)(ii) - Ir will then allocate the application for progression.

**CSN Participants**

V13.0 2022-03-11        Complete a Planning Internal Review Decision        Page 27 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 159 of 875

# Standard Operating Procedure

For Internal Use Only

1. Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates. The Interaction provides information to the assignee to advise what has occurred and what is required.

**Assign** the **Interaction** and **Review application** to the correct inbox as per the super intensive Stream in the Workflow Rules.

**For all other participants, Review Applications are to be assigned using the Workflow Identifier. Refer to the** Standard Operating Procedure – Add or remove workflow identifiers.

For all Participants (except those who are in the YPIRAC and CSN cohorts) no matter the streaming undertake the following steps:

From the Participant Details tab select Workflow Identifiers.

1. Select **Edit** and then the **+ symbol** to add a new workflow identifier.

2. Select the **Change and Review Request** identifier from the drop down.



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved.

3. Add a **Valid To** date for **four** calendar months from the date the **review application** was **approved**.

4. Select **Submit**.

**Priority referral of Review Application**

For those participants whose risk is considered **High/Extreme** discuss with your TL if the review application requires **priority referral** resulting in the **Review Application** being drawn from **WLM** in the **next business day**.

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# Standard Operating Procedure

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If **Priority referral** has been **endorsed** Refer again to Standard Operating Procedure – Add or remove workflow identifiers.

1. **Select** the additional **Workflow Identifier** for **Extreme** or **High** depending on the risk rating.



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved. Extreme and High highlighted in red.

2. The **Valid From** date will be the date the **review application** was **approved**.

3. Add a **Valid To** date for 4 calendar months from the date the **review application** was **approved.**

4. Select **Submit**.

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# Complete a Planning Internal Review Decision

This Standard Operating Procedure (SOP) will help you to make timely and quality decisions consistently by explaining:

- The key actions and pathways to make an s100 decision
- When to communicate with participants or their representatives
- How to give effect to your decision
- How to return the participant into the regular review cycle

**Note:** All references to "participant" in this document also refers to authorised representatives/nominees/child representatives.

## 1. Recent updates

| Date | What's changed |
|---|---|
| September 2022 | **Added Content** <br><br> Initial contact required for all s100 requests where a participant funding has been reduced by more than 20% in the most recent plan. Call required if decision reduces plan funding by more then 20% |
| March 2022 | **Added Content:** <br><br> Document pre contact SMS was sent. <br><br> Check for update to disability. <br><br> Pre-requisite added for change to section 100(5) of the Act. <br><br> Naming convention for the decision letter. <br><br> APS5 IROs and those without delegation must seek team leader support before contacting TAB. <br><br> Changes to the mid cost AT and linked to the AT SOPs. <br><br> **Amended Content:** |

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# Standard Operating Procedure

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| Date | What's changed |
|------|----------------|
| | At section 4.5 if the plan is inflated more than 50 percent a discussion is required, this has changed to **40 percent**. |
| | Updated workflow rules link to IRT page. |
| | Housing referral changed from s22(1)(a)(ii) - irrelevant mate to s22(1)(a)(ii) – irrelevant material. |
| | Wording at section 4.12 – complete remaining closure tasks. |
| | Added in wording to reflect IROs without delegation are making a recommendation. |
| | Linked to the new HDD SOP for new approval process. |

## 2. Checklist

| Topic | Checklist |
|-------|-----------|
| **Pre-requisites** | You have:<br><br>❏ Not been involved in the making of the original decision that is being reviewed. The internal review must be completed by a different delegate.<br>❏ Role delegation or skill tags to access and modify review items on the Business System (system), for example, the s100 form. Otherwise, access to a Team Leader.<br>❏ Access to the intranet to view linked SOPs and templates.<br>❏ Read and considered the available Service Delivery Resources on the intranet, particularly in regards to Pre-planning, Planning and Review before assessing requested supports.<br>❏ Identified intake has been completed and you are familiar with the Intake of a Planning Internal Review Request Standard Operating Procedure and Managing Miscategorised Internal Review Requests Standard Operating Procedure.<br>❏ Allocated the work item to yourself following all steps in the Self Allocation on the System Standard Operating Procedure<br>❏ Familiarised yourself with Contact Process Standard Operating Procedure<br>❏ Familiarised yourself with the Escalation and Prioritisation Matrix |

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**Standard Operating Procedure**

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| Topic | Checklist |
|-------|-----------|
| **Actions** | ❏  4.1 Conduct a desktop review<br>❏  4.2 Determine if contact is required<br>❏  4.3 Make a decision for the internal review request<br>❏  4.4 Make a preliminary decision on plan duration<br>❏  4.5 Submit a decision outcome<br>❏  4.6 Build the new plan<br>❏  4.7 Approve the new plan<br>❏  4.8 Record the Decision Outcome<br>❏  4.9 Prepare the decision letter<br>❏  4.10 Send decision letter and relevant documents<br>❏  4.11 Inform National Delivery or Partners in the Community of decision made.<br>❏  4.12 Complete remaining closure tasks<br>❏  8. Appendix A - Assigning a Review Application or Interaction for action by ND and PiTC |

# 3.  Scope of Review

### 3.1.1  Background

The intent of an internal review is to reconsider a decision by 'standing in the shoes of the original decision maker'. This means reviewers will usually consider if the original decision made, was correct under the law based on the participant's situation and support needs at the time of the original decision. The internal review team will seek to review the request based on the issue/s at hand, and confine the scope of the review to those issue/s that the participant wishes to raise as part of their request. If there are dependencies or related issues, these will also be considered. For further guidance on what is in scope for an internal review refer to the Principles of s100 Planning Review guidance.

### 3.1.2  Referrals to other teams

The Home and Living Team complete internal reviews that includes at least one of the following review types (noting the Home and Living Team will then conduct the entire s100):

- SIL funding in dispute
- SDA funding in dispute
- Medium Term Accommodation in dispute
- Independent living options in dispute

**Standard Operating Procedure**

For Internal Use Only

- Complex Home Modifications in dispute
- NSW Living alone with significant supports in dispute

The Review of Reviewable Decision (RORD) form or supporting information on the s100 work item should identify the above supports are what is being disputed. Refer to any interactions on the record for any Home and Living applications and read file alerts. If you are unsure, please confirm with your team leader.

If you have been assigned a s100 work item and the request is a dispute as listed above, and you have not yet commenced the review, complete the following steps.

1. In the **IRT Database**, identify the case in the review screen using the **browse all cases** button and close the record by entering in the Outcome as **Referral - Housing**.

2. Assign the s100 work item to s22(1)(a)(ii) - irrelevant material in the system.

# 4.  Procedure

## 4.1  Conduct a desktop review

### 4.1.1  Finding and uploading documents

1. As you review existing documents throughout the process of making a decision make sure those documents are linked to the s100 form. If they are already in inbound documents under a different line, you will need to link the document to the s100 form before reaching an outcome.

2. The participant has been given an opportunity to provide evidence both at the time they submit the request and since the acknowledgement letter was sent. Check that it has been 10 calendar days since the acknowledgment letter was sent so the participant has had the opportunity to provide any additional evidence before progressing with this review.

3. When you are reviewing a request and receive further information, this must be added to inbound documents under the line titled "**s100 internal review request dd/mm/yyyy**".

**Note:** When uploading a document please follow this naming convention style: Participant Surname First Name NDIS number Topic/Document Name. For example Smith James 4312345678 Occupational Therapist Report July 2021, or Smith James 4312345678 Unable to Contact Letter.

### 4.1.2  Review the category and requested outcomes

# Standard Operating Procedure

For Internal Use Only

Review the s100 Form or the Review of Reviewable Decision Form in Inbound Documents and the intake interaction and determine:

- The category of s100 review being requested (for example, a s100 on a statement of supports, or on a decision not to review a plan).

- Why the participant has made the request and the outcomes they are seeking. For a review regarding statement of supports, identify the specific details of the request, including the requested frequency/nature/funding value of requested supports.

### 4.1.3 Review the evidence available

1. Review the participant's record for available evidence or information to support the review request. For example, assessments, reports, quotes and any interactions with the participant such as phone conversations.

2. Given the participant has had an opportunity to provide additional evidence at the time of the review request and following acknowledgement of the s100 it is not expected that the delegate will need to request additional available information. Additional available evidence should only be requested by delegates if it is likely to materially change the decision or there is an identified risk to the participant if we don't fund it and we need the evidence to justify the decision. If you think additional evidence is required, follow the steps in section 4.2.

3. Review the participant's record including all pre-planning and planning tasks in the current plan, justifications in the plan, the utilisation of these supports, and any other relevant interactions to develop an understanding of what was funded and why.

   **Note:** Panda Live V2 is a helpful tool to identify budget utilisation and plan value compared with TSP.

4. Consider whether there are opportunities for **early resolution** – for example, the participant's request may be achieved simply through flexible use of the plan. Unless supports are fixed (stated) in the plan the core support budget is fully flexible. The Capacity Budget is flexible within each category across all non-stated support items. If early resolution seems likely to resolve the participant's request, they will need to understand a withdrawal is required and what the consequences are when withdrawing their internal review. If so, withdrawal can be discussed, for contact with the participant go to section 4.2. For further information on the early resolution, criteria see Withdrawal of an Internal Review Request Standard Operating Procedure.

5. Review open activities to identify if there is an open Change of Circumstances interaction – Request Disability Update. If the task is open do not continue until this has

**Standard Operating Procedure**

For Internal Use Only

been completed. This process is estimated to take 48 business hours. Seek team leader advice if this has not been actioned within this timeframe.

6. Consider whether the requested supports are related to the disability/disabilities recorded. If these have been updated recently the National Operations Team will have added to the s100 alert that is open. <Disability update approved/declined, NOT Delegate <login ID>, dd/mm/yyyy>. If there is no change in functional capacity proceed with the s100 or if there has been a change to functional capacity since the original decision consider discussing the option of a PRR with the participant.

    If a PRR is required, refer to the steps in the Standard Operating Procedure – Create a plan reassessment (or variation) request (PRR).

7. Consider whether the approval and funding of the requested supports will have an impact on any other supports in the plan.

    For example, the funding of vehicle modifications may lead to the removal of transport funds. If so, this will need to be discussed with the participant go to section 4.2.

### 4.1.4 Review other details on participant's record.

1. Review the participant's record including alerts to make sure you are aware of any concerns. For example, it may be indicated the participant has complex needs or accessibility requirements and you may require the procedures from Standard Operating Procedure – Assist the Participant with their preferred method of communication.

   • If you identify the participant is in the Complex Support Needs (CSN) pathway, contact the relevant staff member regarding the s100 review before proceeding. Their details can be found on an active alert on the file or interactions. If the staff member details are missing, email CSN. The purpose of this contact is to advise CSN the participant has a s100 internal review requested and clarify if there is any information IRT need to be advised to best support the participant with their request for internal review. Record your conversation with the CSN team on the participant's s100 form.

   • If you identify the participant is in receipt of compensation and has had a Compensation Reduction Amount (CRA) applied to their plan, or special circumstances considered, please reassign the s100 work item request to the IRT Escalations Team and email s22(1)(a)(ii) - irrelevant material

V14.0 2022-09-08          Complete a Planning Internal Review Decision          Page 6 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 167 of 875

**Standard Operating Procedure**

For Internal Use Only

2. If you identify the participant has also been waiting for Assistive Technology or Home Modifications (ATHM), take note of this as there are additional closure tasks that are required.

3. If you identify the participant is a YPIRAC participant or the request is in relation to any of the Home and Living categories refer to Intake of a Planning Internal Review Request Standard Operating Procedure for details on identifying those that need to be completed by another team and reallocate to that team following steps for reallocation in the Intake SOP.

4. If the request appears to be because the original planner has made an **error** in calculations or missing support that was intended to be included in justifications Refer to the Managing Planner Error in Internal Review Planning Requests Standard Operating Procedure before progressing further.

After the completion of the above review of circumstances, you should have developed a preliminary view for the request(s).

## 4.2 Determine if contact is required

After the desktop review is completed, you need to contact the participant/authorised representative to discuss the review if the following exceptions apply:

- If the participant has had their plan funding reduced by more than 20% in the most recent plan for the whole plan. Contact is required on all these s100 requests to ensure IRO has full understanding of the facts and circumstances at the time of the internal review decision.

- If there is high or extreme risk identified for the participant in accordance with the escalation and prioritisation matrix.

- Information provided by participant is still unclear after you have reviewed PCT, justification and interactions, and further clarity is required to progress the request.

- The IRO is unable to locate or view evidence used by the Planner with the original decision and required to undertake the s100 decision.

- If it appears that an early resolution is possible through a clarification phone call. Refer to Withdrawal of an Internal Review Requests Standard Operating Procedure.

- The request appears to be miscategorised (refer to the Managing miscategorised internal review requests SOP to identify when a call is required).

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# Standard Operating Procedure

If the above criteria is met refer to Contact Process Standard Operating Procedure. If you are not sure if contact is required prior to progression of the s100 please refer to your line manager.

**4.2.1 You can then proceed with one of the options below:**

**a) Determine if further information needs to be received before a decision can be made.**

This option is for reviews where further information is required to make a decision. Refer to the Internal Review Gathering Evidence Guide.

When asking for additional evidence you need to be clear on the following:

- What you are asking for and why it is needed to make a decision
- Limit the request for additional evidence to what is within the scope of the review.
- Confirm a time frame to return the information – a maximum of 28 days and advise the participant that if the evidence is not provided in the timeframe a decision will be made based on information available and the circumstances as they exist at the time the reviewer makes the decision. Be clear with the participant why and what you are requesting the additional evidence or information for and limit this to what is required within the scope of the review. Additional time may be allowed in exceptional circumstances if the participant cannot reasonably acquire the evidence within this time. Assistant Directors are required to approve any extension of the timeframe. This will not extend the pause process below.
- Send the Internal Review Request for Information Letter to the participant and upload this document onto the system.
- Inform the participant to return the evidence by emailing the documents to Internal Reviews planning and:
- Inform the participant to note their full name and NDIS number in the email subject.
- If required, obtain consent to speak to third parties (for example occupational therapists, physiotherapists) and document consent on the participant record.
- Create an **Alert** on the participant's record as per below with an end date calculated at 28 days from the day of request for information:

V14.0 2022-09-08          Complete a Planning Internal Review Decision          Page 8 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 169 of 875

# Standard Operating Procedure

For Internal Use Only

| | |
|---|---|
| Primary: | ☐ |
| * Alert: | S100 in progress |
| Additional Information: | RFI pending for s100 |
| * Start Date: | 04.03.2021 |
| * End Date: | 02.04.2021 |

Image caption: Screenshot showing a system Alert on the participant's record. The primary box is unticked, the Alert title is 's100 in progress', additional information states 'RFI pending for s100', the start date is 4.03.2021 and end date is 2.04.2021.

- Update the Database putting the record on hold as per IRT Planning Database Manual.

- If the review is for a statement of supports, enquire about their preferred plan management options for the requested supports. If you preliminary assess this preferred self-management is unable to be provided (prohibited by agency guidance, and the participant only prefers the self-management option), inform them you may record this as a declined request on the s100 review.

- Confirm with the participant that as a result of the internal review decision a new plan may be created and confirm with the participant any preferences they may have regarding plan duration. Refer to section 4.4 for further information.

- Inform the participant that they may be contacted again or will receive a letter with the outcome of a review request.

- Proceed to section 4.3.

**b) Review request can be withdrawn**

This option is for participant requested withdrawals or for early resolution of requested supports achieved.

Discuss the option for withdrawal with the participant and inform them of the consequences of withdrawing the internal review. Once the request to withdraw is confirmed, follow the key talking points in the Withdrawal of an Internal Review Request Standard Operating Procedure.

- Record the conversation in both the s100 supporting information field and the s100 Request Received interaction using the **s100 - Request Withdrawn early**

# Standard Operating Procedure

For Internal Use Only

**resolution** interaction from the Internal Review of a Planning Request Interaction Templates.

- Once you have completed the withdrawal conversation, complete this review by following the Withdrawal of an Internal Review Request Standard Operating Procedure.

**C) Review request is miscategorised**

This option is for miscategorised reviews which have been confirmed after clarification with the participant. This only applies when the **entire** request is miscategorised.

- Complete the conversation and review by following the appropriate steps in the Managing Miscategorised Internal Review Requests Standard Operating Procedure.

### 4.2.2 Record the conversation with participant

1. Record the conversation with participant, including that the pre contact SMS was sent as an interaction on the system using the **s100 contact** interaction template from Internal Review of a Planning Request Interaction Templates.

   **Note:** Please add your progress interactions to the **s100 Request Received interaction** already created during intake. This will make sure all conversations, actions, progress on the s100 are captured in the one interaction trail. Only differ from this when an open interaction is created and needs to be assigned to another team/region for action.

2. Make sure any specific supports withdrawn from the review (if any) by the participant have been noted on the interaction.

3. Record the date of contact and progress of review in the IRT Database. Make sure the participant contacted date field is completed.

4. If you are waiting for further information, make sure you have added an alert on the participant record and set the review in the IRT Database to **on hold**. Refer to section 4.2. Once the requested evidence or further information is received, proceed to the next step.

## 4.3 Make a decision for the internal review request

**Note:** For internal review officers without delegation you are making a recommendation.

1. The available evidence will need to be assessed to determine whether the original decision should be appropriately set aside or confirmed according to the legislation.

2. Refer to the Principles of s100 Decision Making to support your decision making.

3. Consider the available evidence to build a view on the participant's current functional capacity or circumstances. If there is conflicting information, consider which source is most credible.

4. Make sure any evidence or information considered in your decision is uploaded to Inbound Documents and linked to the s100 form. If evidence considered was gathered during a call, the interaction should be recorded in the "Supporting Information" field using the relevant interaction template. Follow the steps below for linking all evidence to the s100 form:

Update **Supporting Information**, if required**.**



Image caption: Screenshot of the Request Details screen on the participant record showing the supporting information field where the interaction should be recorded.

5. Select **Add** to add **Attachments**, if required (Documents already in Inbound Documents).



Image caption: Screenshot of the Attachments screen highlighted by a red box showing the plus button on the right side to attach documents.

6. Select **Save**.

V14.0 2022-09-08          Complete a Planning Internal Review Decision          Page 11 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 172 of 875

# Standard Operating Procedure

For Internal Use Only



Image caption: Screenshot of the system Attachments screen showing a test document attached and a save button at the bottom right.

7.  A success message displays. Select **OK.** Consider each request alongside the available evidence and whether it meets the legislation under the NDIS Act and relevant Rules under the Act. For example, a request on statement of supports will require consideration under section 34 (reasonable and necessary) and Part 5 of the NDIS (Supports for Participants) Rules.

8.  An internal review request on decision not to review a plan (s.48) will require consideration of the criteria under NDIA's Operational guidelines for s48.You do not need to assess the requested supports as your decision is whether or not the decision made not to review a plan is correct. The next step in the process for these requests is at section 4.5.

9.  Review the Operational Guidelines – Reasonable and Necessary Supports and Would we fund it for additional guidance on making decisions on statement of supports if required.

10. Seek advice from your Team Leader or Assistant Director if required.

11. Seek specialist input from the **Technical Advisory Branch** (TAB) if required.

    **Note:** APS5 Internal review officers and those without delegation **must** seek team leader support before contacting TAB.

    Check the Requesting Advice intranet page for **mandatory** TAB referrals. Before making a decision, it is mandatory to obtain and follow TAB advice in relation to requests for the listed mandatory items. If you disagree with the advice received from TAB, discuss first with your team leader (or equivalent) and then contact TAT enquiries who will contact the TAB Advisor or TAB Assistant Director for further discussion and resolution. Refer to the Requesting Advice intranet page for more guidance.

12. Consider seeking advice from the **Early Childhood Services Branch** if it relates to a participant who is under 7 years.

13. Apply any agency guidance and policy if applicable from the NDIS operational guidelines.

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# Standard Operating Procedure

For Internal Use Only

**14.** Weigh the above factors to determine a set aside or confirmed decision.

## 4.4 Make a preliminary decision on plan duration

**Note:** For internal review officers without delegation you are making a preliminary recommendation on plan duration.

Delegates should be guided by the [Panda Live V2](#) recommendation of plan duration in most instances. Typically, this would be for requests that meet the following criteria.

**Criteria**:

- There are no expected life stages changes to occur for the duration of the plan

- Funded supports are within TSP or the plan is not inflated by more than 10 percent of the previous plan value.

If criteria is not met, you should retain the same end date (as close as possible) and record your justification for altering the recommended plan duration when completing the Risk Assessment in Pre Planning. You will need to pro-rata funding when you build the plan.

Delegates should also consider other factors when determining plan duration such as:

- Keeping family groups review schedules together

- Supported Independent Living (SIL) Participant groups together

- Utilisation variance in previous plans

- Support meets R&N for the duration of the plan and there are no time limited supports included.

If more than two of these considerations apply, speak to your Team Leader or Assistant Director regarding a shorter plan duration.

## 4.5 Submit a decision outcome

Once a decision has been determined, it needs to be submitted on the system.

**Note**: If the decision being reviewed is the decision not to review a plan you will not need to follow step 2 below.

1. If you are an Internal Review Officer without delegation, email your Team Leader to seek approval. Wait for their approval before proceeding to section 4.6.

2. If the plan is inflated by more than 40 percent the decision needs to be discussed with an Assistant Director before proceeding. Seeking specialist advice from TAB or ECS should be considered in these cases to support significant deviation from the original decision especially where no new evidence has been provided.

V14.0 2022-09-08          Complete a Planning Internal Review Decision          Page 13 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 174 of 875

# Standard Operating Procedure

For Internal Use Only

3. Otherwise, if you have delegation to submit a decision outcome, proceed to open the s100 form for this review under open activities and select **Edit**.



Image caption: Screenshot of the system s100 form showing the Edit button highlighted at the bottom of the screen.

4. Update the **Supporting Information** stating all evidence/information supporting the decision has been uploaded to the system and linked to the s100 form. Select **Save** to confirm your updates.



Image caption: Screenshot of system s100 form showing the supporting information field highlighted where all evidence/information supporting the decision should be recorded. At the bottom of the form the Save button is highlighted.

5. Record the outcome decision by selecting **Ready to Submit** outcome. Select the appropriate decision outcome as **Confirm Decision** or **Set-Aside Decision**. Do not

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# Standard Operating Procedure

For Internal Use Only

select the **Vary decision** option as the system currently does not allow us to 'vary' plans. A plan review will be initiatied for a set-aside decision.



Image caption: Screenshot of the s100 ready to submit system screen, with the Outcome Justification drop down options Confirm Decision and Set-Aside Decision each highlighted in a red box.

6.  For **Confirmed** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

    **Review on statement of supports**

    - s100 confirm: s100 decision made to confirm the original decision, the supports requested were not found to meet NDIS funding criteria or could not be considered as they were out of scope. See outcome letter for details.

    **Review on decision not to review a plan (s48)**

    - s100 confirm: s100 decision made to confirm the original decision as it was unable to be demonstrated that; circumstances have changed, or there is new information that would change/affect our assessment of the participant's needs, or, their needs can't be met by existing supports. See outcome letter for details.

7.  For **Set-aside** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

    Note: You must include in the justification the TSP has been considered when determining reasonable and necessary supports.

    **Review on statement of supports**

- s100 Set aside: A s100 review request was submitted on [insert date], consideration was given to s34 reasonable and necessary criteria in the NDIS Act and the NDIS Rules. TSP has been considered when determining reasonable and necessary criteria. As a result of this, a plan review was initiated to give effect to the decision to vary the current level of funding – the original budget has been set aside.

**Review on decision not to review a plan**

- s100 decision to set aside the decision not to approve a request to review the plan under s48. A plan review is approved and has been initiated to give effect to the s100 decision.
- The plan review has been initiated and now needs to be assigned for action. Follow the steps in Appendix A to assign the plan review and interaction.
- Go to section 4.8

## 4.6 Build the new plan (if required)

1. If the outcome of an internal review was a 'Confirmed decision', ' for an internal plan review decision' skip to section 4.8.

2. A set-aside decision for a statement of supports will have a new and automatically generated Review Application under Pathway in the participant record with a status of in-progress.

### 4.6.1 Complete pre-planning tasks

Complete the pre planning tasks below as per the Standard Operating Procedure - Complete a Plan Review (light touch).

1. The **Outcomes Questionnaire** in Pre Planning must be reviewed and submitted so quotes can be implemented after the review. Occassionally this may be blanked out as the participant has moved into another age group and a different outcomes questionnaire is required. If this occurs we can still submit the outcomes questionnaire and make a note in the implementation interaction that this was not completed for the purpose of giving effect to a s100 internal review decision.

2. **Risk Assessment/Plan Duration:** Refer to section 4.5 and the Standard Operating Procedure – Complete the Risk Assessment task. Adopt the approach to make the plan the duration the same as what it was originally approved for, for example 12 months or the participant preference as indicated previously. This will mean pro-rata will not need to be completed. However, based on your investigations of the original plan, Panda

**Standard Operating Procedure**

For Internal Use Only

recommendations, conversation/s with the participant, risk and/or participant's current circumstances, you identify a shorter term plan duration approach is required, pro-rata will need to be completed to reflect the plan duration.

**Note:** If there is a discrepancy in plan duration calculated in the **Pre Planning Risk Assessment** compared to the original approved plan duration or a plan duration you have determined based on the participants circumstances and risk. You will need to adjust it accordingly for the remaining month/days while ticking the **'Plan reviewed early or amended'** box and note it is an outcome of an internal review.

3.  Select **Review and Submit for Funded Supports** and select **Yes**.

### 4.6.2 Complete planning tasks

1.  Complete the **Determine Funded Supports Task** as per Standard Operating Procedure - Complete a plan review (light touch) noting this will be pre populated with approved funded supports from the current active plan.

    **Note:** If the plan duration is **not** what the original approved plan was for, make sure the calculated supports are correct for the time period in each category, you may need to apply pro-rata to the supports. Where you do need to pro rata follow the methodology found in Standard Operating Procedure - Complete a plan review (light touch), Standard Operating Procedure – Complete the Risk Assessment, or Standard Operating Procedure – Complete a plan review (full) which provides guidance for pro rata Capacity Building and Capital Supports. All supports in the plan will need to be pro-rated even if you have not changed the level of funding in the previous plan with the exception of stated capital supports.

    -   Special Consideration is required for some specialist plan builds, for example ECEI participants. Refer to the relevant SOPs and ECEI Practice Guide on the intranet when building their plans.

    -   Changes to NDIA's approach to funding supports may also have occurred since the approval of the original plan. For example, changes arising from Price Guide updates, employment support changes, SIL changes, hearing service changes and others. Make sure you are aware of any recent changes to supports by reviewing the intranet resources guidance page, and you have applied any recent updates to new and existing supports in the new plan.

    -   Check and maintain in-kind information in the plan for relevant supports to make sure there is not duplication of funding since the generation of the TSP and phasing

# Standard Operating Procedure

For Internal Use Only

out of in-kind programs. Make sure you are accessing information available in Panda Live v1 for the latest in-kind data and information.

**Notes regarding SIL**: If you have a plan which includes SIL, make sure you follow Standard Operating Procedure – Supported Independent Living (SIL) advice and use IRT **SIL** interaction templates for referencing SIL in s100 decisions. Refer to Internal Review of a Planning Request Interaction Templates.

If you intend to make changes to the SIL funding, you will need to discuss this with the SIL Assessment Team before approving a plan, as you will need the SIL assessors updated SIL recommendation to know the amount of SIL supports to include in the plan.

To make sure you receive the SIL assessor's recommendation in time, send the interaction to the appropriate **state-based SIL team CRM inbox**, and if required, escalate through to the SIL Team Leader via email, and if further escalation is necessary, directly contact the National SIL Director, s22(1)(a)(ii) - irrelevant material

The SIL Team Inbox are **NSW ACT SIL**, **VIC TAS SIL**, **SA NT SIL**, **QLD SIL** and **WA SIL** for assigning the open interaction to the appropriate state SIL team.

For more information refer to:

- Standard Operating Procedure – Supported Independent Living (SIL) Section 4.4 for state and territory **SIL CRM Inboxes**. Section 6.2 - Include SIL in the participant's plan.
- SIL Intranet page for state and territory SIL teams MS Outlook contact details.
- Operational Guideline – Supported Independent Living (SIL).

**Note:** If there are In-Kind supports as part of the plan, refer to the In-Kind intranet page for guidance, check the transition dates for the state/territory of the participant and speak to your Team Leader. Do not contact or notify the SIL Team for plans with In-Kind supports.

2. Any Capital Supports funding claimed in the original plan should be removed. Claimed capital supports can be determined from checking the plan utilisation (ensuring you have considered costs of repair and maintenance) or any accepted assistive technology quotes.

**Note**: The definition of 'mid cost AT' has changed from $5000 to $15000. Participants no longer need a quote for AT that cost less than $15000. The Factsheet – Understand assistive technology evidence, advice, assessments and quotes provides a general overview of the update.

**Standard Operating Procedure**

For Internal Use Only

Refer to the following Standard Operating Procedures for further guidance on adding low, mid and high cost supports and repairs and maintenance for new and existing items:

- Standard Operating Procedure – Add low cost assistive technology supports in a plan
- Standard Operating Procedure - Add mid cost assistive technology in a plan
- Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT
- Standard Operating Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology

Check if the system has made an error in adding any funding for Capital Supports were not approved in the last plan, which will need to be removed.

3.  Plan comments may need to be updated to reflect the supports in the new plan as a result of the decision outcome. This may also include reviewing and updating any existing comments that relate to the supports determined in scope for the internal review and removing those that no longer apply to explain to the participant what the funding is for. Comments should be written in each of the Support Categories where funded supports have been placed. A Support Category are the areas in the plan where funding/line items have been placed, for example, Consumables, Daily Activities, Social Community and Civic Participation, Transport, CB Choice and Control, CB Daily Activity, CB Relationships, Assistive Technology, Home Modifications to name a few.

**Note:** Plan comments will be printed in the participants plan. Refer to Standard Operating Procedure – What print's on a plan.



Image caption: Screenshot showing comments for each support type in the Finalise Plan and Approve tab. Comments column highlighted. Example showing from top to

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bottom. First line: Support category: CB Choice and control, price: 2627.17, comment: plan management and financial capacity building - set up costs. Second line: CB daily activity, price: 5676.00, comments: support to build my skills so I can achieve all my plan goals. Third line: CB Employment, price: 7733.23, comments supports to help me find and keep a job.

4. Once you are satisfied you have included all reasonable and necessary supports in the plan, select **Submit**.

5. Complete the **Determine Plan Management Task.** This task will be pre-populated with the recommended plan management based on the responses in the **Complete Risk Assessment Task**. Review and confirm it reflects the plan management determined previously. Previous plan management allocations can be viewed in Panda Live v2. When making changes to the Determine Plan Management task make sure the unit of entry is **percentage** (not currency).

    **Note:** If you have rejected the participant's request for self-management of their supports, this will be considered a declined request and will need to be reflected when preparing the decision letter and communicating the decision in section 4.9 and section 4.10.

6. Select **Submit**.

## 4.7  Approve the new plan

Under the **Planning Tab**, Internal Review Officers without delegation will need to either select the **Review and Submit Draft Plan** or **Review and Submit Plan for Approval task**. Only one will be available based on your role.

If you are an internal review officer with delegation, select the **Finalise Plan and Approve** task.

1. Review all sections of the Plan as per the **Review Sections** of the Standard Operating Procedure – Finalise and approve a plan with careful consideration to adjust the justifications (Part 5: Funded supports in the Finalise Plan and Approve task, and Part 4: Funded Supports in the Review and Submit Draft Plan task) to explain the internal review decision for those supports determined in scope for the internal review.

    **Note:** When writing justifications we must consider: supporting information, evidence provided, lived experience, participants goals, participant circumstances and disability support needs, section 34 of the NDIS Act 2013, Part 5 of the NDIS Rules, previous budget utilisation, TSP, inflation and agency wide guidance materials.

    **a) If no changes are required to the support category:**

**Standard Operating Procedure**

For Internal Use Only

Copy the justifications from the previous plan and add "This support category was not changed as part of the of the s100 Internal Review Request. Justification remains the same".

**b) If changes were made to the support category:**

Please start each support category justification with the sentence, "As part of the s100 review, I have found these supports meet s34 reasonable and necessary criteria in the NDIS Act and NDIS Rules. I have made a decision to vary the current level of funding."

If there are existing justifications within this support category, you will need to update the entire justification if you changed the funding making sure the following are included:

• describe the support and how it relates to the participant's disability support needs

• describe how the support will help the participant work towards their goals

• describe how the support meets reasonable and necessary criteria

• refer to any relevant supporting evidence.

Examples to guide your written justifications are included in Appendix Write a best practice justification within the Standard Operating Procedure - Review and Submit plan for approval.

1. For Internal Review Officers without delegation, click on **Save** at the bottom of the **Review and Submit Draft Plan** section. Do not select Submit as this submits the plan to WLM for National Delivery staff and is not a process IRT follow. Email your Team Leader once you have prepared the draft decision letter, and note the plan and letter are ready for approval. You can now refer to section 4.8.

2. Otherwise, if you are a delegate, proceed to select **Yes** on the **Generate plan only** button at **Part 9: Delegate** after completing the **Finalise plan and approve** section. This option is selected to supress the default cover letter which is sent with plan approvals, as it will be replaced by our decision letter.



V14.0 2022-09-08     Complete a Planning Internal Review Decision     Page 21 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 182 of 875

# Standard Operating Procedure

For Internal Use Only

Image caption: Screenshot of Part 9: Delegate screen from the Planning; Finalise Plan and Approve system tab. Select yes on the Generate plan only.

**Note:** Prior to selecting Approve, you can select the **Print Preview** button. This will display a draft copy of the plan and will allow you to proof read and view what will be provided to the participant.



Image caption: Screenshot of the buttons at the bottom of the Finalise Plan and Approve screen with Print Preview highlighted.

3. Select **Delegate Approval** and then select the **Submit** button.

4. If an Alert appears stating level 4 delegation approval is required for this plan, follow the steps outlined in section 4.7.1.

5. Once the plan has been approved, if applicable, implement any 'Quote required line items' required as a result of this decision outcome (except SDA). The Standard Operating Procedure – Initiate and Record Quotes and Standard Operating Procedure – Consider and action quotes provides guidance on how to implement quotations. For plans that include Supported Independent Living (SIL) funding, create SIL service booking following Standard Operating Procedure – Supported Independent Living (SIL).

6. If the result of your decision reduces the total funded supports by 20% or more the IRO is required to make contact regarding the outcome of the review to explain the decision.

### 4.7.1 Higher Delegation Approvals Process

1. Confirm the s100 alert is active on the participant's record.

2. Refer to the Higher Decision Delegate Standard Operating Procedure for assigning plans for approval.

   Note: You will need to seek preliminary endorsement from your Team Leader. APS6 delegates can endorse their own plans and do not require a second level quality check.

## 4.8 Record the Decision Outcome

### 4.8.1 For Statement of Supports Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Statement of Supports** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

### 4.8.2 For not to review a plan Decision

# Standard Operating Procedure

For Internal Use Only

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Not to review a plan** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

## 4.9    Prepare the decision letter

1.  Based on the decision outcome, complete the relevant letter found on the IRT intranet page.

2.  Follow the instructions on the respective letter template to complete the decision letter and make sure:

    *   The date of the decision letter should be the same date the s100 review decision outcome was in effect (date you approved the plan on the system).

    *   Approved supports should be referred in terms of support hours/quantities, rather than dollar values.

    *   Any requests withdrawn throughout the process need to be recorded, including those where we have spoken to the participant regarding requests that do not meet the scope of an internal review.

    *   Please do not write any more than 2 additional sentences per criteria in the Basis for Decision section. If you wish to provide detailed information on possible next steps including referrals to mainstream and/or community supports or other referrals you can include this in the implementation interaction completed at section 4.11.

    *   Save a copy of the completed letter as a PDF using the naming convention. Participant Surname First Name NDIS Number Decision letter. For example, Smith James 4300044567 Decision Letter.

    *   For Internal Review Officers without delegation, email the decision letter to your Team Leader for approval. Once approved, proceed to section 4.10.

    *   For delegates, proceed to section 4.10.

## 4.10   Send decision letter and relevant documents

NDIA must give written notice to the participant and/or representative of the internal review decision.

If a new plan has been created as a result of the decision you will need to save or print the approved plan locally and send the plan with the decision letter. Complete the following steps:

V14.0 2022-09-08          Complete a Planning Internal Review Decision          Page 23 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 184 of 875

# Standard Operating Procedure

For Internal Use Only

- From **Outbound Documents**, save or print the approved plan locally. If you need help to do this, refer to Standard Operating Procedure – View, Print or Suppress an Outbound Document.

- Send the plan and letter to the participant or their authorised representative, using their preferred method of communication.

- If the participant preferred method contact is via email, use the Internal Review planning email address to send the decision letter as an attachment and use the subject line and email template below and new plan (if applicable).

  **Email Template for Decision Letter**:

  Subject Line – Outcome of your Internal Review Request Participant Number<xxx>

  Body – Please find attached to this email the outcome of your request for an internal review of a decision.

  Regards,

1. If there are accessibility requirements required for printing the written notice or any other relevant documents follow the process in the Printing plans in braille and other accessible formats guidance. Please note the financial delegate mentioned will be the EL1 of your respective team.

2. If there are language requirements required for printing the written notice or any relevant documents, follow the process in Practice Guide – Assisting communication.

3. If the documents are being posted, mail all the relevant documents above in the one envelope. Check with your local site or team leader about mailing arrangements.

4. Upload all the mailed documents onto the system as a PDF document in the participant's Inbound documents line titled 's100 internal review request dd/mm/yyyy'. Refer to the Standard Operating Procedure – Inbound Documents for how to upload a document and naming conventions. Refer to section 4.1.1 for naming conventions.

## 4.11 Inform National Delivery or Partners in the Community of Decision made.

After completing an internal review for **statement of supports** requests National Delivery and Partners in the Community will need to be informed of the decision to implement the new plan or follow-up activities where required.

1. Complete the appropriate Implementation interaction from the Internal Review of a Planning Request Interaction Templates on the participant's record on the system. This

**Standard Operating Procedure**

For Internal Use Only

will be either the **s100 Completed Change to statement of supports** or **s100 Completed No change to supports interaction**.

**Note**: If you have identified alternative mainstream or community supports that should be explored you can include this in the interaction template for the local office to follow up with the participant.

- Re-assign your completed interaction to the appropriate local NDIS office by following the Workflow Rules.

## 4.12 Complete remaining closure tasks

1. Record the outcome of the review in the IRT Planning Database.

2. You will also need to record the Original Decision Maker (ODM) feedback on the IRT Planning Database to make sure the reason for your decision is recorded in IRT's database. This is important information that allows us to provide feedback to original decision makers. Refer to the IRT Database Manual.

3. End date the s100 alert created in section 4.2 by setting the end date as the day of the decision. Refer to Standard Operating Procedure – View or edit an alert for how to edit an alert.

4. Assign any Assistive Technolgy and Home Modifications (ATHM) items placed on hold by National Delivery due to an active s100, back to WLM or the Participant's region (RTS CRM inbox). To do this:

   - Check interactions using the table format for any ATHM items that are open, and also search s22(1)(a)(ii) - irrelevant material (KM0054) CRM inbox for the Participant's name and open ATHM item/s

   - If an open ATHM item is found, and the interaction ID starts "700" you will need to un-assign the ATHM work item back to WLM by using "User Unavailable" as a reason.

   - Then apply an extreme workflow identifier to the participant's record, with an end date of 14 calendar days later. Refer to the Standard Operating Procedure – Add or remove workflow identifiers

   - If the open item does not start with and interaction ID of "700" you will need to reassign the ATHM interaction to the RTS inbox of the participants jurisdiction using the

# Standard Operating Procedure

For Internal Use Only

5. Review all open tasks in the participant record that relate to the Internal Review Request and make sure they are all closed with the exception of the Implementation interaction.

## 5. Related procedures or resources

- NDIS Act
- NDIS Rules
- NDIS Operational Guidelines
- Intake of a Planning Internal Review Request Standard Operating Procedure
- Internal Review of a Planning Request Interaction Templates
- Our Guideline – Your privacy and information
- Standard Operating Procedure – Check third party consent or authority
- Standard Operating Procedure – Record and verify identity for an individual
- Standard Operating Procedure – Record third party consent
- Standard Operating Procedure – Verify identity for a third party organisation
- Operational Guidelines – Reasonable and Necessary Supports
- Standard Operating Procedure – Finalise and Approve a plan

## 6. Feedback

If you have any feedback about this Standard Operating Procedure, please complete the Internal Review Team Quality and Continuous Improvement Form and email it to the Business Improvement Team. In your email, remember to include the title of the product you are referring to and describe your suggestion or issue concisely.

## 7. Version control

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|----------------------------|--------|------|
| 11.0 | DII394 KMM575 | Class 1 approval. Changes after Directors Review. Updating based on director feedback. Linked all new SOPs. Quality check and accessibility. | APPROVED DLL320 SW0065 | 2021-11-26 |

V14.0 2022-09-08     Complete a Planning Internal Review Decision     Page 26 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 187 of 875

# Standard Operating Procedure

### For Internal Use Only

| Version | Amended by | Brief Description of Change | Status | Date |
|---------|-----------|---------------------------|--------|------|
| 12.0 | DII394 | Class 1 Approval<br><br>Updated the HDD referral process. | APPROVED<br><br>SW0065<br><br>DLL320 | 2021-12-10 |
| 13.0 | LW0022<br><br>KMM575 | HDD process update. Document pre contact SMS sent. Wording updates for LH staff. Housing referral changed to s22(1)(a)(ii) - irre Linked to mid cost AT SOPs. Pre-requisite added for change to section 100(5) of the Act. Wording change at the desktop review where there are changes to the disability. Justification to include TSP has been considered. APS5 and IROs without delegation to seek team leader support prior to contacting TAB. Removal of NDIS contact. | APPROVED | 2022-03-11 |
| 14.0 | LW0022<br><br>KMM575 | Added - Initial contact required for all s100 requests where a participant funding has been reduced by more than 20% in the most recent plan. Call required if decision reduces plan funding by more then 20%. | APPROVED<br><br>RMO411 | 2022-09-08 |

# 8. Appendices

## 8.1 Appendix A – Assigning a Review Application or Interaction for action by ND and PiTC

A **Review Application** is created when you **set aside a decision not to review a plan.** The **Review Application** needs to be assigned to ND or PiTC for the plan review to be undertaken.

Participants who belong to **Young People in Residential Aged Care (YPIRAC)** and **Complex Support Needs (CSN)** cohort need to be identified and assigned manually:

**YPIRAC Participants**

1. Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates outlining the request for

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# Standard Operating Procedure

For Internal Use Only

review, and that due to the participant residing in aged care the review application is to be actioned by a YPIRAC planner.

2.  **Assign** the **Interaction** and **Review Application** to the NDIS business system inbox for employee "s22(1)(a)(ii) - irrelevant material"**(SV0008).** s22(1)(a)(ii) - in will then allocate the application for progression.

**CSN Participants**

1.  Create an **Open Interaction** using **s100 – Request to complete a plan review** from Internal Review of a Planning Request Interaction Templates. The Interaction provides information to the assignee to advise what has occurred and what is required.

**Assign** the **Interaction** and **Review application** to the correct inbox as per the super intensive Stream in the Workflow Rules.

**For all other participants, Review Applications are to be assigned using the Workflow Identifier. Refer to the** Standard Operating Procedure – Add or remove workflow identifiers.

For all Participants (except those who are in the YPIRAC and CSN cohorts) no matter the streaming undertake the following steps:

From the Participant Details tab select Workflow Identifiers.

1.  Select **Edit** and then the **+ symbol** to add a new workflow identifier.

2.  Select the **Change and Review Request** identifier from the drop down.



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved.

3.  Add a **Valid To** date for **four** calendar months from the date the **review application** was **approved**.

4.  Select **Submit**.

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# Standard Operating Procedure

For Internal Use Only

**Priority referral of Review Application**

For those participants whose risk is considered **High/Extreme** discuss with your TL if the review application requires **priority referral** resulting in the **Review Application** being drawn from **WLM** in the **next business day**.

If **Priority referral** has been **endorsed** Refer again to Standard Operating Procedure – Add or remove workflow identifiers.

1. **Select** the additional **Workflow Identifier** for **Extreme** or **High** depending on the risk rating.



Image caption: Screenshot of Workflow identifer drop down listing selection Change and Review Request, Extreme, Hearing Stream, High, Unable to Contact, Compensation, Auto Extended Plan and Review Reminder Cointact Initiated The Valid From date is the date the review application was approved. Extreme and High highlighted in red.

2. The **Valid From** date will be the date the **review application** was **approved**.

3. Add a **Valid To** date for 4 calendar months from the date the **review application** was **approved.**

4. Select **Submit**.

## Standard Operating Procedure

For Internal Use Only

# Complete a Planning Internal Review Decision

This Standard Operating Procedure (SOP) will help you to make timely and quality decisions consistently by explaining:

- The key actions and pathways to make an s100 decision
- When to communicate with participants or their representatives
- How to give effect to your decision
- How to return the participant into the regular review cycle

**Note:** All references to "participant" in this document also refers to authorised representatives/nominees/child representatives.

## 1.  Recent updates

| Date | What's changed |
|---|---|
| September 2022 | **Added Content**<br><br>Initial contact required when the Acknowledgement letter time frame of 14 days has not passed.<br><br>Steps included about plan inflation and when to seek EL endorsement. Change from 40% to 50% or more inflation for endorsement by Assistant Director and 100% or more inflation of plan for endorsement by Director.<br><br>Initial contact required for all s100 requests where a participant funding has been reduced by more than 20% in the most recent plan. Call required if decision reduces plan funding by more then 20% |
| March 2022 | **Added Content:**<br><br>Document pre contact SMS was sent.<br><br>Check for update to disability.<br><br>Pre-requisite added for change to section 100(5) of the Act.<br><br>Naming convention for the decision letter. |

## Standard Operating Procedure

For Internal Use Only

| Date | What's changed |
|---|---|
| | APS5 IROs and those without delegation must seek team leader support before contacting TAB. |
| | Changes to the mid cost AT and linked to the AT SOPs. |
| | **Amended Content:** |
| | At section 4.5 if the plan is inflated more than 50 percent a discussion is required, this has changed to **40 percent**. |
| | Updated workflow rules link to IRT page. |
| | Wording at section 4.12 – complete remaining closure tasks. |
| | Added in wording to reflect IROs without delegation are making a recommendation. |
| | Linked to the new HDD SOP for new approval process. |

## 2.  Checklist

| Topic | Checklist |
|---|---|
| **Pre-requisites** | You have: <br><br> ❑ Not been involved in the making of the original decision that is being reviewed. The internal review must be completed by a different delegate. <br> ❑ Role delegation or skill tags to access and modify review items on the Business System (system), for example, the s100 form. Otherwise, access to a Team Leader. <br> ❑ Access to the intranet to view linked SOPs and templates. <br> ❑ Read and considered the available Service Delivery Resources on the intranet, particularly in regards to Pre-planning, Planning and Review before assessing requested supports. <br> ❑ Identified intake has been completed and you are familiar with the Intake of a Planning Internal Review Request Standard Operating Procedure and Managing Miscategorised Internal Review Requests Standard Operating Procedure. <br> ❑ Allocated the work item to yourself following all steps in the Self Allocation on the System Standard Operating Procedure |

V15.0 2022-09-09          Complete a Planning Internal Review Decision          Page 2 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 192 of 875

**OFFICIAL**

**Standard Operating Procedure**

For Internal Use Only

| Topic | Checklist |
|---|---|
| | ❑ Familiarised yourself with Contact Process Standard Operating Procedure <br> ❑ Familiarised yourself with the Escalation and Prioritisation Matrix |
| **Actions** | ❑ 4.1 Conduct a desktop review <br> ❑ 4.2 Determine if contact is required <br> ❑ 4.3 Make a decision for the internal review request <br> ❑ 4.4 Make a preliminary decision on plan duration <br> ❑ 4.5 Submit a decision outcome <br> ❑ 4.6 Build the new plan <br> ❑ 4.7 Approve the new plan <br> ❑ 4.8 Record the Decision Outcome <br> ❑ 4.9 Prepare the decision letter <br> ❑ 4.10 Send decision letter and relevant documents <br> ❑ 4.11 Inform National Delivery or Partners in the Community of decision made. <br> ❑ 4.12 Complete remaining closure tasks <br> ❑ 8. Appendix A - Assigning a Review Application or Interaction for action by ND and PiTC |

# 3. Scope of Review

### 3.1.1 Background

The intent of an internal review is to reconsider a decision by 'standing in the shoes of the original decision maker'. This means reviewers will usually consider if the original decision made, was correct under the law based on the participant's situation and support needs at the time of the original decision. The internal review team will seek to review the request based on the issue/s at hand, and confine the scope of the review to those issue/s that the participant wishes to raise as part of their request. If there are dependencies or related issues, these will also be considered. For further guidance on what is in scope for an internal review refer to the Principles of s100 Planning Review guidance.

### 3.1.2 Referrals to other teams

The Home and Living Team complete internal reviews that includes at least one of the following review types (noting the Home and Living Team will then conduct the entire s100):

- SIL funding in dispute

- SDA funding in dispute

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**Standard Operating Procedure**

For Internal Use Only

- Medium Term Accommodation in dispute

- Independent living options in dispute

- Complex Home Modifications in dispute

- NSW Living alone with significant supports in dispute

The Review of Reviewable Decision (RORD) form or supporting information on the s100 work item should identify the above supports are what is being disputed. Refer to any interactions on the record for any Home and Living applications and read file alerts. If you are unsure, please confirm with your team leader.

If you have been assigned a s100 work item and the request is a dispute as listed above, and you have not yet commenced the review, complete the following steps.

1. In the **IRT Database**, identify the case in the review screen using the **browse all cases** button and close the record by entering in the Outcome as **Referral - Housing**.

2. Assign the s100 work item to **Melinda Fuller** in the system.

# 4. Procedure

## 4.1 Conduct a desktop review

### 4.1.1 Finding and uploading documents

1. As you review existing documents throughout the process of making a decision make sure those documents are linked to the s100 form. If they are already in inbound documents under a different line, you will need to link the document to the s100 form before reaching an outcome.

2. The participant has been given an opportunity to provide evidence both at the time they submit the request and since the acknowledgement letter was sent. Check that it has been 10 calendar days since the acknowledgment letter was sent so the participant has had the opportunity to provide any additional evidence before progressing with this review.

3. When you are reviewing a request and receive further information, this must be added to inbound documents under the line titled "**s100 internal review request dd/mm/yyyy**".

**Note:** When uploading a document please follow this naming convention style: Participant Surname First Name NDIS number Topic/Document Name. For example Smith James 4312345678 Occupational Therapist Report July 2021, or Smith James 4312345678 Unable to Contact Letter.

# Standard Operating Procedure

For Internal Use Only

### 4.1.2 Review the category and requested outcomes

Review the s100 Form or the Review of Reviewable Decision Form in Inbound Documents and the intake interaction and determine:

- The category of s100 review being requested (for example, a s100 on a statement of supports, or on a decision not to review a plan).

- Why the participant has made the request and the outcomes they are seeking. For a review regarding statement of supports, identify the specific details of the request, including the requested frequency/nature/funding value of requested supports.

### 4.1.3 Review the evidence available

1. Review the participant's record for available evidence or information to support the review request. For example, assessments, reports, quotes and any interactions with the participant such as phone conversations.

2. Given the participant has had an opportunity to provide additional evidence at the time of the review request and following acknowledgement of the s100 it is not expected that the delegate will need to request additional available information. Additional available evidence should only be requested by delegates if it is likely to materially change the decision or there is an identified risk to the participant if we don't fund it and we need the evidence to justify the decision. If you think additional evidence is required, follow the steps in section 4.2.

3. Review the participant's record including all pre-planning and planning tasks in the current plan, justifications in the plan, the utilisation of these supports, and any other relevant interactions to develop an understanding of what was funded and why.

   **Note:** Panda Live V2 is a helpful tool to identify budget utilisation and plan value compared with TSP.

4. Consider whether there are opportunities for **early resolution** – for example, the participant's request may be achieved simply through flexible use of the plan. Unless supports are fixed (stated) in the plan the core support budget is fully flexible. The Capacity Budget is flexible within each category across all non-stated support items. If early resolution seems likely to resolve the participant's request, they will need to understand a withdrawal is required and what the consequences are when withdrawing their internal review. If so, withdrawal can be discussed, for contact with the participant go to section 4.2. For further information on the early resolution, criteria see Withdrawal of an Internal Review Request Standard Operating Procedure.

**Standard Operating Procedure**

For Internal Use Only

5. Review open activities to identify if there is an open Change of Circumstances interaction – Request Disability Update. If the task is open do not continue until this has been completed. This process is estimated to take 48 business hours. Seek team leader advice if this has not been actioned within this timeframe.

6. Consider whether the requested supports are related to the disability/disabilities recorded. If these have been updated recently the National Operations Team will have added to the s100 alert that is open. <Disability update approved/declined, NOT Delegate <login ID>, dd/mm/yyyy>. If there is no change in functional capacity proceed with the s100 or if there has been a change to functional capacity since the original decision consider discussing the option of a PRR with the participant.

   If a PRR is required, refer to the steps in the Standard Operating Procedure – Create a plan reassessment (or variation) request (PRR).

7. Consider whether the approval and funding of the requested supports will have an impact on any other supports in the plan.

   For example, the funding of vehicle modifications may lead to the removal of transport funds. If so, this will need to be discussed with the participant go to section 4.2.

### 4.1.4 Review other details on participant's record.

1. Review the participant's record including alerts to make sure you are aware of any concerns. For example, it may be indicated the participant has complex needs or accessibility requirements and you may require the procedures from Standard Operating Procedure – Assist the Participant with their preferred method of communication.

- If you identify the participant is in the Complex Support Needs (CSN) pathway, contact the relevant staff member regarding the s100 review before proceeding. Their details can be found on an active alert on the file or interactions. If the staff member details are missing, email CSN. The purpose of this contact is to advise CSN the participant has a s100 internal review requested and clarify if there is any information IRT need to be advised to best support the participant with their request for internal review. Record your conversation with the CSN team on the participant's s100 form.

- If you identify the participant is in receipt of compensation and has had a Compensation Reduction Amount (CRA) applied to their plan, or special circumstances considered, please reassign the s100 work item request to the IRT Escalations Team and email s22(1)(a)(ii) - irrelevant material .

## Standard Operating Procedure

For Internal Use Only

2. If you identify the participant has also been waiting for Assistive Technology or Home Modifications (ATHM), take note of this as there are additional closure tasks that are required.

3. If you identify the participant is a YPIRAC participant or the request is in relation to any of the Home and Living categories refer to Intake of a Planning Internal Review Request Standard Operating Procedure for details on identifying those that need to be completed by another team and reallocate to that team following steps for reallocation in the Intake SOP.

After the completion of the above review of circumstances, you should have developed a preliminary view for the request(s).

### 4.2 Determine if contact is required

After the desktop review is completed, you need to contact the participant/authorised representative to discuss the review if the following exceptions apply:

- If there is high or extreme risk identified for the participant in accordance with the escalation and prioritisation matrix

- When the Acknowledgement letter time frame of 14 days has not passed. If contact is successful confirm that all information relating to the request has been received. If contact is unsuccessful, wait till day 15 to progress to making a decision.

- If the participant has had their plan funding reduced by more than 20% in the most recent plan for the whole plan. Contact is required on all these s100 requests to ensure IRO has full understanding of the facts and circumstances at the time of the internal review decision.

- Information provided by participant is still unclear after you have reviewed PCT, justification and interactions, and further clarity is required to progress the request.

- The IRO is unable to locate or view evidence used by the Planner with the original decision and required to undertake the s100 decision.

- If it appears that an early resolution is possible through a clarification phone call. Refer to Withdrawal of an Internal Review Requests Standard Operating Procedure.

- The request appears to be miscategorised (refer to the Managing miscategorised internal review requests SOP to identify when a call is required).

# Standard Operating Procedure

For Internal Use Only

If the above criteria is met refer to Contact Process Standard Operating Procedure. If you are not sure if contact is required prior to progression of the s100 please refer to your line manager.

**4.2.1 You can then proceed with one of the options below:**

**a) Determine if further information needs to be received before a decision can be made.**

This option is for reviews where further information is required to make a decision. Refer to the Internal Review Gathering Evidence Guide.

When asking for additional evidence you need to be clear on the following:

- What you are asking for and why it is needed to make a decision
- Limit the request for additional evidence to what is within the scope of the review.
- Confirm a time frame to return the information – a maximum of 28 days and advise the participant that if the evidence is not provided in the timeframe a decision will be made based on information available and the circumstances as they exist at the time the reviewer makes the decision. Be clear with the participant why and what you are requesting the additional evidence or information for and limit this to what is required within the scope of the review. Additional time may be allowed in exceptional circumstances if the participant cannot reasonably acquire the evidence within this time. Assistant Directors are required to approve any extension of the timeframe. This will not extend the pause process below.
- Send the Internal Review Request for Information Letter to the participant and upload this document onto the system.
- Inform the participant to return the evidence by emailing the documents to Internal Reviews planning and:
- Inform the participant to note their full name and NDIS number in the email subject.
- If required, obtain consent to speak to third parties (for example occupational therapists, physiotherapists) and document consent on the participant record.
- Create an **Alert** on the participant's record as per below with an end date calculated at 28 days from the day of request for information:

# Standard Operating Procedure
For Internal Use Only

| Primary: | ☐ |
|---|---|
| * Alert: | S100 in progress |
| Additional Information: | RFI pending for s100 |
| * Start Date: | 04.03.2021 |
| * End Date: | 02.04.2021 |

Image caption: Screenshot showing a system Alert on the participant's record. The primary box is unticked, the Alert title is 's100 in progress', additional information states 'RFI pending for s100', the start date is 4.03.2021 and end date is 2.04.2021.

- Update the Database putting the record on hold as per IRT Planning Database Manual.

- If the review is for a statement of supports, enquire about their preferred plan management options for the requested supports. If you preliminary assess this preferred self-management is unable to be provided (prohibited by agency guidance, and the participant only prefers the self-management option), inform them you may record this as a declined request on the s100 review.

- Confirm with the participant that as a result of the internal review decision a new plan may be created and confirm with the participant any preferences they may have regarding plan duration. Refer to section 4.4 for further information.

- Inform the participant that they may be contacted again or will receive a letter with the outcome of a review request.

- Proceed to section 4.3.

**b) Review request can be withdrawn**

This option is for participant requested withdrawals or for early resolution of requested supports achieved.

Discuss the option for withdrawal with the participant and inform them of the consequences of withdrawing the internal review. Once the request to withdraw is confirmed, follow the key talking points in the Withdrawal of an Internal Review Request Standard Operating Procedure.

- Record the conversation in both the s100 supporting information field and the s100 Request Received interaction using the **s100 - Request Withdrawn early**

V15.0 2022-09-09    Complete a Planning Internal Review Decision    Page 9 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 199 of 875

## Standard Operating Procedure

For Internal Use Only

**resolution** interaction from the Internal Review of a Planning Request Interaction Templates.

- Once you have completed the withdrawal conversation, complete this review by following the Withdrawal of an Internal Review Request Standard Operating Procedure.

**C) Review request is miscategorised**

This option is for miscategorised reviews which have been confirmed after clarification with the participant. This only applies when the **entire** request is miscategorised.

- Complete the conversation and review by following the appropriate steps in the Managing Miscategorised Internal Review Requests Standard Operating Procedure.

### 4.2.2 Record the conversation with participant

1. Record the conversation with participant, including that the pre contact SMS was sent as an interaction on the system using the **s100 contact** interaction template from Internal Review of a Planning Request Interaction Templates.

   **Note:** Please add your progress interactions to the **s100 Request Received interaction** already created during intake. This will make sure all conversations, actions, progress on the s100 are captured in the one interaction trail. Only differ from this when an open interaction is created and needs to be assigned to another team/region for action.

2. Make sure any specific supports withdrawn from the review (if any) by the participant have been noted on the interaction.

3. Record the date of contact and progress of review in the IRT Database. Make sure the participant contacted date field is completed.

4. If you are waiting for further information, make sure you have added an alert on the participant record and set the review in the IRT Database to **on hold**. Refer to section 4.2. Once the requested evidence or further information is received, proceed to the next step.

## 4.3 Make a decision for the internal review request

**Note:** For internal review officers without delegation you are making a recommendation.

1. The available evidence will need to be assessed to determine whether the original decision should be appropriately set aside or confirmed according to the legislation.

# Standard Operating Procedure

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2.  Refer to the <u>Principles of s100 Decision Making</u> to support your decision making.

3.  Consider the available evidence to build a view on the participant's current functional capacity or circumstances. If there is conflicting information, consider which source is most credible.

4.  Make sure any evidence or information considered in your decision is uploaded to Inbound Documents and linked to the s100 form. If evidence considered was gathered during a call, the interaction should be recorded in the "Supporting Information" field using the relevant interaction template. Follow the steps below for linking all evidence to the s100 form:

    Update **Supporting Information**, if required**.**



Image caption: Screenshot of the Request Details screen on the participant record showing the supporting information field where the interaction should be recorded.

5.  Select **Add** to add **Attachments**, if required (Documents already in Inbound Documents).



Image caption: Screenshot of the Attachments screen highlighted by a red box showing the plus button on the right side to attach documents.

6.  Select **Save**.

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# Standard Operating Procedure
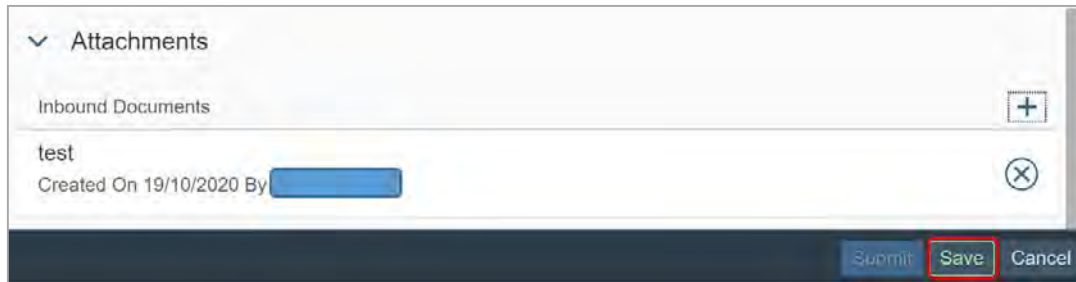
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Image caption: Screenshot of the system Attachments screen showing a test document attached and a save button at the bottom right.

7. A success message displays. Select **OK.** Consider each request alongside the available evidence and whether it meets the legislation under the NDIS Act and relevant Rules under the Act. For example, a request on statement of supports will require consideration under section 34 (reasonable and necessary) and Part 5 of the NDIS (Supports for Participants) Rules.

8. An internal review request on decision not to review a plan (s.48) will require consideration of the criteria under NDIA's Operational guidelines for s48.You do not need to assess the requested supports as your decision is whether or not the decision made not to review a plan is correct. The next step in the process for these requests is at section 4.5.

9. Review the Operational Guidelines – Reasonable and Necessary Supports and Would we fund it for additional guidance on making decisions on statement of supports if required.

10. Seek advice from your Team Leader or Assistant Director if required.

11. Seek specialist input from the **Technical Advisory Branch** (TAB) if required.

    **Note:** APS5 Internal review officers and those without delegation **must** seek team leader support before contacting TAB.

    Check the Requesting Advice intranet page for **mandatory** TAB referrals. Before making a decision, it is mandatory to obtain and follow TAB advice in relation to requests for the listed mandatory items. If you disagree with the advice received from TAB, discuss first with your team leader (or equivalent) and then contact TAT enquiries who will contact the TAB Advisor or TAB Assistant Director for further discussion and resolution. Refer to the Requesting Advice intranet page for more guidance.

12. Consider seeking advice from the **Early Childhood Services Branch** if it relates to a participant who is under 7 years.

13. Apply any agency guidance and policy if applicable from the NDIS operational guidelines.

# Standard Operating Procedure

For Internal Use Only

**14.** Weigh the above factors to determine a set aside or confirmed decision.

## 4.4 Make a preliminary decision on plan duration

**Note:** For internal review officers without delegation you are making a preliminary recommendation on plan duration.

Delegates should be guided by the Panda Live V2 recommendation of plan duration in most instances. Typically, this would be for requests that meet the following criteria.

**Criteria**:

- There are no expected life stages changes to occur for the duration of the plan

- Funded supports are within TSP or the plan is not inflated by more than 10 percent of the previous plan value.

If criteria is not met, you should retain the same end date (as close as possible) and record your justification for altering the recommended plan duration when completing the Risk Assessment in Pre Planning. You will need to pro-rata funding when you build the plan.

Delegates should also consider other factors when determining plan duration such as:

- Keeping family groups review schedules together

- Supported Independent Living (SIL) Participant groups together

- Utilisation variance in previous plans

- Support meets R&N for the duration of the plan and there are no time limited supports included.

If more than two of these considerations apply, speak to your Team Leader or Assistant Director regarding a shorter plan duration.

## 4.5 Submit a decision outcome

Once a decision has been determined, it needs to be submitted on the system.

**Note**: If the decision being reviewed is the decision not to review a plan you will not need to follow step 2 below.

1. If you are an Internal Review Officer without delegation, email your Team Leader to seek approval. Wait for their approval before proceeding to section 4.6.

2. If the plan is inflated by more than 50 percent the decision needs to be endorsed by an Assistant Director before proceeding. If the plan is inflated by more than 100% the decision needs to be endorsed by a Director. Seeking specialist advice from TAB or ECS should be considered in these cases to support significant deviation from the

original decision especially where no new evidence has been provided. If the advice received has been the reason for the 50% inflation or greater you are not required to seek EL endorsement.

3. Otherwise, if you have delegation to submit a decision outcome, proceed to open the s100 form for this review under open activities and select **Edit**.

Image caption: Screenshot of the system s100 form showing the Edit button highlighted at the bottom of the screen.

4. Update the **Supporting Information** stating all evidence/information supporting the decision has been uploaded to the system and linked to the s100 form. Select **Save** to confirm your updates.

Image caption: Screenshot of system s100 form showing the supporting information field highlighted where all evidence/information supporting the decision should be recorded. At the bottom of the form the Save button is highlighted.

V15.0 2022-09-09        Complete a Planning Internal Review Decision        Page 14 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 204 of 875

# Standard Operating Procedure

For Internal Use Only

**5.** Record the outcome decision by selecting **Ready to Submit** outcome. Select the appropriate decision outcome as **Confirm Decision** or **Set-Aside Decision**. Do not select the **Vary decision** option as the system currently does not allow us to 'vary' plans. A plan review will be initiatied for a set-aside decision.



Image caption: Screenshot of the s100 ready to submit system screen, with the Outcome Justification drop down options Confirm Decision and Set-Aside Decision each highlighted in a red box.

**6.** For **Confirmed** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

**Review on statement of supports**

- s100 confirm: s100 decision made to confirm the original decision, the supports requested were not found to meet NDIS funding criteria or could not be considered as they were out of scope. See outcome letter for details.

**Review on decision not to review a plan (s48)**

- s100 confirm: s100 decision made to confirm the original decision as it was unable to be demonstrated that; circumstances have changed, or there is new information that would change/affect our assessment of the participant's needs, or, their needs can't be met by existing supports. See outcome letter for details.

**7.** For **Set-aside** decisions, record a justification explaining the outcome in the **Outcome Justification** box. Below are examples for a review on statement of supports or a decision to not review a plan.

Note: You must include in the justification the TSP has been considered when determining reasonable and necessary supports.

# Standard Operating Procedure

For Internal Use Only

**Review on statement of supports**

- s100 Set aside: A s100 review request was submitted on [insert date], consideration was given to s34 reasonable and necessary criteria in the NDIS Act and the NDIS Rules. TSP has been considered when determining reasonable and necessary criteria. As a result of this, a plan review was initiated to give effect to the decision to vary the current level of funding – the original budget has been set aside.

**Review on decision not to review a plan**

- s100 decision to set aside the decision not to approve a request to review the plan under s48. A plan review is approved and has been initiated to give effect to the s100 decision.

- The plan review has been initiated and now needs to be assigned for action. Follow the steps in Appendix A to assign the plan review and interaction.

- Go to section 4.8

## 4.6 Build the new plan (if required)

1. If the outcome of an internal review was a 'Confirmed decision', ' for an internal plan review decision' skip to section 4.8.

2. A set-aside decision for a statement of supports will have a new and automatically generated Review Application under Pathway in the participant record with a status of in-progress.

### 4.6.1 Complete pre-planning tasks

Complete the pre planning tasks below as per the Standard Operating Procedure - Complete a Plan Review (light touch).

1. The **Outcomes Questionnaire** in Pre Planning must be reviewed and submitted so quotes can be implemented after the review. Occassionally this may be blanked out as the participant has moved into another age group and a different outcomes questionnaire is required. If this occurs we can still submit the outcomes questionnaire and make a note in the implementation interaction that this was not completed for the purpose of giving effect to a s100 internal review decision.

2. **Risk Assessment/Plan Duration**: Refer to section 4.5 and the Standard Operating Procedure – Complete the Risk Assessment task. Adopt the approach to make the plan the duration the same as what it was originally approved for, for example 12 months or the participant preference as indicated previously. This will mean pro-rata will not need

V15.0 2022-09-09          Complete a Planning Internal Review Decision          Page 16 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 206 of 875

# Standard Operating Procedure

For Internal Use Only

to be completed. However, based on your investigations of the original plan, Panda recommendations, conversation/s with the participant, risk and/or participant's current circumstances, you identify a shorter term plan duration approach is required, pro-rata will need to be completed to reflect the plan duration.

**Note:** If there is a discrepancy in plan duration calculated in the **Pre Planning Risk Assessment** compared to the original approved plan duration or a plan duration you have determined based on the participants circumstances and risk. You will need to adjust it accordingly for the remaining month/days while ticking the '**Plan reviewed early or amended**' box and note it is an outcome of an internal review.

3.  Select **Review and Submit for Funded Supports** and select **Yes**.

### 4.6.2  Complete planning tasks

1.  Complete the **Determine Funded Supports Task** as per Standard Operating Procedure - Complete a plan review (light touch) noting this will be pre populated with approved funded supports from the current active plan.

**Note:** If the plan duration is **not** what the original approved plan was for, make sure the calculated supports are correct for the time period in each category, you may need to apply pro-rata to the supports. Where you do need to pro rata follow the methodology found in Standard Operating Procedure - Complete a plan review (light touch), Standard Operating Procedure – Complete the Risk Assessment, or Standard Operating Procedure – Complete a plan review (full) which provides guidance for pro rata Capacity Building and Capital Supports. All supports in the plan will need to be pro-rated even if you have not changed the level of funding in the previous plan with the exception of stated capital supports.

*   Special Consideration is required for some specialist plan builds, for example ECEI participants. Refer to the relevant SOPs and ECEI Practice Guide on the intranet when building their plans.

*   Changes to NDIA's approach to funding supports may also have occurred since the approval of the original plan. For example, changes arising from Price Guide updates, employment support changes, SIL changes, hearing service changes and others. Make sure you are aware of any recent changes to supports by reviewing the intranet resources guidance page, and you have applied any recent updates to new and existing supports in the new plan.

*   Check and maintain in-kind information in the plan for relevant supports to make sure there is not duplication of funding since the generation of the TSP and phasing

# **Standard Operating Procedure**

For Internal Use Only

out of in-kind programs. Make sure you are accessing information available in Panda Live v1 for the latest in-kind data and information.

**Notes regarding SIL**: If you have a plan which includes SIL, make sure you follow Standard Operating Procedure – Supported Independent Living (SIL) advice and use IRT **SIL** interaction templates for referencing SIL in s100 decisions. Refer to Internal Review of a Planning Request Interaction Templates.

If you intend to make changes to the SIL funding, you will need to discuss this with the SIL Assessment Team before approving a plan, as you will need the SIL assessors updated SIL recommendation to know the amount of SIL supports to include in the plan.

To make sure you receive the SIL assessor's recommendation in time, send the interaction to the appropriate **state-based SIL team CRM inbox**, and if required, escalate through to the SIL Team Leader via email, and if further escalation is necessary, directly contact the National SIL Director, s22(1)(a)(ii) - irrelevant material

The SIL Team Inbox are **NSW ACT SIL**, **VIC TAS SIL**, **SA NT SIL**, **QLD SIL** and **WA SIL** for assigning the open interaction to the appropriate state SIL team.

For more information refer to:

- Standard Operating Procedure – Supported Independent Living (SIL) Section 4.4 for state and territory **SIL CRM Inboxes**. Section 6.2 - Include SIL in the participant's plan.
- SIL Intranet page for state and territory SIL teams MS Outlook contact details.
- Operational Guideline – Supported Independent Living (SIL).

**Note:** If there are In-Kind supports as part of the plan, refer to the In-Kind intranet page for guidance, check the transition dates for the state/territory of the participant and speak to your Team Leader. Do not contact or notify the SIL Team for plans with In-Kind supports.

2. Any Capital Supports funding claimed in the original plan should be removed. Claimed capital supports can be determined from checking the plan utilisation (ensuring you have considered costs of repair and maintenance) or any accepted assistive technology quotes.

**Note**: The definition of 'mid cost AT' has changed from $5000 to $15000. Participants no longer need a quote for AT that cost less than $15000. The Factsheet – Understand assistive technology evidence, advice, assessments and quotes provides a general overview of the update.

# Standard Operating Procedure

For Internal Use Only

Refer to the following Standard Operating Procedures for further guidance on adding low, mid and high cost supports and repairs and maintenance for new and existing items:

- Standard Operating Procedure – Add low cost assistive technology supports in a plan
- Standard Operating Procedure - Add mid cost assistive technology in a plan
- Standard Operating Procedure – Add high cost assistive technology in a plan and include replacement AT
- Standard Operating Procedure – Add funding for repairs, maintenance, rental and trial of assistive technology

Check if the system has made an error in adding any funding for Capital Supports were not approved in the last plan, which will need to be removed.

3. Plan comments may need to be updated to reflect the supports in the new plan as a result of the decision outcome. This may also include reviewing and updating any existing comments that relate to the supports determined in scope for the internal review and removing those that no longer apply to explain to the participant what the funding is for. Comments should be written in each of the Support Categories where funded supports have been placed. A Support Category are the areas in the plan where funding/line items have been placed, for example, Consumables, Daily Activities, Social Community and Civic Participation, Transport, CB Choice and Control, CB Daily Activity, CB Relationships, Assistive Technology, Home Modifications to name a few.

**Note:** Plan comments will be printed in the participants plan. Refer to Standard Operating Procedure – What print's on a plan.

| Support Type > Support Category > Capacity Building | | | |
|---|---|---|---|
| Support Category | Price $ | Comment | Associated Goal |
| CB Choice & Control | 2,627.17 | Plan management and financial capacity building - set up costs - | |
| CB Daily Activity | 5,676.00 | Support to build my skills so I can achieve all my plan goals. | |
| CB Employment | 7,733.23 | Supports to help me find and keep a job. | |

Image caption: Screenshot showing comments for each support type in the Finalise Plan and Approve tab. Comments column highlighted. Example showing from top to

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# Standard Operating Procedure

For Internal Use Only

bottom. First line: Support category: CB Choice and control, price: 2627.17, comment: plan management and financial capacity building - set up costs. Second line: CB daily activity, price: 5676.00, comments: support to build my skills so I can achieve all my plan goals. Third line: CB Employment, price: 7733.23, comments supports to help me find and keep a job.

4. Once you are satisfied you have included all reasonable and necessary supports in the plan, select **Submit**.

5. Complete the **Determine Plan Management Task.** This task will be pre-populated with the recommended plan management based on the responses in the **Complete Risk Assessment Task**. Review and confirm it reflects the plan management determined previously. Previous plan management allocations can be viewed in Panda Live v2. When making changes to the Determine Plan Management task make sure the unit of entry is **percentage** (not currency).

   **Note:** If you have rejected the participant's request for self-management of their supports, this will be considered a declined request and will need to be reflected when preparing the decision letter and communicating the decision in section 4.9 and section 4.10.

6. Select **Submit**.

## 4.7   Approve the new plan

Under the **Planning Tab**, Internal Review Officers without delegation will need to either select the **Review and Submit Draft Plan** or **Review and Submit Plan for Approval task**. Only one will be available based on your role.

If you are an internal review officer with delegation, select the **Finalise Plan and Approve** task.

1. Review all sections of the Plan as per the **Review Sections** of the Standard Operating Procedure – Finalise and approve a plan with careful consideration to adjust the justifications (Part 5: Funded supports in the Finalise Plan and Approve task, and Part 4: Funded Supports in the Review and Submit Draft Plan task) to explain the internal review decision for those supports determined in scope for the internal review.

   **Note:** When writing justifications we must consider: supporting information, evidence provided, lived experience, participants goals, participant circumstances and disability support needs, section 34 of the NDIS Act 2013, Part 5 of the NDIS Rules, previous budget utilisation, TSP, inflation and agency wide guidance materials.

   **a) If no changes are required to the support category:**

# Standard Operating Procedure

For Internal Use Only

Copy the justifications from the previous plan and add "This support category was not changed as part of the of the s100 Internal Review Request. Justification remains the same".

**b) If changes were made to the support category:**

Please start each support category justification with the sentence, "As part of the s100 review, I have found these supports meet s34 reasonable and necessary criteria in the NDIS Act and NDIS Rules. I have made a decision to vary the current level of funding."

If there are existing justifications within this support category, you will need to update the entire justification if you changed the funding making sure the following are included:

- describe the support and how it relates to the participant's disability support needs
- describe how the support will help the participant work towards their goals
- describe how the support meets reasonable and necessary criteria
- refer to any relevant supporting evidence.

Examples to guide your written justifications are included in Appendix Write a best practice justification within the Standard Operating Procedure - Review and Submit plan for approval.

1. For Internal Review Officers without delegation, click on **Save** at the bottom of the **Review and Submit Draft Plan** section. Do not select Submit as this submits the plan to WLM for National Delivery staff and is not a process IRT follow. Email your Team Leader once you have prepared the draft decision letter, and note the plan and letter are ready for approval. You can now refer to section 4.8.

2. Otherwise, if you are a delegate, proceed to select **Yes** on the **Generate plan only** button at **Part 9: Delegate** after completing the **Finalise plan and approve** section. This option is selected to supress the default cover letter which is sent with plan approvals, as it will be replaced by our decision letter.

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# Standard Operating Procedure

For Internal Use Only

Image caption: Screenshot of Part 9: Delegate screen from the Planning; Finalise Plan and Approve system tab. Select yes on the Generate plan only.

**Note:** Prior to selecting Approve, you can select the **Print Preview** button. This will display a draft copy of the plan and will allow you to proof read and view what will be provided to the participant.
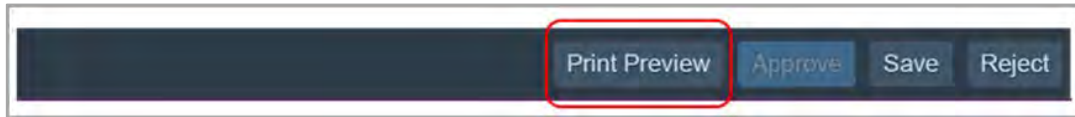


Image caption: Screenshot of the buttons at the bottom of the Finalise Plan and Approve screen with Print Preview highlighted.

3.  Select **Delegate Approval** and then select the **Submit** button.

4.  If an Alert appears stating level 4 delegation approval is required for this plan, follow the steps outlined in section 4.7.1.

5.  Once the plan has been approved, if applicable, implement any 'Quote required line items' required as a result of this decision outcome (except SDA). The Standard Operating Procedure – Initiate and Record Quotes and Standard Operating Procedure – Consider and action quotes provides guidance on how to implement quotations. For plans that include Supported Independent Living (SIL) funding, create SIL service booking following Standard Operating Procedure – Supported Independent Living (SIL).

6.  If the result of your decision reduces the total funded supports by 20% or more the IRO is required to make contact regarding the outcome of the review to explain the decision.

### 4.7.1  Higher Delegation Approvals Process

1.  Confirm the s100 alert is active on the participant's record.

2.  Refer to the Higher Decision Delegate Standard Operating Procedure for assigning plans for approval.

    Note: You will need to seek preliminary endorsement from your Team Leader. APS6 delegates can endorse their own plans and do not require a second level quality check.

## 4.8  Record the Decision Outcome

### 4.8.1  For Statement of Supports Decision

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Statement of Supports** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

### 4.8.2  For not to review a plan Decision

V15.0 2022-09-09          Complete a Planning Internal Review Decision          Page 22 of 29
**This document is uncontrolled when printed.**

**OFFICIAL**
Page 212 of 875

# Standard Operating Procedure

For Internal Use Only

Record the final outcome decision in the **s100 request received interaction** using the **s100 – Outcome Decision Not to review a plan** interaction template outlined in the Internal Review of a Planning Request Interaction Templates.

## 4.9 Prepare the decision letter

1.  Based on the decision outcome, complete the relevant letter found on the IRT intranet page.

2.  Follow the instructions on the respective letter template to complete the decision letter and make sure:

    *   The date of the decision letter should be the same date the s100 review decision outcome was in effect (date you approved the plan on the system).

    *   Approved supports should be referred in terms of support hours/quantities, rather than dollar values.

    *   Any requests withdrawn throughout the process need to be recorded, including those where we have spoken to the participant regarding requests that do not meet the scope of an internal review.

    *   Please do not write any more than 2 additional sentences per criteria in the Basis for Decision section. If you wish to provide detailed information on possible next steps including referrals to mainstream and/or community supports or other referrals you can include this in the implementation interaction completed at section 4.11.

    *   Save a copy of the completed letter as a PDF using the naming convention. Participant Surname First Name NDIS Number Decision letter. For example, Smith James 4300044567 Decision Letter.

    *   For Internal Review Officers without delegation, email the decision letter to your Team Leader for approval. Once approved, proceed to section 4.10.

    *   For delegates, proceed to section 4.10.

## 4.10 Send decision letter and relevant documents

NDIA must give written notice to the participant and/or representative of the internal review decision.

If a new plan has been created as a result of the decision you will need to save or print the approved plan locally and send the plan with the decision letter. Complete the following steps:

V15.0 2022-09-09　　　Complete a Planning Internal Review Decision　　　Page 23 of 29
**This document is uncontrolled when printed.**
**OFFICIAL**
Page 213 of 875

# Standard Operating Procedure

For Internal Use Only

- From **Outbound Documents**, save or print the approved plan locally. If you need help to do this, refer to Standard Operating Procedure – View, Print or Suppress an Outbound Document.

- Send the plan and letter to the participant or their authorised representative, using their preferred method of communication.

- If the participant preferred method contact is via email, use the Internal Review planning email address to send the decision letter as an attachment and use the subject line and email template below and new plan (if applicable).

  **Email Template for Decision Letter**:

  Subject Line – Outcome of your Internal Review Request Participant Number<xxx>

  Body – Please find attached to this email the outcome of your request for an internal review of a decision.

  Regards,

1. If there are accessibility requirements required for printing the written notice or any other relevant documents follow the process in the Printing plans in braille and other accessible formats guidance. Please note the financial delegate mentioned will be the EL1 of your respective team.

2. If there are language requirements required for printing the written notice or any relevant documents, follow the process in Practice Guide – Assisting communication.

3. If the documents are being posted, mail all the relevant documents above in the one envelope. Check with your local site or team leader about mailing arrangements.

4. Upload all the mailed documents onto the system as a PDF document in the participant's Inbound documents line titled 's100 internal review request dd/mm/yyyy'. Refer to the Standard Operating Procedure – Inbound Documents for how to upload a document and naming conventions. Refer to section 4.1.1 for naming conventions.

## 4.11  Inform National Delivery or Partners in the Community of Decision made.

After completing an internal review for **statement of supports** requests National Delivery and Partners in the Community will need to be informed of the decision to implement the new plan or follow-up activities where required.

1. Complete the appropriate Implementation interaction from the Internal Review of a Planning Request Interaction Templates on the participant's record on the system. This

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# Standard Operating Procedure

For Internal Use Only

will be either the **s100 Completed Change to statement of supports** or **s100 Completed No change to supports interaction**.

**Note**: If you have identified alternative mainstream or community supports that should be explored you can include this in the interaction template for the local office to follow up with the participant.

- Re-assign your completed interaction to the appropriate local NDIS office by following the Workflow Rules.

## 4.12  Complete remaining closure tasks

1.  Record the outcome of the review in the IRT Planning Database.

2.  You will also need to record the Original Decision Maker (ODM) feedback on the IRT Planning Database to make sure the reason for your decision is recorded in IRT's database. This is important information that allows us to provide feedback to original decision makers. Refer to the IRT Database Manual.

3.  End date the s100 alert created in section 4.2 by setting the end date as the day of the decision. Refer to Standard Operating Procedure – View or edit an alert for how to edit an alert.

4.  Assign any Assistive Technolgy and Home Modifications (ATHM) items placed on hold by National Delivery due to an active s100, back to WLM or the Participant's region (RTS CRM inbox). To do this:

    - Check interactions using the table format for any ATHM items that are open, and also search s22(1)(a)(ii) - irrelevant material' (KM0054) CRM inbox for the Participant's name and open ATHM item/s

    - If an open ATHM item is found, and the interaction ID starts "700" you will need to un-assign the ATHM work item back to WLM by using "User Unavailable" as a reason.

    - Then apply an extreme workflow identifier to the participant's record, with an end date of 14 calendar days later. Refer to the Standard Operating Procedure – Add or remove workflow identifiers

    - If the open item does not start with and interaction ID of "700" you will need to reassign the ATHM interaction to the RTS inbox of the participants jurisdiction using the