



## Form

# Intensive capacity building supports in early childhood

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This form is for **internal** use only.

This Intensive form will help the early childhood partner or plan developer consider the information received to make Capacity Building recommendations. It will also help the delegate make a reasonable and necessary decision when considering an intensive level of Capacity Building supports for a participant younger than 7.

There are 9 parts to this form. You must complete all parts in order (**Part A to Part I**), unless prompted otherwise.

Before completing this form, make sure you understand the intensive level of Capacity Building supports in early childhood. You will find this information in the [Practice Guide - Early childhood planning](#). In the Practice Guide's appendices you will find the '**Guide for calculating early childhood capacity building supports**' (**the Guide**) and '**the alternative method**'.

**Do not** use this Intensive form when:

- the requested level of Capacity Building support is less than or equal to the 'severe and profound' level in **the Guide**.
- an intensive level of support is recommended by a professional, but the parent or carer does not want this. Instead, record this in the [Interaction template- Pre-planning: Early childhood planning conversation](#).
- requests relate to Core supports, disability related health supports, supports in Capacity Building (CB) Relationships (for example restrictive practices) or Assistive Technology supports (AT).

Once this form is completed, upload as an Inbound Document to the participant's record in the NDIS Business System (System). If you are not recommending intensive supports or recommending less than what was requested complete an [Interaction template - Planning - Early childhood declined supports](#) in the participant's record in the System.

If you require further support to complete this form, please talk to your team leader or [request advice](#) from the Early Childhood Services Branch.



# Form

## Part A: Participant details

Child's full name	
Date of birth	(DD/MM/YYYY)
NDIS number	

## Part B: Supporting information and reports

Supporting information and reports	Author	Date
Select all that apply		
<input type="checkbox"/> Planning conversation interaction		DD/MM/YYYY
<input type="checkbox"/> Evidence of developmental delay form (initial plan)		DD/MM/YYYY
<input type="checkbox"/> Medical report/s		DD/MM/YYYY
<input type="checkbox"/> Provider report/s		DD/MM/YYYY
<input type="checkbox"/> Other		DD/MM/YYYY

## Part C: Request for support

### 3.1 Who is requesting the intensive level of Capacity Building supports?

Select all that apply

- Parent or carer
- Service provider
- Health professional
- Early childhood partner or plan developer
- Other, please specify in the cell below.

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## Part D: Are intensive supports likely to be needed?

### 4.1 Intensive supports criteria

In the table below, select all that apply.

Criteria	Criteria details	Criteria met
Impact on daily life in the home	<p><b>Very substantial support</b> is required to participate in a <b>range</b> of routines and activities in the <b>home</b> (relative to age).</p> <p>For example: bath time, meal-time, sleep routine, play with family, make a choice or express needs.</p>	<input type="checkbox"/>
Impact on daily life in the community	<p><b>Very substantial support</b> is required to participate in a <b>range</b> of activities in the <b>community</b> (relative to age).</p> <p>For example: visiting friends, going shopping, going to the playground, going to the doctor's, playgroup.</p>	<input type="checkbox"/>
Impact on early childhood education, childcare or school	<p><b>Very substantial support</b> is required for participation in an <b>early childhood education, childcare or school setting</b> (relative to age), to:</p> <p><input type="checkbox"/> start or recommence, <b>or</b></p> <p><input type="checkbox"/> maintain attendance (for example if at risk of withdrawing), <b>or</b></p> <p><input type="checkbox"/> increase attendance (for example if part time), <b>or</b></p> <p><input type="checkbox"/> n/a. Family choosing not to access early childhood education or childcare (for example due to very young age or health reasons.)</p>	<input type="checkbox"/>
Impact on early childhood education, childcare or school	<p><input type="checkbox"/> Child is currently <b>not legally required</b> to be at school because of their age or they have exemption from the state's education department, <b>or</b></p> <p><input type="checkbox"/> Child is at school and the support required is exceptional and has been discussed with a team leader or the ECS Branch.</p> <p><b>Name of team leader or ECS Branch colleague:</b> Click or tap here to enter text.</p>	<input type="checkbox"/>
Family considerations	<p>Family feels that they would <b>benefit from an intensive level of capacity building support</b>. They have considered how they will flexibly implement the intensive supports across the course of their week to benefit the child and family overall.</p>	<input type="checkbox"/>



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## 4.2 Are all the criteria in [4.1](#) met?

- No. Use **the Guide** to calculate supports. **Note:** This form is now complete.
- Yes, intensive supports are likely to be reasonable and necessary. Go to [Part E](#).

## Part E: Participation in early childhood education, childcare or school

### 5.1 What were the child's participation levels in the past 12 months?

For example, type of activity, days per week, start/end date.

### 5.2 What are the child's participation levels planned for the next 12 months?

For example: type of activity, days per week, start date.

### 5.3 What are barriers to the child's participation?

### 5.4 Eligible mainstream funding

If applicable, comment on eligible mainstream funding for inclusion or disability supports for the child at childcare, preschool or school.

## Part F: Provider reports

### 6.1 Are current provider reports available?

- No. Recommend a 12 month plan with **3 months of intensive supports**. Go to [Part I](#)
- Yes. Complete the table in [6.2](#), below.

### 6.2 Provider reports and parent or carer information

In the table below, select all that apply.

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Criteria	Consider reasonable and necessary criteria	Criteria met
Provider reports	Current results of functional assessments for all relevant developmental areas of need are available in one or more provider reports, within 6 months (NDIS Act 2013 s 34(d)).	<input type="checkbox"/>
Provider reports	For plan reviews, where intensive supports have already been provided (for at least 6 months), there are outcome measures which show that there has been a progression with skills in daily activities, and an increase in participation (NDIS Act 2013 s 34(d)).	<input type="checkbox"/> <input type="checkbox"/> n/a
Therapy goals	There are therapy goals in at least one report, or the family or carer can describe the therapy goals. The goals: <ul style="list-style-type: none"> <li><input type="checkbox"/> are consistent with NDIS goals (NDIS Act 2013 s 34(a)), <b>and</b></li> <li><input type="checkbox"/> are specific enough to allow a measure of progress (NDIS Act 2013 s 34(d)), <b>and</b></li> <li><input type="checkbox"/> focus on increasing the child's independence, participation in everyday routines, activities and places of daily life (NDIS Act 2013 s 34(b)), <b>and</b></li> <li><input type="checkbox"/> cover all developmental areas of need requiring therapy support (NDIS Act 2013 s 34(a)).</li> </ul>	<input type="checkbox"/>
Parent capacity building	The early intervention will strongly focus on building the family or carer's capacity to support the child. For example, the parent is involved in therapy sessions, the therapist supports parent with strategies. (NDIS Act 2013 s 31(c)-(e)).	<input type="checkbox"/>
Early intervention embedded in the home and community	The early intervention support is implemented so that strategies are embedded in the child's everyday routines, activities and places of daily life. For example, when therapy is centre based strategies are implemented in daily routines and activities. (NDIS Act 2013 s 34(b)).	<input type="checkbox"/>
Early intervention embedded in early childhood education, childcare or school	If the child is attending early childhood education, childcare or school, their participation is supported through the provider's consultation with staff. For example, strategies are shared with childcare staff (NDIS Act 2013 s 34b, s 34(d)-(e)).	<input type="checkbox"/> <input type="checkbox"/> n/a



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Criteria	Consider reasonable and necessary criteria	Criteria met
NDIS early intervention principle	<p>You have discussed with the family or carer that the need for intensive supports is expected to reduce over time, because:</p> <p><input type="checkbox"/> the provider is recommending short term intensive support, <b>or</b></p> <p><input type="checkbox"/> of transition points for the child (for example starting preschool or school), <b>or</b></p> <p><input type="checkbox"/> other, please specify: Click or tap here to enter text.</p>	<input type="checkbox"/>

### 6.3 Are all the criteria in [6.2](#) met?

- Yes. When you calculate funding, recommend a plan with **up to 12 months of intensive level of supports** that meets the reasonable and necessary criteria.
- No. When you calculate funding, recommend a 12 month plan with **3 months of intensive supports**.

## Part G: Evaluate provider recommendations

### 7.1 Provide a breakdown of each of the provider's recommendations

In the cell below, include **service type** (for example: group, individual, parent training) and **setting** (for example: centre based, home based, natural settings), **professionals involved** (for example: qualifications, registrations), **frequency and rates** for **each support**.

### 7.2 Further considerations against reasonable and necessary criteria

In the table below, select all that apply to the recommendations received.

Consideration of provider recommendations (with any parent or carer information relating to the recommendations) against the reasonable and necessary criteria.
<p><input type="checkbox"/> <b>Duplication of similar supports</b> by one provider or multiple providers. For example, two professionals within the one organisation are providing similar supports or two different providers are supporting the child to develop the same skill (NDIS Act 2013 s 34(c), NDIS Rules 2013 Part 5(1) (c)).</p>



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## Consideration of provider recommendations (with any parent or carer information relating to the recommendations) against the reasonable and necessary criteria.

**Calculations** in the quote that **do not represent value for money** (NDIS Act 2013 s 34(c)). For example, hourly rates in provider reports are above prices in the NDIS Support Catalogue, or 52 weeks of the year calculated rather than 48 weeks.

**Supports are not considered value for money**; the requested hours are excessive compared to the outcomes to be achieved (NDIS Act 2013 s 34(c)). For example, the provider recommends an increase in funding which is not justified in reports, the provider recommends funding for an intensive toilet training program in addition to a comprehensive early intervention program which supports the area of self-care.

Hours for **provider travel** (not including remote MMM6, very remote MMM7), report writing, multiple staff attending the same meeting, professional development, **does not represent value for money** (NDIS Act 2013 s 34(c)).

**Recommendations** made by a **professional** who is **not qualified** for example a therapy assistant has written the therapy program (NDIS Act 2013 s 34(d)).

**Delivery of service** by professionals who are **inappropriately qualified**. For example, a behaviour therapist who is not qualified to supervise a therapy program (NDIS Act 2013 s 34(d)).

Programs with a **low evidence base** (NDIS Act 2013 s 34(d)). For example, equine therapy, dance therapy.

Support which replaces **mainstream and community supports** (NDIS Act 2013 s 34(f)). For example, it is not reasonable and necessary to fund therapy assistant in a preschool, therapist teaching a child to read, therapy recommended on days when the child should be at a mainstream setting.

**Other** concerns, please specify: Click or tap here to enter text.

### 7.3 Your recommendation

Have you selected any of the criteria in [7.2](#)?

Yes. The recommendations are **not likely** to meet the reasonable and necessary criteria and you are unable to base funding on the provider quote. Go to [Part I](#).

Yes. The recommendations **are likely** to meet the reasonable and necessary criteria **after minor adjustments** are made to the provider quote, so it represents value for money (NDIS



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Act 2013 s 34(c)). For example, removing provider travel, accepting number of hours but applying NDIS rate, reducing 52 week recommendation to 48 weeks. Go to [Part H](#).

Yes. However, there are **exceptional circumstances** and the provider recommendations have been discussed with a team leader or the ECS Branch. Please record these details in the cell, below. Go to [Part H](#).

**Name of team leader/ECS Branch colleague:** Click or tap here to enter text.

**Describe the exceptional circumstance:** Click or tap here to enter text.

No. No concerns identified. The recommendations **are likely** to meet the **reasonable and necessary** criteria. Go to [Part H](#).

## Part H: Funding informed by the provider quote

### 8.1 Calculate the funding you are recommending

Based on your response to [Part F](#), use the provider quote to calculate funding in the plan for either:

- 3 months of intensive supports within a 12 month plan and the remaining 9 months based on the Guide (pro rata for 9 months). Plus 9 hours for assessment, **or**
- a plan with up to 12 months of intensive supports.

In the cell below, include your calculations and the total hours that will be entered into the System, using the line item **Capacity Building Supports for Early Childhood Interventions – Other Therapy**. Add total hours recommended to the Capacity Building justification comment.

Enter your [staff member details](#) and this form is complete.

## Part I: Funding based on an alternative method

### 9.1 Use an alternative calculation method

Use the **alternative method** if the recommendations in [7.3](#) were **not** likely to meet reasonable and necessary criteria and you were unable to base funding on the provider quote.

Use an **individualised approach** instead of the alternative method when:

- the required supports are intensive and for shorter timeframes, or
- the alternative method comes to an amount that is greater than the total provider recommendations.





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Use the information in [Part E](#) to consider the child's current and future mainstream participation in your calculations.

Based on your response in [Part F](#), calculate funding in the plan for either:

- 3 months of intensive supports within a 12 month plan and the remaining 9 months based on the Guide (pro rata for 9 months). Plus 9 hours for assessment, or
- a plan with up to 12 months of intensive supports.

In the cell below, include your calculations and the total hours that will be entered into the System, using line item **Capacity Building Supports for Early Childhood Interventions – Other Therapy**. Add total hours recommended to the Capacity Building justification comment.

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Enter your staff member details below and this form is complete.

## Staff member details

Date	(DD/MM/YYYY)
Staff member name	
Early childhood partner organisation	
Early childhood partner service area	

# Add a priority request for an Internal Review

The content of this document is **OFFICIAL**. This Standard Operating Procedure will help you to make a priority request for an internal review.

## 1. Recent updates

Date	What's changed
August 2021	<p>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 <a href="#">Related procedures or resources</a>.</p> <p>Removed guidance about adding a priority request through the Feedback tile.</p> <p>Section 3.1 updated to clarify that the consent you need to confirm/obtain is express consent.</p>

## 2. Checklist

Topic	Checklist
<b>Pre-requisites</b>	<p>You have:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> made a decision to prioritise the request for internal review. You have used the <a href="#">Our Guideline - Reviewing our decisions (external)</a> to do this</li> <li><input type="checkbox"/> If you have determined there is an immediate risk of harm to self or others you: <ul style="list-style-type: none"> <li><input type="radio"/> have discussed this with your manager</li> <li><input type="radio"/> have submitted a <a href="#">critical incident report</a></li> <li><input type="radio"/> will add a priority request for internal review.</li> </ul> </li> <li><input type="checkbox"/> confirmed the date of the original decision for which the person is requesting an internal review</li> <li><input type="checkbox"/> confirmed there is already a request for an internal review in the System, using <a href="#">Standard Operating Procedure – Record a request for internal review</a></li> <li><input type="checkbox"/> uploaded any new evidence or supporting information to Inbound documents.</li> </ul>



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Topic	Checklist
Actions	<input type="checkbox"/> <a href="#">3.1 Add a priority request for an internal review</a>

### 3. Procedure

#### 3.1 Add a priority request for an internal review

1. Send an email immediately to either:
  - [Internal Access Reviews](#) - for internal Access Decisions
  - [Internal Reviews Planning](#) - for Internal Planning Decisions.

Copy and paste the following **Template** into your email with subject line: Request for escalation: s100 request.

**Template**

Participant NDIS number:  
 Participant name:  
 Contact (if not participant):  
 Express consent has been confirmed/obtained (if not participant):  
 Was the request lodged on an s100 form or feedback form?:  
 Priority criteria met from the Operational Guideline?:  
 What are the circumstances that indicate the priority criteria have been met?:  
 Is the current funding sufficient if used flexibly until PSG timeframe (3 months)?: Y/N  
 why/why not?  
 Has supporting information to determine if this is a priority case been attached to the participant record?: Y/N

### 4. Related procedures or resources

- [Section 99 of the NDIS Act 2013](#)
- [Interaction Templates - Internal Reviews](#)
- [Standard Operating Procedure – Record a request for internal review](#)
- [Standard Operating Procedure – View completed and withdrawn requests recorded in the s100 form](#)
- [Standard Operating Procedure – View or edit a request for internal review](#)



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## 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	CW0032	Class 2 approval Content transferred from SOP – Review of decisions – procedure 6.11. Removed guidance about adding a priority request through the Feedback tile. OG Transition.	APPROVED	2021-03-04
2.0	CW0032	Class 2 approved Section 3.1 updated to clarify that the consent you need to confirm/obtain is express consent.	APPROVED	2021-04-14
3.0	BL0012	Class 1 approved Minor changes: Changed 'What's changed' date from April to August. Highlighted 1 template.	APPROVED	2021-08-10



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## Record a request for internal review

This Standard Operating Procedure (SOP) will help you record a request for internal review of a reviewable decision (internal review). This is also internally known as a s100 review.

**Note:** Before you create a request for internal review, review the [Internal Review Team intranet page](#) and make sure it is the appropriate action. This includes using the [Choose the right request tool \(CRRT\)](#).

### 1. Recent updates

Date	What's changed
November 2022	<p>Language updated to align with the amendments to the NDIS Act that came into effect on 1 July 2022. Plan Review has been updated to plan reassessment.</p> <p>Updates also include how to record plan variation (s47A) internal review (s100) requests.</p>
August 2021	<p>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 <a href="#">Related procedures or resources</a>.</p> <p>The following guidance has been added:</p> <ul style="list-style-type: none"> <li>• pre-requisite to refer to the NDIA's Participant Critical Incident Framework if there is an imminent risk of harm to the participant or someone else</li> <li>• guidance to refer to the NDIS Quality and Safeguards Commission for complaints related to Providers</li> <li>• pre-requisites, section 3.2 and section 3.3 updated to clarify that you need to confirm, obtain and record express consent</li> <li>• internal reviews lodged via the Feedback Form are now assigned to CR PED NAT/VIC IRT Planning Incoming, instead of Scott Graham.</li> </ul>



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## 2. Checklist

Topic	Checklist
<b>Pre-requisites</b>	<p>You have:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> confirmed with the participant they disagree with a reviewable decision and want a review of that decision</li> <li><input type="checkbox"/> identified the participant’s review request relates to a reviewable decision and identified any risks. You have done this using <a href="#">Our Guideline – Reviewing our decisions</a></li> <li><input type="checkbox"/> if there is imminent risk of harm to the participant or someone else, you have referred to the <a href="#">NDIA’s Participant Critical Incident Framework</a></li> <li><input type="checkbox"/> established express consent and recorded it in an Interaction if the person requesting the review is not the participant</li> <li><input type="checkbox"/> confirmed the NDIA received the request within 3 months of the day after the person was advised of the original decision</li> <li><input type="checkbox"/> confirmed the participant’s plan was not created as a result of                             <ul style="list-style-type: none"> <li><input type="checkbox"/> a previous internal review decision</li> <li><input type="checkbox"/> an external review (Administrative Appeals Tribunal) decision</li> </ul> </li> <li><input type="checkbox"/> uploaded any documents to Inbound documents. Examples include request forms, emails, new supporting evidence, documents and materials provided with the review request</li> <li><input type="checkbox"/> found that this is related to a provider complaint, and you have referred the person to the NDIS Quality and Safeguards Commission.</li> </ul> <p>If the reason for the internal review request is a decision about the Statement of Supports, you have confirmed with the participant:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> the request is not related to supports no longer meeting their needs because of a change of situation. If their plan is no longer suitable, you can request a plan reassessment using <a href="#">Standard Operating Procedure – Create a plan reassessment (or variation) request (PRR)</a></li> <li><input type="checkbox"/> the request is because they disagree with the previously approved statement of supports.</li> </ul>
<b>Actions</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.1 Consider active internal review requests</a></li> </ul>



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Topic	Checklist
	<ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.2 Identify whether to record the request using the s100 form or the Feedback form</a></li> <li>Either:               <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.3 Record a request for internal review (Feedback form)</a></li> <li><input type="checkbox"/> <a href="#">3.4 Record a request for internal review (s100 form)</a></li> </ul> </li> <li>Then:               <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.5 Next steps</a></li> </ul> </li> </ul>

## 3. Procedure

### 3.1 Consider active internal review requests

#### 3.1.1 Check for an active internal review request

1. Check the participant record for an active 'S100 in progress' **Alert**.
2. Check for an active internal review (s100) request using the [Standard Operating Procedure –View or edit an open request for internal review](#).
  - If there is no active internal review request, go to [3.2 Identify whether to record the request using the s100 form or the feedback table](#).
  - If there is an active internal review request, go to [3.1.2 There is an active internal review request](#).

#### 3.1.2 There is an active internal review request

1. Advise the participant that their internal review request remains active and that an internal review officer will be in contact to discuss the next steps.
2. Add an **Interaction** using [Interaction Template – Reassessments and variations – Participant plan reassessment \(or variation\) request \(PRR\) – Request escalated](#).
3. Assign **Open Interaction** to the Internal Review Team inbox: **CR PED NAT/VIC IRT Planning Incoming**.
4. Go to [3.5 Next steps](#).



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### 3.2 Identify whether to record the request using the s100 form or the Feedback form

Use the tables below to identify which form you need to use to record the request for internal review. The forms are in the System.

1. Go to the relevant table:
  - [Reviewable decision table – Access and Eligibility Reassessment](#)
  - [Reviewable decision table – Participants and plans](#)
  - [Reviewable decision table – Guardians and nominees](#)
  - [Reviewable decision table – Compensation.](#)
2. Find the reviewable decision for this request in the first column (Reviewable decision). You can use the description in the second column (A decision) to help you identify the relevant reviewable decision.
3. Check the third column (Record the request for internal review using). This tells you which form in the System you need to use to record the request.
4. Record the request for internal review using the:
  - feedback form go to [3.3 Record a request for internal review \(Feedback form\)](#)
  - s100 form go to [3.4 Record a request for internal review \(s100 form\).](#)

#### 3.2.1 Reviewable decision table – Access and Eligibility Reassessment

Reviewable Decision	A decision:	Record the request for internal review using:
<b>Access not met</b>	that a person does not meet the access criteria	s100 form
<b>Not to specify a period</b>	not to specify a period. This relates to when an Access Delegate doesn't have enough information to make a decision about eligibility and requests more information from the applicant. The reviewable decision relates to when the Access Delegate	Feedback form





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Reviewable Decision	A decision:	Record the request for internal review using:
	doesn't specify the date the information is required.	
<b>Access revoked</b>	to revoke a person's status as a participant (eligibility reassessment)	s100 form

### 3.2.2 Reviewable decision table – Participants and plans

Reviewable Decision	A decision:	Record the request for internal review using:
<b>Statement of supports</b>	to approve the statement of supports in a participant's plan	s100 form
<b>Not to extend a grace period</b>	not to extend a grace period	Feedback form
<b>Not to reassess a plan</b>	not to reassess the participant's plan (s48)	s100 form
<b>Plan variations</b>	to vary or not to vary a participant's plan (s47A)	s100 form

### 3.2.3 Reviewable decision table – Guardians and nominees

Reviewable Decision	A decision:	Record the request for internal review using:
<b>A determination in relation to a person</b>	to make, or not to make, a determination. This is in relation to a person (State or Territory Minister parental responsibility for a child).	Feedback form
<b>Do not apply to a child</b>	to make, or not to make a determination that subsections	Feedback form



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Reviewable Decision	A decision:	Record the request for internal review using:
	74(1) and (2) of the NDIS Act 2013 do not apply to a child	
<b>Parental responsibility for a child</b>	to make, or not make, a determination that person has parental responsibility for a child	Feedback form
<b>Appoint a plan nominee</b>	to appoint a nominee	Feedback form
<b>Appoint a correspondence nominee</b>	to appoint a correspondence nominee	Feedback form
<b>Cancel/suspend a nominee</b>	to cancel or suspend, or, not to cancel or suspend, the appointment of a nominee	Feedback form

### 3.2.4 Reviewable decision table – Compensation

Reviewable Decision	A decision:	Record the request for internal review using:
<b>Claim or obtain compensation</b>	to give notice to require a person to take reasonable action to claim or obtain compensation	Feedback form
<b>Claim or obtain compensation</b>	to refuse to extend a period (compensation)	Feedback form
<b>Claim or obtain compensation</b>	to take action to claim or obtain compensation	Feedback form
<b>Claim or obtain compensation</b>	to take over the conduct of a claim	Feedback form
<b>Recover an amount</b>	to give a notice that the CEO proposes to recover an amount	Feedback form



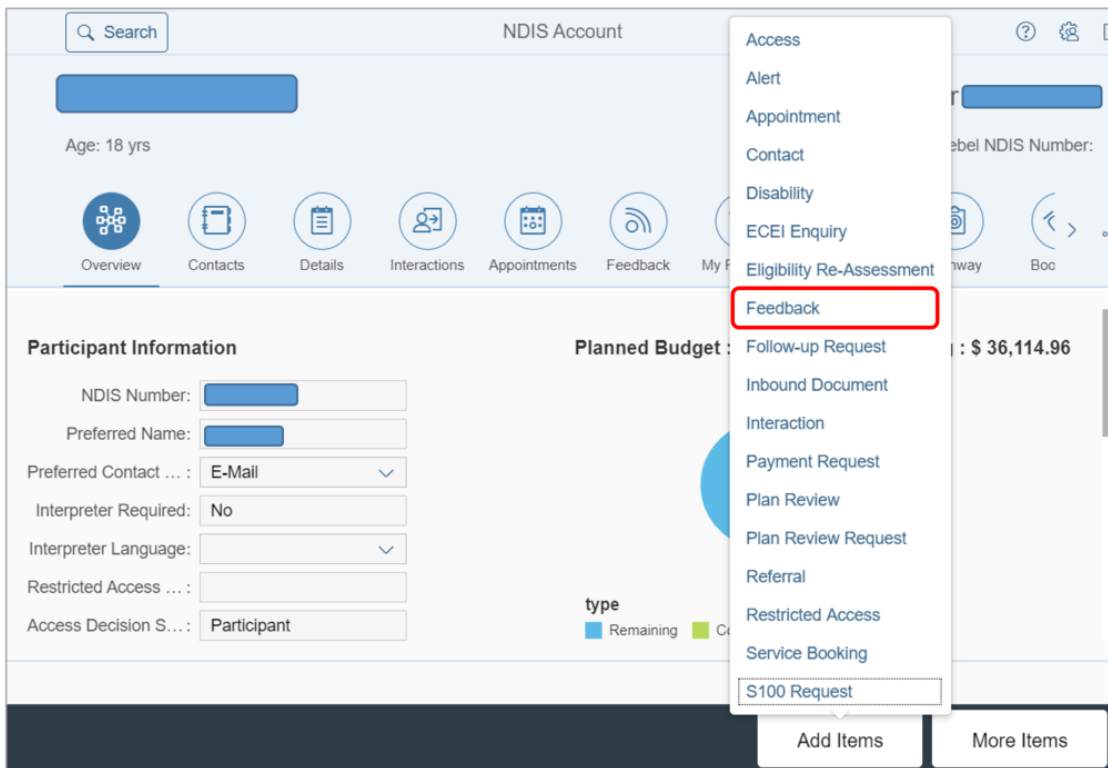
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Reviewable Decision	A decision:	Record the request for internal review using:
<b>Compensation payment</b>	not to treat the whole or part of a compensation payment as not having been fixed by a judgement or settlement	Feedback form

### 3.3 Record a request for internal review (Feedback form)

1. From the **NDIS Account** screen select **Add items** and then **Feedback**.





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## 2. The **Feedback form** displays.

Complete the following fields:

- **Description:** s100 Internal Review.
- **When was the Feedback received:** the date the NDIA received the request for internal review.
- **Feedback Type:** select **Appeal: Internal Review** from the drop down list.
- **Feedback details:** copy and paste the template below into the feedback field. Update the details and remove the examples.

### Template for s100

**Consent given:** Yes or No. If yes, detail where you recorded the express consent. For example, 'Yes, express consent given over the phone and recorded as an interaction, interaction number: xxxx'. If the person making the request is not the participant or affected person, you must record express consent here.

**Subject of review request:** Describe what the participant disagrees with and wants the NDIA to review. Be specific by describing what decision they disagree with or points that are subject to review. For example, 'a compensation reduction amount was applied to my plan that I disagree with'.



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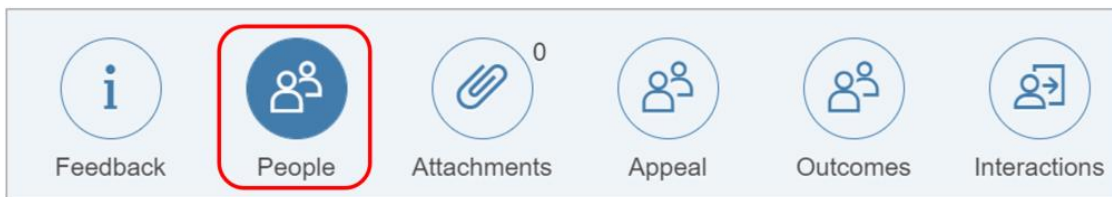
**Considerations:** What information does the affected person want the NDIA to consider? For example, additional evidence or supporting information, correspondence/interactions that form part of the request for the review.

**Risks:** Describe any risks. For example, risk of homelessness, relinquishment, care arrangements breaking down, media involvement, ministerial involvement.

**Additional documentation provided:** Yes or No. If yes, list documentation.

- **Primary Category:** select the reason for the internal review from the drop down list.
- **Desired Resolution:** select **Reconsider Decision** from the drop down list.
- **Desired Resolution details:** briefly state what the person would like the NDIA to decide. For example, 'I want the nominee I selected appointed'.
- **Acknowledgement Date:** add the date the NDIA received the request. This may be different from the date you enter the request, or the date on a letter.

### 3. Select **People**.



### 4. The **People Information** selection displays.

People Information

Required fields are marked with an asterisk (\*).

\* How was the Feedback received?:

\* What is the source of the Feedback?:

Complete the following fields:

- **How was the Feedback received:** select from the drop down list.
- **What is the source of the Feedback:** select from the drop down list. Depending on the option you select, additional field/s will show. Complete all fields.



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5. Select **Save**.

* How was the Feedback received?:	In Person	▼
* What is the source of the Feedb...:	On behalf of participant	▼
Participant:	<input type="text"/>	🗑️
Contact:	<input type="text"/>	🗑️
* Consent Obtained:	Verbal Consent	▼

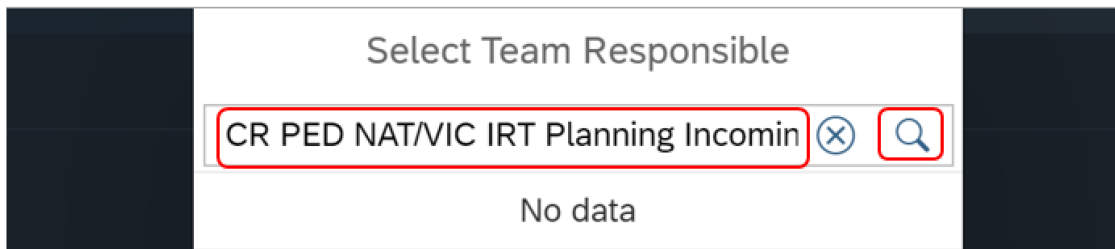
**Save** Cancel

6. A confirmation message displays. Select **OK**.

7. Select **Re-assign**.



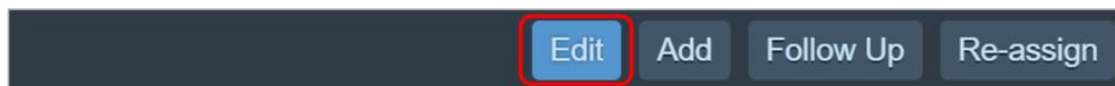
8. Re-assign to **Team Responsible CR PED NAT/VIC IRT Planning Incoming**.



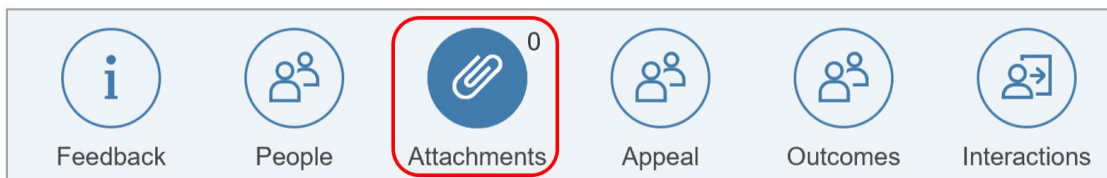
9. Select **Assign**.

10. The success message displays. Select **Close**.

11. Select **Edit**.



12. Select **Attachments**.





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13. Select **Add** (plus sign) to add attachments. Include any request forms, emails, new supporting evidence, documents and materials provided with the review request.

14. The success message displays, select **OK**.
15. Select **Save**.
16. The success message displays, select **OK**.
17. Complete the **Interaction** using [Interaction Template – Internal Review – s100 – Internal review requested](#).

**Note:** You must record this interaction in the **Interactions** tab. Record all other interactions through **Feedback**.

18. Go [3.5 Next steps](#).

### 3.4 Record a request for internal review (s100 form)

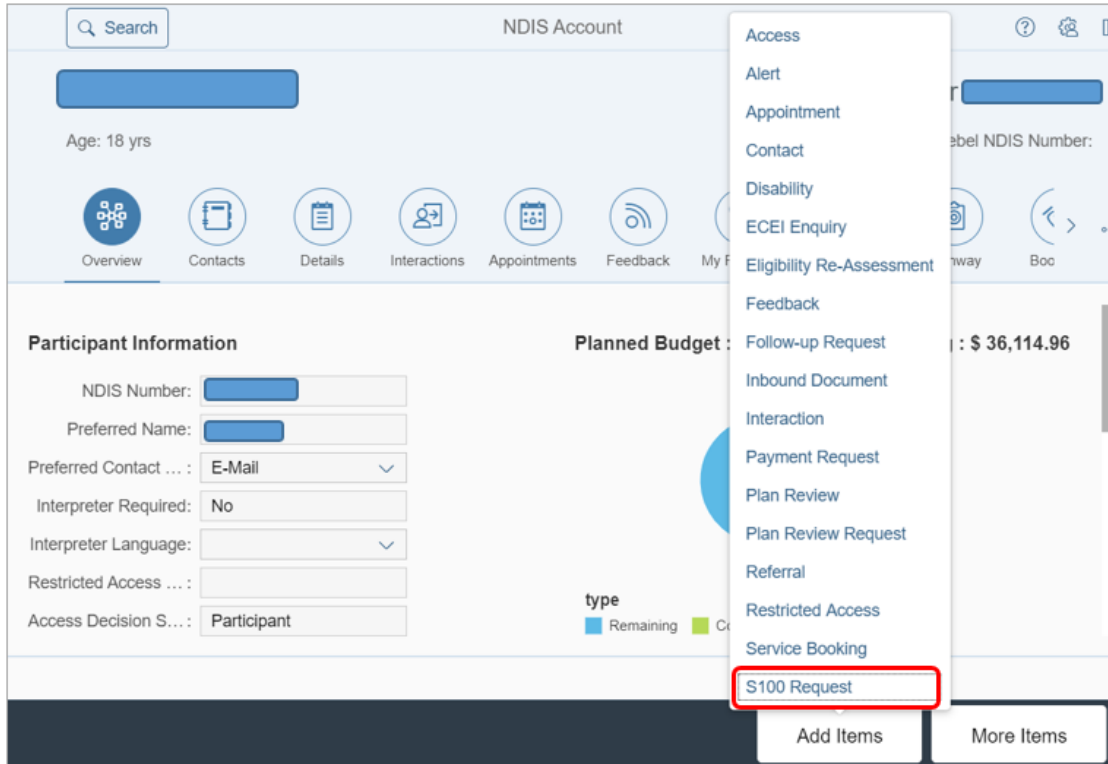
Follow these steps to record a request for internal review. If you need to raise a request for internal review of a decision to vary or not vary a plan (s47A), go to [3.4.1 Record a request for internal review of a decision to vary or not vary a plan \(s47A\)](#).

1. From the **NDIS Account** screen, select **Add items** and then select **s100 Request**.

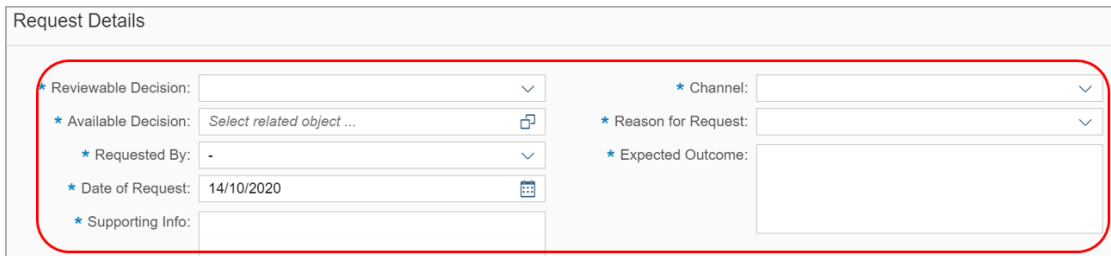


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2. The **Create s100 Request** screen displays.



Complete the following fields:

- **Reviewable Decision:** select from the drop down list.
- **Requested By:** select the person requesting the internal review from the drop down list. People with an active contact record associated with the participant or affected person will appear in this list. The person requesting the review may work for an organisation listed in the contact list but don't have their own active contact record.

If this happens:

- go to the **My Organisations** tile
- check if they are recorded as a primary contact for their organisation
- if not, you will need to establish express consent and record it in **Supporting Information**.





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- **Date of Request:** add the date the NDIA received the request. This may be different from the date you enter the request.
- **Supporting Information:** copy and paste the template below into the field, update the details and remove the examples. You must complete all the fields in the template. This is so the internal review officer can assess the request in a timely manner.

## Template for s100

**Consent given:** Yes or No. If yes, explain where you recorded express consent. For example, 'Yes, express consent given over the phone and recorded as an interaction, interaction number: xxxx.' If the person making the request is not the participant or affected person, you must record express consent here.

**Subject of review request:** Describe what the participant or affected person disagrees with and wants the NDIA to review. Be specific by describing supports or points that are subject to review. For example:

'At my planning meeting I was told my request for funding for in home support would be included but it isn't'

'I do not want my funding to be Agency managed'.

**Considerations:** What information does the affected person want the NDIA to consider? For example, additional evidence or supporting information, correspondence/interactions that form part of the request for the review.

**Risks:** Describe any risks. For example, risk of homelessness, relinquishment, care arrangements breaking down, media involvement, ministerial involvement.

**Additional documentation provided:** Yes or No. If yes, list documentation.

- **Channel:** select how the request was received from the drop down list.
- **Reason for Request:** select from the drop down list. The options in the list will be different depending on which **Reviewable Decision** you have selected.
- **Available Decision:** select the look-up tool (two overlapping boxes) and for:
  - **Access Not Met**, select the most recent access decision
  - **Access Revoked**, select the most recent access decision
  - **Statement of Supports**, select the current plan
  - **Not to Review a Plan**, select the current plan.



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- **Expected Outcome:** briefly state what the person would like to happen. This helps the internal review officer assess the request in a timely manner. Be specific by describing any supports they want funded or their preferred outcome. For example, to have level 2 transport funding included or increase in Support Coordination to 2 hours per week.
3. Select **Add** (plus sign) to add any attachments. Include review request forms, emails, new supporting evidence, documents and materials provided with the review request.

4. Select **Submit**.
5. Success message displays. Select **OK**.
6. Complete the **Interaction** using [Interaction Template – Internal Review – s100 – Internal review requested](#)
7. Go to [3.5 Next Steps](#).

### 3.4.1 Record a request for internal review of a decision to vary or not vary a plan (s47A)

A request for an internal review of a plan variation (s47A) request can be made for either:

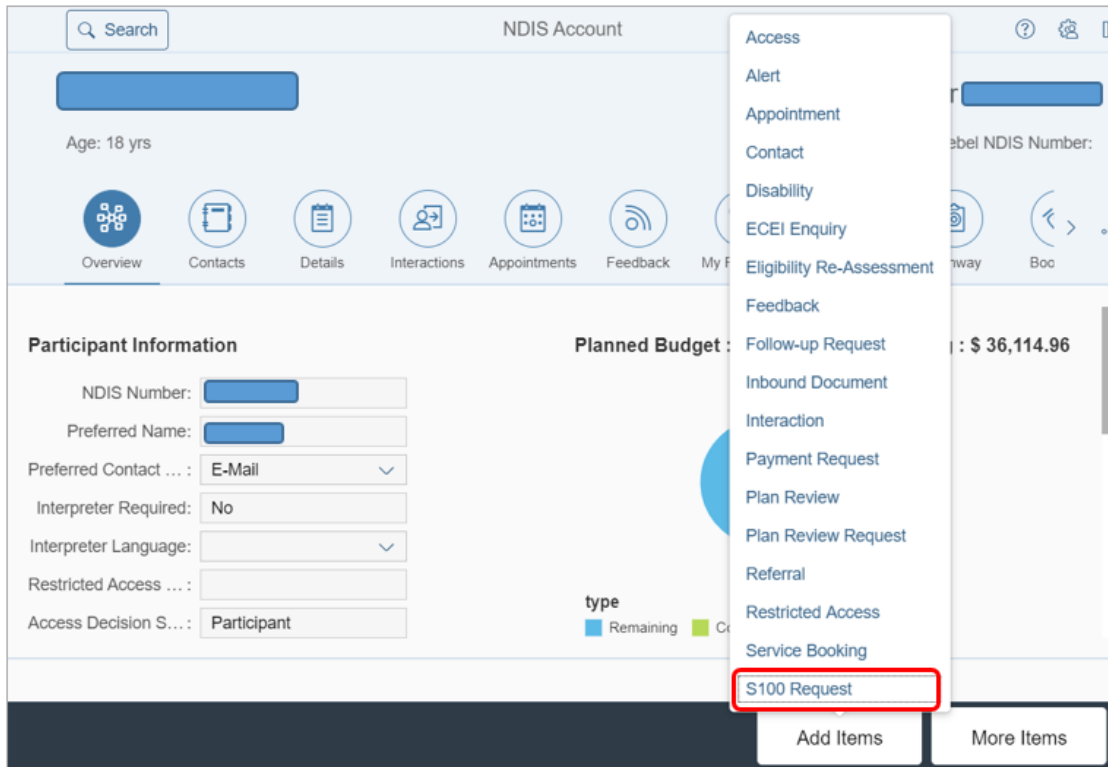
- a decision not to vary a plan. The s100 form will be linked to the rejection of the s47A request not to vary a plan.
- a decision to vary a plan but the participant is still not satisfied. The s100 form will be linked to the approved statement of supports decision.



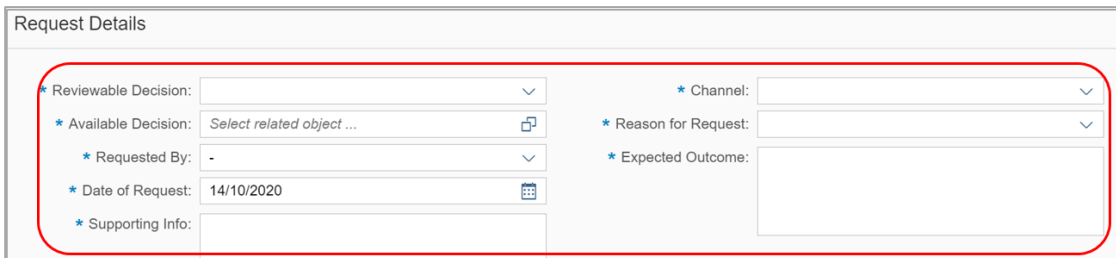
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1. From the **NDIS Account** screen, select **Add items** and then select **s100 Request**.



2. The **Create s100 Request** screen displays.



Complete the following fields:

- At the **Reviewable Decision**: select from the drop-down list:
- **Statement of Supports**: for s47A decision where the plan has been **varied** and the participant is not happy with the variation included in the plan and has requested an s100 review of the varied plan.
- **Not to Review a Plan**: for s47A decision **not to vary** the plan and the participant has requested an s100 review.



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Request Details

* Reviewable Decision:	<div style="border: 1px solid #ccc; padding: 2px;"> <span style="float: right;">▼</span> </div>
* Available Decision:	<div style="border: 1px solid #ccc; padding: 2px;"> </div>
* Requested By:	Access Not Met
* Date of Request:	Access Revoked
* Supporting Info:	<div style="border: 1px solid #ccc; padding: 2px;">                 Statement of Supports                  Not to review a Plan             </div>

- **Requested By:** select the person requesting the internal review from the drop-down list. People with an active contact record associated with the participant or affected person will appear in this list. The person requesting the review may work for an organisation listed in the contact list but don't have their own active contact record. If this happens:
  - go to the **My Organisations** tile
  - check if they are recorded as a primary contact for their organisation
  - if not, you will need to establish express consent and record it in **Supporting Information**.
- **Date of Request:** add the date the NDIA received the request. This may be different from the date you enter the request.
- **Supporting Information:** copy and paste the template below into the field, update the details and remove the examples. You must complete all the fields in the template. This is so the internal review officer can assess the request in a timely manner.

### Template for s100 form for s47A

**Consent given:** Yes or No. If yes, explain where you recorded express consent. For example, 'yes, express consent given over the phone and recorded as an interaction, interaction number: XXX.' If the person making the request is not the participant or affected person, you must record express consent here.

**Subject of review request:** Describe what the participant or affected person disagrees with and wants us to review in terms of our s47A decision. Where our decision was to



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vary the plan be specific by describing supports or points that are subject for the variation request for the review.

For example: s47A internal review requested in relation to:

- changes to correct a minor or technical error in the plan that may relate to wording or funding
- replacement assistive technology (AT) equipment that has broken and needs replacing quickly and was not funded
- changes to living or care arrangements or other circumstances that presents as an urgent risk to the participant and they require crisis or emergency supports
- changes to goals and aspirations that require different supports
- changes to the reassessment date of the plan
- requests that are a minor variation that results in an increase to the funding, this may be for a single support that can be considered in isolation of the rest of the plan.

**Considerations:** What information does the affected person want us to consider? For example, additional evidence or supporting information, correspondence/ interactions that form part of the request for the review.

**Risks:** Describe any risks. For example, risk of homelessness, relinquishment, care arrangements breaking down, media involvement, and ministerial involvement.

**Additional documentation provided:** Yes or No. If yes, list documentation.

- **Channel:** select how the request was received from the drop-down list.
- **Reason for Request:** select from the drop-down list. The options in the list will be different depending on which **Reviewable Decision** you have selected.
- **Expected Outcome:** briefly state what the person would like to happen. This helps the internal review officer assess the request in a timely manner. Be specific by describing any supports they want funded or their preferred outcome. For example, to have level 2 transport funding included or increase in Support Coordination to 2 hours per week.



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3. Select **Add** (plus sign) to add any attachments. Include review request forms, emails, new supporting evidence, documents and materials provided with the review request.

4. Select **Submit**.
5. The success message displays, select **OK**.
6. Complete the **Interaction** using [Interaction Template – Internal Review – s100 – Internal review requested](#).
7. Go to [3.5 Next Steps](#).

### 3.5 Next steps

1. You must seek guidance from your Team Leader if you identify any risks. Including whether you should add a priority request for internal review. To add the priority request, use [Standard Operating Procedure – Add a priority request for an internal review](#).
2. The System will send the request for internal review to the internal review team for assessment. They will:
  - action the internal review. This may include contacting the participant or authorised representative to assess the request
  - record the outcome of the internal review in the System. You can expect this to be done within 60 days.

## 4. Related procedures or resources

- [Section 99 of the NDIS Act 2013](#)
- [Standard Operating Procedure – Check third party consent or authority](#)
- [Standard Operating Procedure – Record third party consent](#)
- [Standard Operating Procedure – Withdraw or change third party consent](#)
- [Interaction Template – Internal Review](#)
- [Standard Operating Procedure – Add a priority request for an internal review](#)



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## 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	CW0032	Class 2 approval. Our Guidelines transition. Content transferred from SOP – Review of decisions – procedure 6.2 and 6.7  The following guidance has been added: <ul style="list-style-type: none"> <li>- pre-requisite to refer to the NDIA’s Participant Critical Incident Framework if there is an imminent risk of harm to the participant or someone else</li> <li>- guidance to refer to the NDIS Quality and Safeguards Commission for complaints related to Providers.</li> </ul>	APPROVED	2021-03-04
2.0	CW0032	Class 2 approved  Pre-requisites, section 3.2 and section 3.3 updated to clarify that the consent you need to confirm, obtain and record is express consent.	APPROVED	2021-04-14
3.0	CW0032	Added a note to refer to the IRT page and the Choose the right review tool at the start of the SOP.	APPROVED	2021-05-19
4.0	BL0012	Class 1 Approved	APPROVED	2021-08-10



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Version	Amended by	Brief Description of Change	Status	Date
		Minor changes: Changed 'What's changed' date from April to August. Highlighted 2 templates.		
5.0	CW0032	Class 1 Approved  Minor changes: reassign Internal review via the Feedback form to CR PED NAT/VIC IRT Planning Incoming, rather than Scott Graham. This includes a new screenshot.  Minor language and protective marking update.	APPROVED	2021-08-25
6.0	CW0032 BC0038 MFN896 LS0042 AGV957	Class 2 Approved  New sections added on how to check for an active internal review request and what to do if there is an active internal review request.  New section added on how to record and process a request for internal review of a decision to vary or not to vary a plan (s47A)  Language updated to align with legislation amendments, including plan review to plan reassessment or plan variation.	APPROVED	2022-11-09





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The contents of this document are **OFFICIAL**.

## Request an internal review of an eligibility decision (s100)

This Standard Operating Procedure (SOP) will help you to process a request for an internal review of decision when:

- an applicant is not eligible for the NDIS (**Access not met**), or
- a participant is no longer eligible for the NDIS (**revocation**).

### 1. Recent updates

Date	What's changed
March 2022	<ul style="list-style-type: none"> <li>• New SOP format to align with Our Guidelines refresh. SOPs include process information only. Use Our Guidelines to help you make decisions and refer to <a href="#">Related procedures or resources</a>.</li> <li>• Guidance updated to align with <a href="#">Our Guideline – Applying to the NDIS</a>.</li> <li>• Updated work instructions so an applicant has 100 days, from the decision date, to ask for an internal review of their eligibility decision. This aligns with legislation and allows the applicant time to receive notification of the decision.</li> <li>• New instructions to:                         <ul style="list-style-type: none"> <li>• save evidence as a PDF document</li> <li>• use a standard PDF naming convention: Access – &lt;Document name&gt; &lt;Document date&gt; – &lt;First name&gt; &lt;Last name&gt;, DOB &lt;DD/MM/YYYY&gt;.</li> </ul> </li> </ul>

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## 2. Checklist

Topic	Checklist
Pre-requisites	You have: <ul style="list-style-type: none"> <li><input type="checkbox"/> read and understood <a href="#">Our Guideline – Applying to the NDIS</a>.</li> <li><input type="checkbox"/> received a request for an internal review after an Access not met or revocation decision.</li> <li><input type="checkbox"/> followed instructions in <a href="#">SOP – Complete NDIS application tasks</a>.</li> </ul>
Actions	<ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.1 Check authority to ask for a review</a></li> <li><input type="checkbox"/> <a href="#">3.2 Attach evidence (if required)</a></li> <li><input type="checkbox"/> <a href="#">3.3 Consider when the decision was made</a></li> <li><input type="checkbox"/> <a href="#">3.4 Offer new application</a></li> <li><input type="checkbox"/> <a href="#">3.5 Create s100 review request</a></li> </ul>

## 3. Procedure

**Note:** Both ‘Access Not Met’ and ‘Revocation’ (ER) decisions are reviewable decisions. If a person does not agree with the decision they can ask, over the phone or in writing, for the decision to be reviewed. We call this an internal review of a decision.

**Note:** We can only accept review requests if the decision was made **less than 100 days ago**. The legislation states a request for an internal review must be received within 3 months from receiving notice of the decision. 100 days in an internal processing time only. This allows time for the applicant to receive the letter.

### 3.1 Check authority to ask for a review

#### 3.1.1 If the applicant asks for a review

1. Go to [Step 3.2: Attach evidence \(if required\)](#).

#### 3.1.2 If someone else asks for a review

##### 3.1.2.1 Check consent details

1. In **NDIS Account** screen: Select **Details**.
2. Select **Consent**.
3. View **Details of Authorised Representative** field to determine:
  - If the **person’s name** is listed as a legally authorised or an authorised representative



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- The nature of the **relationship**
- The **scope** of the legal authority to act or the consent to act as an authorised representative
- How the **evidence** of legal authority or consent to act was provided.

Overview Contacts **Details** Interactions Appointments Feedback My Requests Payment En... Pathway

Consent

Consent to use:

CRN:

Collect personal information from an authorised representative:  Yes

\* Details of Authorised Representative:

Name: D

Relationship: Spouse

Consent: Prospective participant provided express consent for access purposes

How was consent provided: Written consent attached to record on 23/07/2019

### 3.1.2.2 If **listed** as an authorised representative

1. Go to [Step 3.2: Attach evidence \(if required\)](#).

### 3.1.2.3 If **not** listed as an authorised representative

1. Refer to [SOP – Identify authorised representatives at Access](#) to determine if the person is an authorised representative

## 3.2 Attach evidence (if required)

**Note:** Complete this step if the applicant provides additional evidence with the request.

Save each document as a PDF and update the file name using the following convention:

**Access – <Document name> <Document date> – <First name> <Last name>, DOB <DD.MM.YYYY>**

- For example: Access – ARF 04.08.2021 – John Smith DOB 25.08.1988.

### 3.2.1 Attach evidence to inbound documents

1. In the **NDIS Account** screen: Select **Documents**.
2. Select **Add Items** and then select **Inbound Documents**.
3. In **Description**: Access – <Document/Report name> <Date of document>.



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4. In **Site Location**: Select **National Access Team**.
5. In **Status**: Select **Completed**.
6. In **Category 1**: Select **NDIA Service**.
7. In **Category 2**: Select **Access Request**.

Type: Inbound Correspondence

Description: Supporting Evidence Form

Document Type: ARF Supporting Evidence

Site Location: National Access Team

Priority: High

Status: Completed

Reason:

Category 1: NDIA Service

Category 2: Access Request

8. In **Re: Business Process**: Do not select any option (leave blank) .
9. In **Employee Responsible**: Enter your details.
10. In **Note**: Record the specific document attached, and how and when it was received.
11. Select **Upload File**.

\* Employee Responsible: P [redacted]

Team Responsible:

Assigned Queue:

Assigned Queue Partner:

Note: Received via NAT Inbox on 2nd of August 2019.

Attachments

Attachments Prepare one or more files for upload Upload File

Attachments (0)

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12. In the **File Explorer** window: Open the relevant document.
13. Select **Save**.

### 3.3 Consider when the decision was made

1. In the **NDIS Account** screen: Select **Pathway**.
2. Select the relevant application.
3. Select **Access**.
4. Select **Determine the Access Decision** task.

#### 3.3.1 If internal review request relates to Access Not Met decision

1. Review **Approved By** date.

Proposed Access Decision:  **Proposed**

Override Access Decision: YES

The Override Decision is:  Access Met  
 **Access Not Met**

\* Reason Code:

**Approved By:** Approved by M [redacted] on 19.09.2019 14:55

#### 3.3.2 If internal review request relates to Revocation decision

1. Select > next to **Revoke or Cease the Participant Status**.
2. Review **Effective Date**.

**Revoke or Cease the Participant Status**

Revoke or Cease:  Access Not Met  
 Ceased

\* Reason Code: Early Intervention and Disab...

\* **Effective Date:** 13.01.2020

Revoked / Ceased By: Revoked by A [redacted] on 13.01.2020 11:00

#### 3.3.3 If the decision was made less than 100 days ago



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1. Go to [Step 3.5: Create s100 review request](#).

## 3.3.4 If more than 100 days since decision

1. Go to [Step 3.4: Offer new application](#).

## 3.4 Offer new application

1. Refer to [SOP – Send SMS using Whispir Messenger](#) to send 'Contact attempt SMS template' to advise you will be calling.

**Note:** Only send this SMS before your **first** attempt to call the person.

Do not contact the person by SMS if they told the Agency that they do not consent to this form of communication.

2. Make **3** telephone contact attempts (a maximum of 2 calls per day at different times of day) to the person or their authorised representative. If you reach voicemail and the person identifies themselves, leave a brief message requesting they contact the NDIA on 1800 800 110.
3. Use this script to guide your conversation with the person:

- Explain that you are calling about the request for an internal review of our decision that **<Applicant's>** is not eligible for the NDIS.
- Our records show this decision was finalised on **<insert date>**.
- As it has been more than 3 months since we notified them of the decision, they are unable to request an internal review of this decision. However, they have the option to make a new access request.
- Provide details of their Local Area Coordinators (LACs) or Early Childhood Partners (ECPs), they may be available in their area to connect the person with supports in their community. They do not need to be an NDIS participant to use this service. Follow the steps below to find the person's closest LAC or ECP:
  - Go to the [NDIS Website](#)
  - Hover over **Contact** and then select **Office Locations**
  - Enter the applicant's suburb or postcode
  - Select **Search**
  - Provide details of the LAC or ECP

### 3.4.1 If a person requests new application



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1. Complete a Verbal Access Request (VAR) using the instructions in [SOP – Complete a Verbal Access Request \(VAR\)](#).
2. If new evidence was provided, refer to [SOP – Attach evidence – Validate access .request](#) to validate the application and allcoate for decision.

### 3.4.2 If all 3 contact attempts are unsuccessful

1. Refer to [SOP – Send SMS using Whispir Messenger](#) to send ‘Unsuccessful contact attempt’ SMS to advise you tried to call.

**Note:** Only send this SMS after you make all required call attempts.

2. Do not contact the person by SMS if they told the Agency that they do not consent to this form of communication.

**End of process – no further steps to be completed.**

## 3.5 Create s100 review request

1. Go to the **NDIS Account** screen.
2. Select **Add Items** and then select **S100 Request**.
3. In **Reviewable Decision**: Select **Access Not Met** or **Access Revoked**.

A screenshot of a web form. On the left, there are labels for 'Reviewable Decision', 'Available Decision', 'Requested By', 'Date of Request', and 'Supporting Info'. The 'Reviewable Decision' dropdown menu is open, showing a list of options: 'Access Not Met', 'Access Revoked', 'Statement of Supports', and 'Not to review a Plan'. A red box highlights the 'Access Not Met' and 'Access Revoked' options.

4. In **Available Decision**: Select **Access Not Met** or **Access Revoked**.

A screenshot of a web form showing the 'Available Decision' field. The field contains the text '1020949 Access Not Met'. A red box highlights this field.

**Note:** The **Available Decision** field will be empty if the request is lodged more than 100 days after receiving written notice of an Access Not Met/Access Revoked Decision. In this case, the decision is no longer eligible for an internal review.

5. In **Requested By**: Select the person requesting the review.



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* Requested By:	-
* Date of Request:	-
* Supporting Info:	<div style="border: 1px solid red; padding: 2px;">Participant - A</div> <div style="padding: 2px;">Son - A</div> <div style="padding: 2px;">Father - D</div> <div style="padding: 2px;">Carer - S</div> <div style="padding: 2px;">Daughter - B</div>

- In the **Date of Request**: Enter the date the internal review was requested.
- In **Supporting Info**: Use the template below to record any further evidence or additional information that supports the request.

s100 Internal Review request submitted on <Date>  
**Submitted by:** <Person> (<Applicant / Authorised Representative>)  
**Review Type:** <Access Not Met / Access Revoked>  
**Risks:** Describe any risks that may be present as outlined in the [Practice Guide – Review of Decisions](#).  
**Additional Documentation Provided:** **Choose an item.**

- In **Channel**: Select the relevant channel (Phone/Contact Centre, Inbound Correspondence, or In Person) .
- In **Reason for Request**: Select **Access Not Met** or **Access Revoked**.
- In **Expected Outcome**: Enter 'Access Met Decision' or 'Eligibility to continue'.

* Channel:	Phone/Contact Centre
* Reason for Request:	Access not met
* Expected Outcome:	Access Met Decision

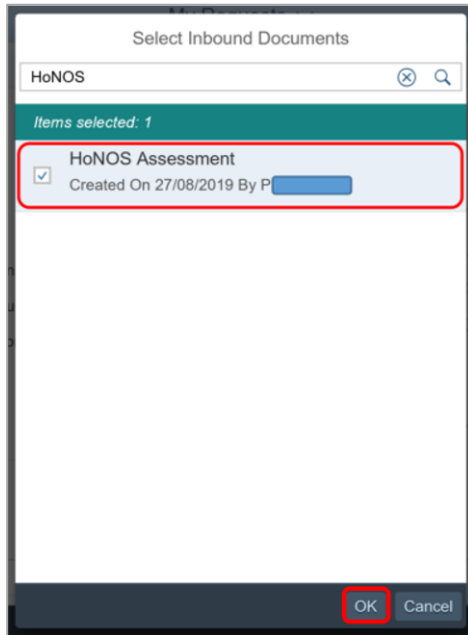
- In **Attachments** (if any): Select the **Add (+)** next to Inbound Documents.
- Select the evidence uploaded to **Inbound Documents** (if applicable).





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13. Select **Submit**.

### 3.5.1 Add Interaction: S100 Internal Review Request

1. In the **NDIS Account** screen: Select **Interactions**.
2. Select **Add Items** and then select **Add Interaction**.
3. In **Category 1**: Select **Pathway**.
4. In **Category 2**: Select **Internal Review**.
5. In **Category 3**: Select **Request review of decision under s100 NDIS Act**.
6. In **Channel**: Select **Internal Notes**.
7. In **Status**: Select **Completed**.
8. In **Notes**:

s100 form submitted on **Click or tap to enter a date**.

Submitted by: **<Person> (<Applicant / Authorised Representative>)**

Review Type: **<Access Not Met / Access Revoked>**

Refer to s100 Review Request in Open Activities for information.

Record any future updates to the s100 Review Request.



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* Category 1:	Pathway
* Category 2:	Internal Review
* Category 3:	Request review of decision under s.100 NDIS Act
* Channel:	Internal Notes
* Status:	Completed
Link Transaction:	<input type="radio"/> NO
Notes:	S100 form submitted on 17.07.202 Submitted by: A [redacted] (Person) Review Type: Access Not Met Refer to s100 Review Request in Open Activities for information. Record any future updates to the s100 Review Request.

9. Select **Submit**.

End of process – request will be assigned to the next available Internal Review Officer.

## 4. Related procedures or resources

- [Our Guideline – Applying to the NDIS](#)
- [SOP – Send SMS using Whispir messenger](#)
- [SOP – Identify authorised representatives at Access](#)
- [SOP – Complete a Verbal Access Request \(VAR\)](#)

## 5. Feedback

If you would like to provide feedback about this guidance material, please complete our [Feedback form](#).

## 6. Version control



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Version	Amended by	Brief Description of Change	Status	Date
1.0	JC0075	Class 3: New SOP which explains how to respond to enquiries about requesting an internal review of an eligibility decision PED GM review and approval.	APPROVED	2021-02-10
1.0	SM0075	Class 3: ND GM review and approval.	APPROVED	2021-02-11
2.0	CH0026 CW0032	Class 2: NARB BM approval Class 2: SGPB BM approval SMS instructions to use Whispir Messenger.	APPROVED	2022-02-09
3.0	CH0026 CW0032	Class 2: NARB BM approval Class 2: SGPB BM approval Updates to align with new Our Guideline – Applying to the NDIS. Change from 3 months to 100 days from decision for applicant to request an internal review. New instructions to: <ul style="list-style-type: none"> <li>• save evidence as a PDF document</li> <li>• use the following standard PDF naming convention: Access – <b>&lt;Document name&gt;</b> <b>&lt;Document date&gt;</b> – <b>&lt;First name&gt;</b> <b>&lt;Last name&gt;</b>, DOB <b>&lt;DD/MM/YYYY&gt;</b>.</li> </ul>	APPROVED	2022-03-27

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For internal use only

# View completed and withdrawn requests for internal review recorded in the s100 form

The content of this document is OFFICIAL. This Standard Operating Procedure will help you view completed and withdrawn requests for internal review, recorded in the s100 form.

## 1. Recent updates

Date	What's changed
August 2021	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 <a href="#">Related procedures or resources</a> .

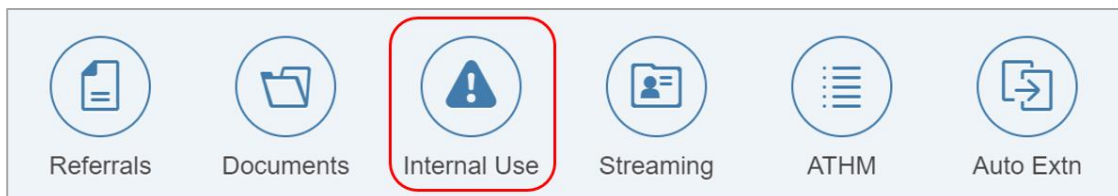
## 2. Checklist

Topic	Checklist
Pre-requisites	<input type="checkbox"/> You have read and understood <a href="#">Our Guideline - Reviewing our decisions (external)</a>
Actions	<input type="checkbox"/> <a href="#">3.1 View completed and withdrawn requests (s100 form)</a>

## 3. Procedure

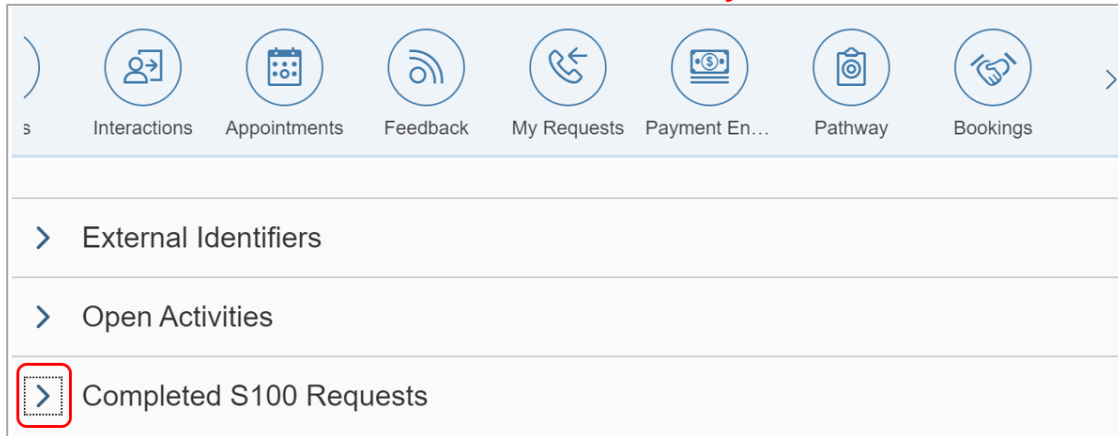
### 3.1 View completed and withdrawn requests (s100 form)

- From the **NDIS Account** screen, select **Internal Use**.



- Select **Completed s100 Requests**.

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- Any requests that have been completed or withdrawn will display. Select the hyperlink under **Request Id** for the request you want to view.

Request ID	Available Decision	Requested By	Request Date	Request Outcome	Status
<a href="#">8000390588</a>	0001036501 05.11.2020- 05.11.2021 Approved		05.11.2020		Withdrawn by Affected Party

- View the request on the **Display s100 Request** screen.
  - Status:**
    - **withdrawn by affected party**
    - **completed**
  - Withdraw Reason** – this displays for withdrawn requests:
    - **request recorded in error.** For example, a staff member recorded an internal review when they should have recorded another type of request
    - **requested by participant/affected party**
    - **withdrawal agreed via early resolution**
  - Outcome** - for completed requests this will display:
    - **Confirm decision**
    - **Vary decision**
    - **Set-aside decision**

You can find out what these decisions mean in [Our Guideline - Reviewing our decisions \(external\)](#).

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- **History log:**
  - for completed requests this will show the reasons for the outcome. You can also view the decision letter in **Attachments**. If the decision letter is not attached, you can view it in **Inbound documents**.
  - for withdrawn requests this will show the reason the request was withdrawn.

Request Details

Request #: 8000390588  
Reviewable Decision: Statement of Supports  
Available Decision: 0001036501 05.11.2020-05.11.2021 Approved  
Requested By: [Redacted]  
Date of Request: 05/11/2020  
History Log:

Date	Time	Action
05.11.2020	11:07:16	[Redacted]
Participant withdrew request.		
05.11.2020	11:05:34	[Redacted]
Participant has requested s 100. Insufficient support to sustain informal care.		

Status: Withdrawn by Affected Party  
Channel: In Person  
Reason for Request: Support/s value insufficient  
Date of Withdraw: 05/11/2020  
Withdrawn By: [Redacted]  
Withdraw Reason: Requested by participant/affected party  
Withdraw Channel: In Person  
Expected Outcome: 05.11.2020 11:05:34 [Redacted]  
Increase support coordination to 2 hours per week.

5. Select **Back** to return to the **NDIS Account** screen.



## 4. Related procedures or resources

- [Section 99 of the NDIS Act 2013](#)
- [Standard Operating Procedure – Internal Review – Withdraw a request for internal review](#)
- [Standard Operating Procedure – Internal Review – View or edit an open request for internal review](#)

## 5. Feedback

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

## 6. Version control



# Standard Operating Procedure

FOI 23/24 1198

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Version	Amended by	Brief Description of Change	Status	Date
1.0	CW0032	Class 2 approval Our Guidelines transition. Content transferred from SOP – Review of decisions – procedure 6.6	APPROVED	2021-03-04
2.0	BL0012	Class 1 approval Minor change: Changed 'What's changed' date from April to August.	APPROVED	2021-08-10



# Standard Operating Procedure

For internal use only

## View or edit an open request for internal review

The contents of this document are OFFICIAL.

This Standard Operating Procedure (SOP) will help you view or edit an open request for an internal review of a reviewable decision (internal review). We know this internally as an s100 review.

### 1. Recent updates

Date	What's changed
September 2021	<p>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 <a href="#">Related procedures or resources</a>.</p> <p>The following additional guidance has been included:</p> <ul style="list-style-type: none"> <li>steps to take if you can't find the s100 or Feedback form in the System</li> </ul>

### 2. Checklist

Topic	Checklist
<b>Pre-requisites</b>	<p>You have:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> read and understood <a href="#">Our Guideline - Reviewing our decisions (external)</a></li> <li><input type="checkbox"/> received a follow-up enquiry</li> <li><input type="checkbox"/> uploaded any new evidence or supporting information to Inbound documents.</li> </ul>
<b>Actions</b>	<p>Either:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.1 View or edit an open request for internal review (s100 form)</a></li> <li><input type="checkbox"/> <a href="#">3.2 View or edit an open request for internal review (Feedback form)</a></li> </ul> <p>Then:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.3 Steps to take if you can't find the S100 or Feedback form in the System (optional)</a></li> </ul>





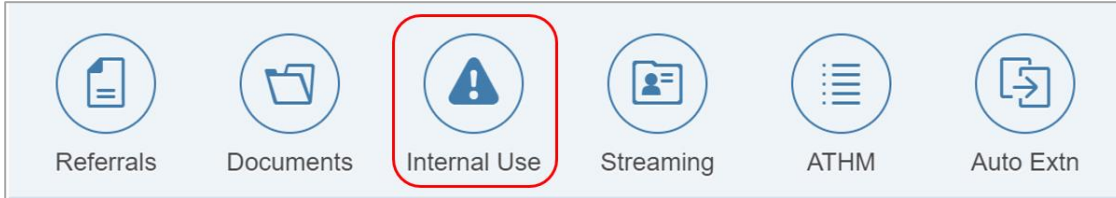
# Standard Operating Procedure

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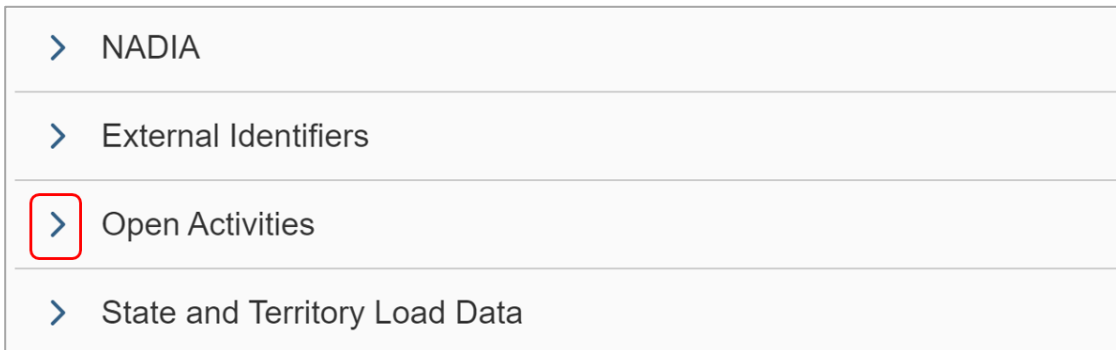
## 3. Procedure

### 3.1 View or edit an open request for internal review (s100 form)

1. From the **NDIS Account** screen, select **Internal Use**.



2. Select **Open Activities**.



3. Check **Assigned to Employee** to determine whether the internal review has been allocated to an Internal Review officer.

If the **S100 Review Request** has been allocated to Diana Borzini, the review is waiting to be allocated to an Internal Review officer. This inbox is for Internal Review Team use only.

Open Activities				
Transaction Id	Activity Type	Assigned To Employee	Assigned To Team	Due Date
716353	BANK ACCOUNT Approval		SOUTH WEST NSW	09.10.2019
737933	Interaction Record	[Redacted]		11.11.2019
8000365074	S100 Review Request	[Redacted]		17.01.2020



# Standard Operating Procedure

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4. Select the **Transaction Id** next to the **S100 Review Request**.

Open Activities				
Transaction Id	Activity Type	Assigned To Employee	Assigned To Team	Due Date
1039899	Review Application	<input type="text"/>		
939093	Inbound Correspondence	<input type="text"/>		29.10.2020
8000390199	Feedback New	<input type="text"/>		02.11.2020
8000390202	S100 Review Request	<input type="text"/>		18.12.2020

5. The **Display S100 Request** screen displays. Select **Edit**.

Display S100 Request

NDIS Number

Required fields are marked with an asterisk (\*).

Request Details

Request #: 8000390202  
Reviewable Decision: Statement of Supports  
Available Decision: 0001037881 08.09.2020-07.09.2023 Approved  
Requested By:   
Date of Request: 19/10/2020

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

Request Details

Request #:

Reviewable Decision:

Available Decision:

Requested By:

\* Date of Request:

\* Supporting Info:



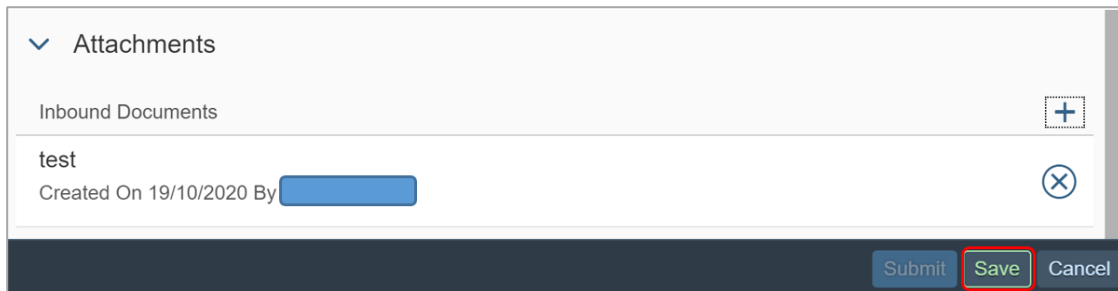
# Standard Operating Procedure

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7. Select **Add** to add **Attachments**, if required.



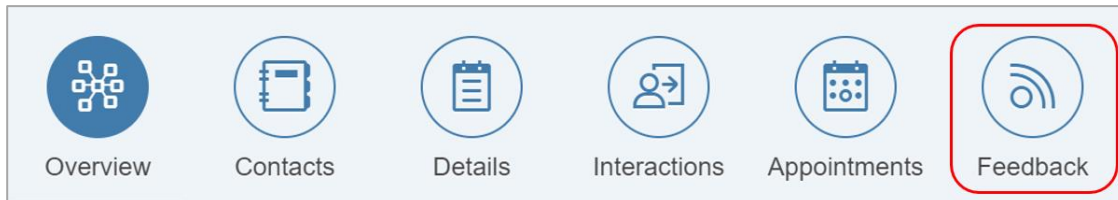
8. Select **Save**.



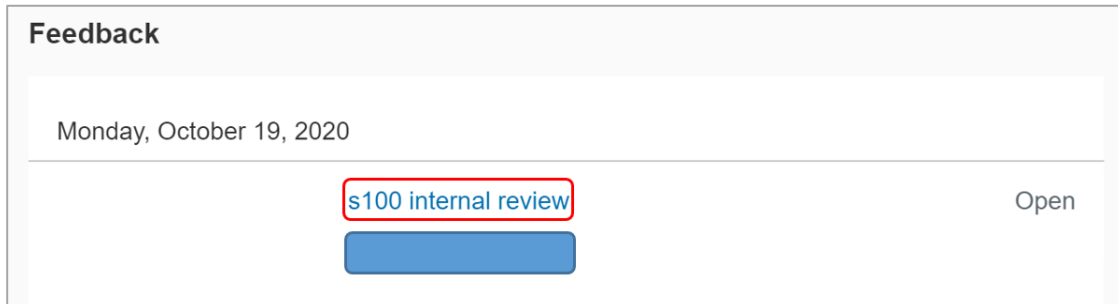
9. A success message displays. Select **OK**.
10. Complete an interaction using [Interaction Template - s100 - Change or update a request](#).

## 3.2 View or edit an open request for internal review (Feedback form)

1. From the **NDIS Account** screen, select **Feedback**.



2. Select open **s100 Internal Review**.





## Standard Operating Procedure

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3. **Feedback Details** screen displays. Select the **Edit**.

Feedback Information

Required fields are marked with an asterisk (\*).

\* Description: s100 internal review

\* When was the Feedback received? : 19.10.2020

\* Feedback Type: Appeal:Internal Review

Edit Add Follow Up Re-assign

4. Update the following fields, as required:

- **Description:** S100 Internal review
- **When was the Feedback received:** the date the NDIA received the new information
- **Feedback Type:** Appeal: Internal Review
- **Feedback details:** add you user id and record any additional information and/or attachments.

Select **Save**.

Feedback Information

Required fields are marked with an asterisk (\*).

\* Description: S100 Internal review

\* When was the Feedback received?: 12.07.2019

\* Feedback Type: Appeal:Internal Review

\* Feedback details: [User Id] - User Id  
Previous information below

Save Cancel

5. The success message displays. Select **OK**.
6. Add an Interaction through **Feedback** using [Interaction Template - s100 - Change or update a request](#).



## Standard Operating Procedure

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### 3.3 Steps to take if you can't find the S100 or Feedback form in the System

1. Sometimes you will receive an enquiry about an internal review and can't find the request in the System. When this happens, and before you record a new request for internal review, check:
  - if it has been completed or withdrawn. Use the [Standard Operating Procedure – Internal Review – View completed and withdrawn requests recorded in the s100 form](#) to do this
  - the initial request has come from an authorised person
  - if the enquiry relates to an internal review or something else.

## 4. Related procedures or resources

- [Section 99 of the NDIS Act 2013](#)
- [Interaction Templates - Internal Reviews](#)
- [Standard Operating Procedure – Internal Review – Record a request for internal review](#)
- [Standard Operating Procedure – Internal Review – View completed and withdrawn requests recorded in the s100 form](#)

## 5. Feedback

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



# Standard Operating Procedure

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## 6. Version control

Version	Amended by	Brief Description of Change	Status	Date
1.0	CW0032	Class 2 approval OG transition. Content transferred from SOP – Review of decisions – procedure 6.8 & 6.4 The following additional guidance has been included: steps to take if you can't find the s100 or Feedback form in the System	APPROVED	2021-03-04
2.0	BL0012	Class 1 approval Minor changes: Changed 'What's changed' date from March to August.	APPROVED	2021-08-10
3.0	CW0032	Class 1 approval Minor changes: Sam Clark's inbox has been removed as an option when considering if an internal review is awaiting allocation.	APPROVED	2021-08-29

**Standard Operating Procedure**  
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# Withdraw a request for internal review

The contents of this document are **OFFICIAL**.

This Standard Operating Procedure will help you withdraw a request for an internal review of a reviewable decision (internal review). This is also internally known as an s100 review.

## 1. Recent updates

Date	What's changed
August 2021	<p>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 <a href="#">Related procedures or resources</a>.</p> <p>Step to assign open interaction to withdraw open s100, updated to create a closed interaction.</p> <p>Pre-requisite added to check if the internal review is open and not assigned to a team member for action.</p>

## 2. Checklist

Topic	Checklist
<b>Pre-requisites</b>	<p>You have:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> read and understood <a href="#">Our Guideline - Reviewing our decisions (external)</a>; and</li> <li><input type="checkbox"/> received a request from the participant/affected person, or their authorised representative to withdraw the request; and</li> <li><input type="checkbox"/> checked the request is open and not assigned to a team member for action. Refer to <a href="#">Standard Operating Procedure - View or edit an open request for internal review</a>; and</li> <li><input type="checkbox"/> uploaded any new documents as Inbound documents, such as withdrawal request in writing, emails, supporting evidence; and</li> <li><input type="checkbox"/> checked proof of identity (POI) with the participant/affected person or their authorised representative; or</li> <li><input type="checkbox"/> you need to withdraw the request because of an error.</li> </ul>

## Standard Operating Procedure

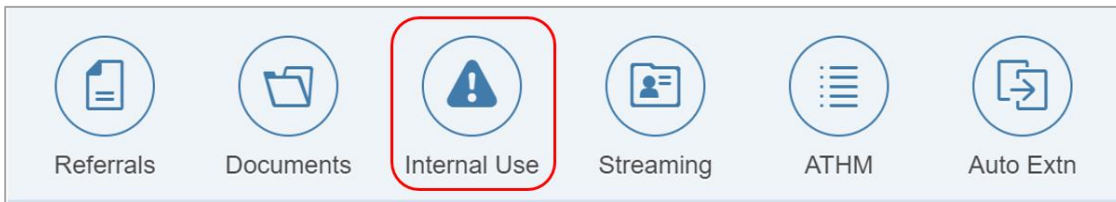
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Topic	Checklist
<b>Actions</b>	Either: <ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.1 Withdraw a request for internal review (s100 form)</a></li> <li><input type="checkbox"/> <a href="#">3.2 Withdraw a request for internal review (Feedback form)</a></li> </ul>

### 3. Procedure

#### 3.1 Withdraw a request for internal review (s100 form)

- From the **NDIS Account** screen, select **Internal Use**.



- Select **Open Activities**.



- Select the **Transaction Id** next to the **S100 Review Request**.

Open Activities					
Transaction Id	Activity Type	Assigned To Employee	Assigned To Team	Due Date	
939093	Inbound Correspondence			29.10.2020	<a href="#">Reassign</a>
8000390...	Feedback New			02.11.2020	<a href="#">Reassign</a>
<span style="border: 1px solid red; padding: 2px;">8000390...</span>	<span style="border: 1px solid red; padding: 2px;">S100 Review Request</span>			18.12.2020	<a href="#">Reassign</a>

- The **Display S100 Request** screen displays. Select **Withdraw**.



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Edit Withdraw Back

5. The **Withdraw Request** window opens. Complete the following fields:
- **Requested by:** select from the drop down list
  - **Withdraw Reason:** select from the drop down list
  - **Channel:** select from the drop down list
  - **Supporting info:** copy and paste the **Template** below into this field and update the information.

### Template

I have withdrawn the request on <date> as requested by <participant/affected person> by <phone call/written correspondence>.

Contact made with: <name of participant/authorised representative/affected person, include proof of identity check and date>.

I confirm that I spoke with <name> on <date>. I advised that <person> submitted a request for review on <date>, for the purpose of <reason>.

<Participant/authorised representative/affected person> confirmed that the review is not required and they do not wish to proceed. No further action is to be taken on this request. I advised they cannot seek an external review through the Administrative Appeals Tribunal on this matter as no decision has been made on their internal review request.

Withdrawn by: <participant/authorised representative/affected person/staff member's name if being withdrawn due to error> <relationship – if staff member state 'staff member'>.

Reason for withdrawal: <Created in error/Initiated by affected person/participant or authorised representative>.

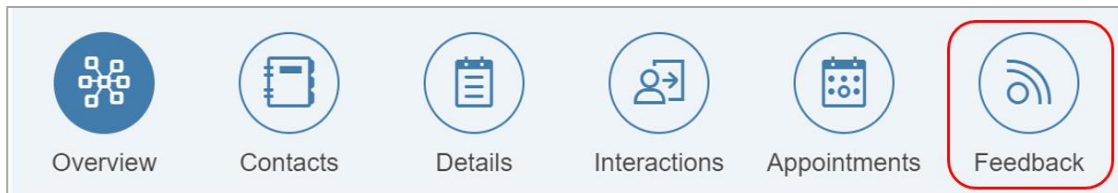
## Standard Operating Procedure

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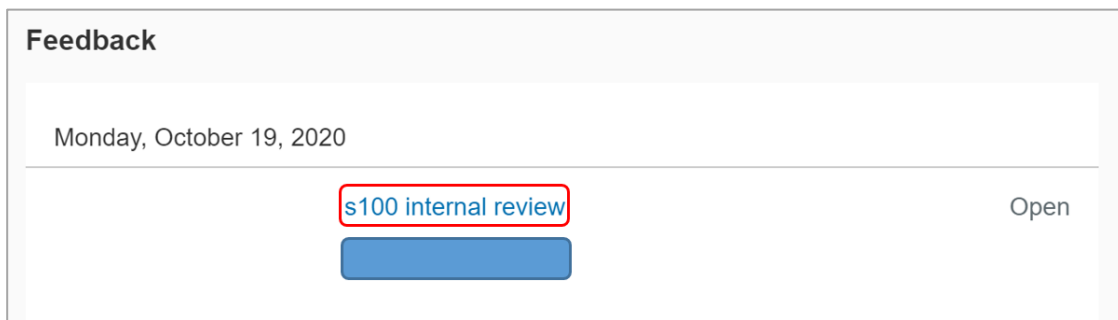
6. Select **Withdraw**.
7. The success message displays. Select **OK**.
8. Complete a closed interaction using [Interaction Template - Request withdrawn](#).

### 3.2 Withdraw a request for internal review (Feedback form)

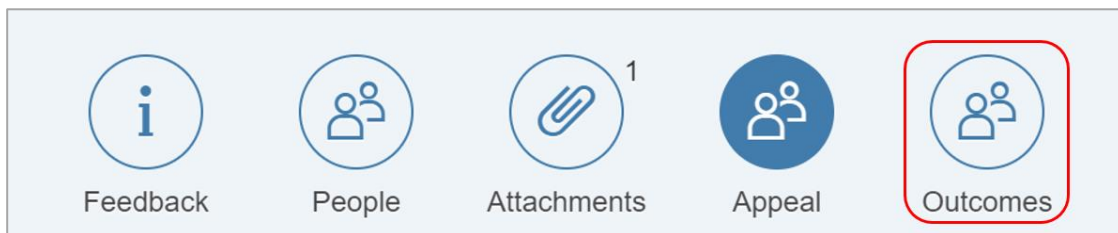
1. From the **NDIS Account** screen, select **Feedback**.



2. The **Feedback** screen displays. Select the open **s100 Internal Review**.



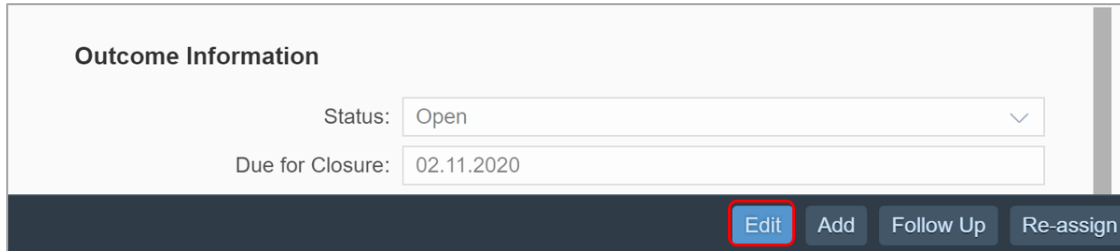
3. The **Feedback Details** screen opens. Select **Outcomes**.



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4. **Outcome Information** displays. Select **Edit**.



Outcome Information

Status: Open

Due for Closure: 02.11.2020

Edit Add Follow Up Re-assign

5. Complete the following fields:

- **Status:** select **Closed** from the drop down list
- **Due for Closure:** add the date you withdrew the request
- **Outcome:** select **Internal Review of Decision** from the drop down list
- **Outcome details:** copy and paste the **Template** below into this field and update the information.

### Template

I have withdrawn the request on <date> as requested by <participant/affected party> by <phone call/written correspondence>.

Contact made with: <name of participant/authorised representative/affected party, include Proof of Identity check and date>.

I confirm that I spoke with <name> on <date>. I advised that <person> submitted a request for review on <date>, for the purpose of <reason>.

<Participant/authorised representative/affected person> confirmed that the review is not required and they do not wish to proceed. No further action is to be taken on this request. I advised they cannot seek an external review through the Administrative Appeals Tribunal on this matter as no decision has been made on their internal review request.

Withdrawn by: <participant/authorised representative/affected person/staff member's name if being withdrawn due to an error> <relationship – if staff member state 'staff member'>.

Reason for withdrawal: <Created in error/Initiated by affected person or authorised representative>.

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**Outcome Information**

Status: Closed ▼

Due for Closure: 02.11.2020 📅

Assigned Team:

Employee Responsible:

Outcome: Internal Review of Decision ▼

Outcome details:

Outcome decision date:

6. Select **Save**.
7. The success message displays. Select **OK**.
8. Create a closed **Interaction** using the [Interaction Template - s100 - Request withdrawn](#).

## 4. Related procedures or resources

- [Our Guideline - Reviewing our decisions \(external\)](#)
- [Section 99 of the NDIS Act 2013](#)
- [Interaction Templates - Internal Reviews](#)
- [Standard Operating Procedure – Internal Review – View completed and withdrawn requests recorded in the s100 form](#)
- [Standard Operating Procedure – Internal Review – View or edit an open request for internal review](#)

## 5. Feedback

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

**Standard Operating Procedure**  
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**Version control**

Version	Amended by	Brief Description of Change	Status	Date
1.0	CW0032	Class 2 approval OG transition. Content transferred from Standard Operating Procedure – Review of decisions – procedure 6.6 & 6.9	APPROVED	2021-03-04
2.0	CW0032	Class 2 approval Section 3.1 and 3.2. Removed the instruction to assign the open interaction to Scott Graham. Changed to a closed interaction and not assigned to anyone.	APPROVED	2021-04-14
3.0	BL0012	Class 1 approval Minor changes: Changed 'What's changed' date from April to August. Highlighted 2 templates.	APPROVED	2021-08-10
4.0	CW0032	Class 1 approval Minor changes: an additional pre-requisite added, and an additional line in the template to advise the person cannot request an external review as no decision has been made re the internal review request. 'Affected party' added as an option within further sections of the template to cover situations where the person is not a participant. Protective markings updated.	APPROVED	2021-08-25



# SGP Knowledge Article Template

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## Create an internal review (s100) case

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This article provides guidance for a **planner, payment officer, internal review officer, access officer, quality officer, participant service officer, NCC officer, local area coordinator** or **early childhood coordinator** to:

- create an internal review (s100) case
- create a request for an internal review (s100)
- understand the next steps once a case has been submitted.

### Recent updates

#### July 2023

Continuous improvement update:

- updated system steps to align with PACE language and steps
- changed name from 'Create and complete an internal review (s100) case' to 'Create an internal review (s100) case'.

### Before you start

You have read and understood the relevant information in:

- [Our Guideline – Reviewing our decisions \(external\)](#)
- article **Create an enquiry case**
- article **How to resolve a review enquiry**
- article **Check evidence to act on behalf of another person.**

### Create an internal review (s100) case

When an applicant or participant requests an internal review, you will need to create an internal review case in PACE.

To do this, complete the following PACE steps.

From the **Person Account**:



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1. Select **Cases** tab.
2. Select **New**.
3. Select **Internal Review**.
4. Select **Next**.
5. Select relevant **Case Origin**.
6. Select **Save**.

The internal review will now show as **Draft**.

## Complete a request for an internal review (s100)

To create an internal review request complete the following steps:

From the **Internal Review** case:

1. Select **Request** tab.

From **Initiate Request** view:

1. Select **Date review request received**.

**Note:** you can backdate the request by selecting a date in the past. If backdating, complete the mandatory free text field **Provide a reason why the request is being backdated and reference evidence**.

2. Select relevant **Who is requesting review?** option.

**Note:** if selecting **Authorised Representative**, use **Selected Contact** field to record the representative making the request.

3. Select **Next**.

From **Decisions** view:

1. Identify the relevant decision from **Decision Log**.

**Note:** you can filter the decisions by **Original decision date**, **Type** and **Decision Outcome**.

2. Select the circle next to the **Decision Name** to select the relevant decisions.
3. Select **Next**.

If not listed, select **Decision from SAP CRM**:

1. Select relevant decision **Type**.
2. Select **New**.



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3. Select relevant **Decision Name**.

4. Select **Original Decision Date**.

**Note:** if over 100 days, select relevant reason for selecting decision over 100 days. Complete free text for provide details of why you are submitting this request outside of 100 days.

5. Record **Decision Reference**.

6. Search **Original Decision User Name**.

**Note:** if original user is not showing, tick **Unable to find original decision maker user ID**. Record email address of original user in **Decision user code**.

7. Select **Save**.

8. Select **Next**.

From **Sub-Decisions** view:

1. Select all relevant **Sub-Decisions** for review.

2. Select **Next**.

From **Add Request Details** view:

The **Original Decision** will be displayed at the top of page. All the selected sub-decisions will show under **Requests**.

1. Complete all mandatory fields for each sub-decision under **Requests**. When recording free text request details, be specific about **why** the requestor is asking for a review, and **what** outcome they are expecting.

2. Select **Save**.

**Note:** If required, you can add a new request by selecting **Add new request** from the **Original Decision** box.

3. When all requests are saved, select **Next**.

From **Documents** view:

1. Select **Add Documents** to upload new documents. For more information, refer to article **Add evidence to the person record**.

2. Select **Link Documents** to link documents from the person record to the internal review case.

3. Select **Next**.

From **Risk Matrix** view:

V5.0 2023-07-07

WP11-15

Page 3 of 6

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1. Select **Yes** or **No** when asked **Has there been any risks identified that may impact the participant, nominee or NDIS associated with this request?**

2. if **Yes**, select relevant risks.

**Note:** If you need to escalate an existing request for internal review, refer to article **Escalating a request for internal review (s100)**.

3. Select **Next**.

From **Request Summary** page:

1. Review information recorded.

**Note:** If any information needs to be corrected or added, select the relevant section to return and update.

2. If everything is correct, select **Next**.

From **Submit Internal Review Request** view:

1. If applicable, complete **Call Notes** free text field.

2. Select **Submit**.

The status of the internal review will change to **New**.

## Next steps

1. After the request for internal review has been submitted, an acknowledgement letter will be sent to the person or their authorised representative.

2. The internal review will be allocated to a internal review officer with the appropriate skill tags to complete the work.

## Version control

Version	Amended by	Brief Description of Change	Status	Date
2.1	BCK161	Continuous improvement update – transferred content from approved version in Confluence to new template. Completed SGP consistency check.	DRAFT	2023-05-31
2.2	DCM308	Peer review	DRAFT	2023-06-01
2.3	BCK161	Action peer review.	DRAFT	2023-06-02



## SGP Knowledge Article Template

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Version	Amended by	Brief Description of Change	Status	Date
		Changed name from 'How to create and complete an s100 (RoRD) case' to 'Create an internal review (s100) case'.		
2.4	BCK161	Actioned VT feedback.	DRAFT	2023-06-05
2.5	CTM829	EL1 review – feedback needs to be actioned	DRAFT	2023-06-06
2.6	THG520 BCK161	Action EL1 review	DRAFT	2023-06-07
2.7	CTM829	EL1 review	DRAFT	2023-06-08
2.8	JS0082	EL2 review BCK161 – responded to feedback.	DRAFT	2023-06-08
3.0	JS0082	Class 1 Approval Continuous improvement update – transferred to new template and completed SGP consistency check. Locked copy for BIL	APPROVED	2023-06-09
3.1	THG520	Actioned BIL's Feedback	DRAFT	2023-06-27
3.2	EJW711	EL1 review	DRAFT	2023-06-27
3.3	THG520	Transferred feedback from internal review team	DRAFT	2023-06-30
3.4	THG520	Action internal reviews feedback	DRAFT	2023-06-30
3.5	JLL673	Peer review	DRAFT	2023-07-05
3.6	THG520	Actioned peer review feedback	DRAFT	2023-07-05
4.0	CTM829	EL2 review	APPROVED	2023-07-06
4.1	THG520	Transfer internal review feedback	DRAFT	2023-07-07
4.2	THG520	Action internal review feedback	DRAFT	2023-07-07
4.3	EJW711	EL1 review	DRAFT	2023-07-07



# SGP Knowledge Article Template

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Version	Amended by	Brief Description of Change	Status	Date
5.0	CTM829	EL2 review	APPROVED	2023-07-07



## Knowledge Article

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# Escalating a request for an internal review (s100)

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**Guidance in this document is not approved for use unless you view it in PACE.**

This article provides guidance for all NDIA staff and partners to:

- identify situations where an internal review needs to be escalated
- use the escalation and prioritisation matrix to confirm the level of risk
- escalate an existing request for internal review (s100).

## Recent updates

**06 May 2024**

Minor update to reflect the renaming of the Review Branch.

## Before you start

You have read and understood:

- [Our Guideline - Reviewing our decisions \(external\)](#) to inform your decision to escalate a request for internal review (s100)
- [Our Guideline - Applying to the NDIS - When do we make priority eligibility decisions? \(external\)](#).

## How to escalate a request for internal review (s100)

### Identify situations where an internal review needs to be escalated

In some situations, you may need to escalate a request for an internal review. This includes cases where there is evidence of:

- risk of harm to the health or wellbeing of the applicant or participant
- risk to stability in the accommodation arrangements of the participant, including the risk of homelessness



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- risk to stability in the care arrangements of the participant, including the risk of a primary carer not being able to provide care
- risk associated with the nature of the applicant or participant's disability, including the risk of rapid deterioration or progression
- the participant being in hospital and is awaiting discharge
- the participant having an active request for Assistive Technology, Home Modifications or Supported Independent Living.

### Use the Escalation and Prioritisation Matrix to confirm the level of risk

Go to article [Review the escalation and prioritisation matrix](#) to identify the level of risk associated with the review request.

Select the option that most closely matches the applicant or participant's situation to identify the risk level. Select the highest risk level identified if there are multiple risks.

The Review Branch will prioritise escalations identified as high or extreme risk.

### Escalate an existing request for internal review (s100)

**Note:** This process is for escalating an **existing** internal review request in PACE. New internal review requests are escalated during creation. Go to article [Create an internal review \(S100\) case](#) if you are escalating a new internal review request.

You must escalate review requests that meet medium or high risk criteria.

To escalate a request for internal review:

1. You **must** email [INTERNAL.REVIEWS.PLANNING@ndis.gov.au](mailto:INTERNAL.REVIEWS.PLANNING@ndis.gov.au) for planning decisions or [internal.access.reviews@ndis.gov.au](mailto:internal.access.reviews@ndis.gov.au) for access decisions.
2. Use the **subject line**: Internal Review Escalation: Updated Risk Level <NDIS Number>.
3. Include the reason for the escalation, including the risk level.
4. You **must** record the contact with the Review Branch in the **Log Activity** from the **Activity Panel**. Use the activity type **Internal Note** when contacting or leaving internal details for the Review Team. For the steps to complete this, go to article [Log an activity or internal note](#).

**Note:** Due to system limitations, this off-line process must be used to escalate existing internal review requests.



# Knowledge Article

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## Next steps

The escalation request will be triaged and actioned by the Review Branch.

## Article labels – internal use only

### PACE user role names

Delete:

dc\_users\_reviewofficer

### Topics

N/A maintain current topics.

### Case names

N/A maintain current case names.

### Ownership

N/A maintain current ownership.

## Version control

Version	Amended by	Brief Description of Change	Status	Date
6.0	JS0082	Class 1 Approval	APPROVED	2024-04-29

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# Knowledge Article

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## Understanding an internal review

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**Guidance in this document is not approved for use unless you view it in PACE.**

This article provides guidance for all NDIA staff and partners to understand:

- what is a request for an internal review
- who can submit a request for internal review
- when an internal review request can be submitted
- what happens once a request for internal review is submitted
- how internal review requests are prioritised.

### Recent updates

**6 May 2024**

Minor update to reflect the renaming of roles in the Review Branch.

### What is a request for an internal review

If an applicant or participant is unhappy with a NDIA decision, they can ask us to review our decision.

This is called an **internal review**. The Reviews Branch manages internal reviews.

A delegate who was not involved with making the original decision will complete the internal review. The Review Officer considers the evidence and information related to the decision, then decides to either:

- set aside the original decision (make a new decision)
- vary the original decision (make some changes)
- confirm the original decision (don't make any changes).

The most common decisions subject to review are:

- Access not met (s 99 (1) - 1). A person requests access to the NDIS, but we decide they don't meet the access criteria to become a participant.



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- Access revoked (s 99 (1) - 3). A person was once a participant of the NDIS but had an eligibility review and was found not to meet the access criteria, so their status as a participant was revoked.
- Statement of supports (s 99 (1) - 4). A participant is unhappy with the NDIS funded supports in the approved plan, the plan duration or the plan management decision.
- Not to review a plan (s 99 (1) - 6). The participant has requested a participant requested plan reassessment under s48(2) of the NDIS Act and the NDIA decided not to conduct that plan reassessment.

Not all NDIA decisions are reviewable. The list of reviewable decisions is under section 99 of the [NDIS Act \(external\)](#).

You can learn more in [Our Guideline - Reviewing our decisions \(external\)](#)

### Who can submit a request for internal review

A directly affected person with authority can request an internal review.

For most cases relating to a participant, a directly affected person can be:

- an applicant that has been deemed access not met or access revoked
- a participant or formally recognised plan nominee or child representative that does not agree with a reviewable decision about their plan
- a person affected by a decision to appoint, not appoint, suspend or revoke nominee or child representative status

Other directly affected persons can include:

- providers affected by a NDIA decision specifically relating to a provider
- a person affected by a NDIA decisions relating to debts

A person with valid authority or consent may request internal review on the behalf of a directly affected person. Authority can take the form of valid child representative, plan nominee or guardian permissions. Otherwise, we need consent from the directly affected person, preferably in writing. This could include:

- a consent form signed by the directly affected person
- an email confirming the directly affected person giving their consent to lodge the review





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- an internal note documenting a telephone conversation with the directly affected person where they provided consent.

You can learn more in [Our Guideline - Your privacy and information \(external\)](#).

A directly affected person or their representative can submit a request internal review using the [Request for a Review of a Decision form \(external\)](#). They can also ask in person or on the phone, or by sending a request by letter or email.

### When an internal review request can be submitted

A request for an internal review **must** be made within 3 months of receiving the original reviewable decision. If a person requests an internal review more than 3 months after the date they receive the original reviewable decision, we cannot conduct an internal review.

We may need more evidence or supporting documentation to consider a request for additional supports. This should be communicated to the requestor when submitting an internal review request.

To create an internal review, refer to [Create an internal review \(s100\) case](#).

### What happens once a request for internal review is submitted

When an internal review request is submitted, PACE sends an automated acknowledgement letter using the preferred communication method to confirm we've received the request.

If the review request is not considered valid, the Reviews Branch will discuss other options and next steps with the person who requested the review. This may be because the request was lodged by an unauthorised person, doesn't relate to a reviewable decision, or was submitted more than 3 months after the original decision.

If the request is valid, the request will be assigned to a Review Officer.

The Review Officer will contact the person who requested the review to acknowledge the request and to clarify aspects of the internal review.

The Review Officer will review the facts, laws and NDIA policies related to the original decision and determine what the correct or preferable decision is. The Review Officer will also consider any new information provided.

The Review Officer aims to complete the internal review within 60 days as outlined in the [Participant Service Guarantee \(external\)](#). The Review Officer will provide the outcome and reasons for the internal review decision in writing.



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### How internal review requests are prioritised

If the Reviews Branch determines the applicant or participant is at **high** or **extreme** risk based on the NDIA's Escalation and Prioritisation Matrix, the internal review will be assigned to a Review Officer as a priority. The IRT will prioritise requests based on the highest category of risk that applies based on the requestor's circumstances.

The Reviews Branch will contact the requestor within 48 hours of escalation to confirm that their request was prioritised. They will also gather any relevant information needed to complete the review.

For more information, refer to article [Escalating a request for internal review \(s100\)](#).

### Article labels – internal use only

#### PACE user role names

Add:

dc\_users\_accessdelegate, dc\_users\_bereavementofficer, dc\_users\_businesssupportofficer, dc\_users\_complaintsofficer, dc\_users\_compensationdelegate, dc\_users\_earlychildhoodpartner, dc\_users\_engagementofficer, dc\_users\_enrolmentofficer, dc\_users\_externalreviewofficer, dc\_users\_fraudofficer, dc\_users\_freedomofinformationofficer, dc\_users\_homeandlivingdelegate, dc\_users\_legalofficer, dc\_users\_liaisonofficershlo/jlo, dc\_users\_localareacoordinator, dc\_users\_nationalcontactcentre, dc\_users\_participantcriticalincidentsofficer, dc\_users\_participantsupportofficer, dc\_users\_paymentsofficer, dc\_users\_plannerdelegate, dc\_users\_qualityofficer, dc\_users\_reviewofficer, dc\_users\_supportingofficer, dc\_users\_technicaladvisors, dc\_users\_plannernonpartneredarea

Delete:

User role name label

#### Topics

Add:

t\_reviewingdecisions,

Delete:

Topic label

#### Case names

V3.0 2024-04-29

Understanding an internal review 202262635

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Add:

dc\_case\_internalreview

Delete:

Case name label

## Ownership

Add:

Ownership label

Delete:

Ownership label

## Version control

Version	Amended by	Brief Description of Change	Status	Date
2.1	JNL620	Updated to reflect new user role and team designation.	DRAFT	2024-03-26
2.2	SGH107	Peer Review	DRAFT	2024-03-26
2.3	JNL620	Adjusted for peer review	DRAFT	2024-03-26
2.4	JNL620	Adjusted for VT VT Result Number of long sentences: 17 (15.32%) Number of passive sentences: 21 (18.92%) Readability: 33 Grade Level: 10.8	DRAFT	2024-03-28
2.5	EJW711	EL1 review	DRAFT	2024-04-02
2.6	JNL620	Adjustments for EL1 review	DRAFT	2024-04-23
3.0	JS0082	Class 1 Approval	APPROVED	2024-04-29



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# Standard Operating Procedure

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## Create a plan reassessment (or variation) request (PRR)

This Standard Operating Procedure (SOP) will help you to create a plan change request (section 47A and 48(1)) of the NDIS Act). PRR's are created where the participant's circumstances have changed or their current plan no longer meets their needs. Before creating a PRR, you should make sure it is the appropriate action, including referring to the [Choose the right request tool \(CRRT\)](#).

**Note:** This SOP refers to plan changes (plan reassessments and variations). The NDIS Business System (System) refers to these as plan reviews (renewal, longer term renewal, light touch or full) however this language is for internal use only.

### 1. Recent updates

Date	What's changed
November 2022	Document updated to correct minor errors and update broken links.
July 2022	<p>Replaced language from plan reviews to plan change, reassessment, or variation to reflect legislation changes from 1st July 2022.</p> <p>Added instructions for partners when actioning plan variation request (<a href="#">NDIS Act s47A</a>).</p> <p>SOP name change from Create a plan review request (PRR) to Create a plan reassessment (or variation) request (PRR).</p>



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## 2. Checklist

Topic	Checklist
<b>Pre-requisites</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The participant has an approved plan.</li> </ul> <p>You have:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> read and understood <a href="#">Our Guideline – Changing your Plan</a></li> <li><input type="checkbox"/> made a decision using the CRRT that a PRR is the appropriate action</li> <li><input type="checkbox"/> attached all evidence and information using the <a href="#">Standard Operating Procedure – Manage inbound documents</a></li> <li><input type="checkbox"/> confirmed the reason for the request is not for Assistive Technology (AT) supports, which should be progressed using the <a href="#">Standard Operating Procedure – Initiate an Agency-Initiated plan review more than 100 days from the plan review date.</a></li> </ul>
<b>Actions</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <a href="#">3.1 Determine who is making the request</a></li> <li><input type="checkbox"/> <a href="#">3.2 Consider active internal review requests</a></li> <li><input type="checkbox"/> <a href="#">3.3 Create a Plan Change Request.</a></li> </ul>



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## 3. Procedure

### 3.1 Determine who is making the request

The NDIA can accept a PRR either verbally or in writing. The National Access and Reassessment Branch (NARB) will consider the reasons for the request and if the current plan needs changing.

If the PRR has been requested by:

- the participant, their plan nominee or child representative, or a court or tribunal appointed decision maker, proceed to [section 3.1.1](#)
- a person who has express consent to act on behalf of the participant, their plan nominee or child representative, or a court or tribunal appointed decision maker, proceed to [section 3.1.2](#)
- a person who is **not** an authorised representative, refer to the [Standard Operating Procedure – Plan change request from an unauthorised representative](#). A PRR can't be accepted from a person without consent.

#### 3.1.1 Request received from the participant

1. Verify identity using the [Standard Operating Procedure – Record and verify identity for an individual](#) and the [Standard Operating Procedure – Verify identity for a third party organisation](#).
2. If the person making the request is:
  - the participant or child representative, proceed to [3.2 Consider active internal review requests](#)
  - the plan nominee or a court or tribunal appointed decision maker, check the scope of their role and their authority to request the change using guidance on the [General resources Intranet page](#). For nominees, you can also check the **Nominee** screen in the System. For more information, refer to the [Standard Operating Procedure – Appoint or decline a nominee](#).
3. Talk to your team leader if you are unsure if the nominee, court or tribunal appointed decision maker has the authority to request a change.



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4. Once you have confirmed the plan nominee or court or tribunal appointed decision maker has authority to request a change, proceed to [3.2 Consider active internal review requests](#).

### 3.1.2 Request received from a representative with express consent

1. Use the [Standard Operating Procedure – Check third party consent or authority](#) to confirm the person making the request has express consent to request a plan change on the participant's behalf. The person should also have express consent to exchange information with the NDIA.
2. If express consent includes consent to request a change, check the date the consent was given. If it is unclear if the consent is still current, contact the participant or their authorised representative to confirm.

If a third party says they have consent but this is not recorded in the System, you will not be able to proceed. To obtain consent, follow the steps outlined in the [Standard Operating Procedure – Record third party consent](#).

**Note:** If you are unsure if there is appropriate consent or what the next steps are, speak to your team leader. Your team leader may also seek advice from [Privacy@ndis.gov.au](mailto:Privacy@ndis.gov.au)

Verify the identity of the person with consent using the [Standard Operating Procedure – Record and verify identity for an individual](#) and the [Standard Operating Procedure – Verify identity for a third party organisation](#).

3. Once you have verified identity and confirmed the person making the request has the appropriate consent, proceed to [3.2 Consider active internal review requests](#).

## 3.2 Consider active internal review requests

A participant can request a plan change when they have an internal review (s100) in progress. Sometimes we may decide to do a plan change while the internal review (s100) is in progress.

From 1 July 2022 if we approve a new plan or vary the current plan before the internal review decision, the internal review can include the decision that is being reviewed as well as the new decision to approve a new or varied plan. This means that both decisions can be considered as part of the one internal review.

There are current system limitations which will prevent you from initiating a PRR when an internal review is in progress. So, it is important to check for an active internal review.





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### 3.2.1 Check for an active internal review request

Check the participant record for an active “S100 in progress” **Alert**.

1. Check for an active internal review (s100) request using the [Standard Operating Procedure – View or edit an open Request for Internal Review](#).
2. If there is no active internal review request, go to [3.3 Create a Plan Change Request](#).
3. If the participant has a pending internal review (pending s100), [go to section 3.2.2](#)

### 3.2.2 There is an active internal review request.

1. Advise the participant that their internal review request remains active and that an internal review officer will be in contact to discuss their plan change request and the next steps.
2. Add an **Interaction**. Refer to [Interaction Templates – Reassessments and Variations – Participant Plan Review –Request Escalated](#). Complete all required fields.
3. Assign **Open** interaction to Internal Review Team inbox: **CR PED NAT/VIC IRT Planning Incoming**. No further steps are required in this SOP.

## 3.3 Create a Plan Change Request

**Note:** If the PRR being initiated is to complete a plan variation go to **step 1**. If the PRR is being initiated for a plan reassessment go to **step 2**

1. Add a [Workflow identifier - Plan Variation](#) to the record. This will ensure that plan variation requests are workflowed to the NARB.

The screenshot shows the NDIS system interface. The 'Workflow Identifiers' section is active, and a dropdown menu is open, highlighting 'Plan Variation'. Below the menu, the 'Valid From' date is set to 11.07.2022 and the 'Valid To' date is set to 11.08.2022. A 'Cancel' button is visible at the bottom of the dropdown menu.



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- From the **NDIS Account** screen, select **Add items**.

Participant Information Planned Budget : \$ 29,784.70 ; Remaining : \$ 29,...

NDIS Number:

**Add Items** More Items

- From the menu, select **Plan Review Request**.

Participant Information Planned Budget

NDIS Number:

Preferred Name:

- Inbound Document
- Interaction
- Payment Request
- Plan Review
- Plan Review Request**
- Add Items

**Note:** In some situations, the System will prevent you from creating a **Plan Review Request**. An information message will display to encourage you to discuss the reasons with the participant. Refer to [section 5.1](#) for examples of error messages you may see and the reason.

- Plan Change Request** form displays.

Participant Number:

Plan Number:

Status: New

\* Request Date:  📅

\* Requested By:

\* Channel:

\* Reason for request:

- A support is not in the plan that was discussed in my planning meeting
- I have an assessment for AT and/or Home Modifications
- My circumstances have changed since my planning conversation
- I want to change the way my plan supports are managed
- I have further information concerning my diagnosis
- I don't understand the description comments in my plan's funded supports
- I'm missing a support or don't have a support I need

Edit **Submit**



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5. The **Request date** is pre-filled to display the current date.
  - If the NDIA received the request within the last seven days, change the **Request date** to the date the NDIA received the request.
  - If the NDIA received the request more than seven days ago, change the **Request date** to the date seven days ago. Record the actual date received in the supporting information field.
  
6. Select the drop down list in the **Requested By** field. You can only select the participant, their plan nominee or child representative from this drop down:
  - If a court or tribunal appointed representative or authorised third party with express consent made the request, select the participant details.
  - In the **Supporting Information** field note that a court or tribunal appointed representative or authorised third party with express consent made the request.

Participant Number:	<input type="text"/>
Plan Number:	<input type="text"/>
Status:	New
* Request Date:	09.11.2020
* Requested By:	<input type="text"/>

7. Select the **Channel**.

* Channel:	<input type="text"/>
* Reason for request:	<input type="text"/> <ul style="list-style-type: none"> <li>Call Centre/ Phone</li> <li>Inbound correspondence</li> <li>In Person</li> </ul>



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- You need to select a **Reason for request** which best aligns with the conversation with the participant or their authorised representative.

\* Reason for request:

- A support is not in the plan that was discussed in my planning meeting
- I have an assessment for AT and/or Home Modifications
- My circumstances have changed since my planning conversation
- I want to change the way my plan supports are managed
- I have further information concerning my diagnosis
- I don't understand the description comments in my plan's funded supp...
- I'm missing a support or don't have a support I need
- I want to edit or add to my participant statement
- I'm not happy with my scheduled plan review date

**Note:** If the participant has asked to only edit their participant statement don't create a PRR request. This can be completed through an administrative change. For more information, refer to the [Standard Operating Procedure – Create an administrative change task](#).

- Select **Add** in the **Inbound document** section to attach documents to the PRR.

Inbound Document(s): **+ Add**

None

\* Supporting Information: *Add note*

Edit Submit

- All the documents which have been uploaded to the participant's record will display. Select any documents that support the PRR.

Select an Inbound Document

Search

Inbound Document Test Upload  
Created On 29.10.2019 By User name

Cancel



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11. Once selected you will be re-directed to the form where the **Inbound Document** now appears.

12. **Supporting Information** is a mandatory free text field to provide the NARB delegate with more information on the change request. You should record:

- the date the NDIA received the request as per step 3
- the details of the authorised representative as per step 4
- the proof of identity details where an authorised third party made the request
- information on the reason(s) for the request, and any other relevant details including:
  - details of the change of situation
  - information on the requested changes to the participant's plan
  - reasons given for why the plan no longer meets the participant's needs
  - Information stating if the request has been identified as a plan variation.

You should include as much information as possible for the National Reassessment Officer (NRO) to consider. The NRO may contact the participant or their authorised representative to explore, where appropriate, other possible options to reach the desired outcome. This discussion may lead to a request to withdraw the PRR. When this occurs, the NRO will send the [Letter-Plan change request withdrawn](#).

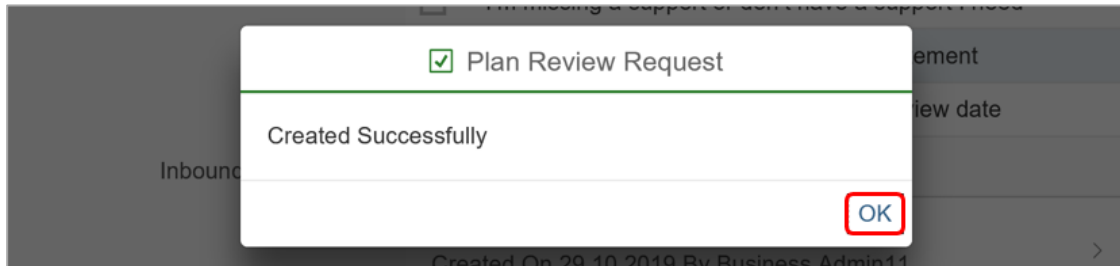
13. Once all details are complete, select **Submit**.



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14. A confirmation message will display to advise the PRR has been created successfully. Select **OK**.



**Note:** Do not re-assign the PRR to an NRO.

15. If you have created a PRR to initiate a plan variation request and added a Workflow identifier you need to add an interaction using the [Interaction Template - Plan reassessment and variations - plan variation](#) which explains the reasoning for the PRR.

## 4. Next Steps

Once you have submitted a PRR, you can view, edit or withdraw it using the [Standard Operating Procedure – view, edit or withdraw a plan reassessment request](#).

Inform the participant or their authorised representative:

- the PRR has been submitted and will be considered by the relevant team
- they may be contacted to provide further information
- they will receive notification of the decision outcome.

A submitted PRR will automatically workflow to the NARB who will consider the reasons for the request. The NARB delegate will:

- determine if the request is approved, declined or if further time is needed to consider the request.
- If a variation is approved, a NRO with complete this with the participant.
- send the corresponding decision letter to the participant
- upload a copy of the sent letter to the System.



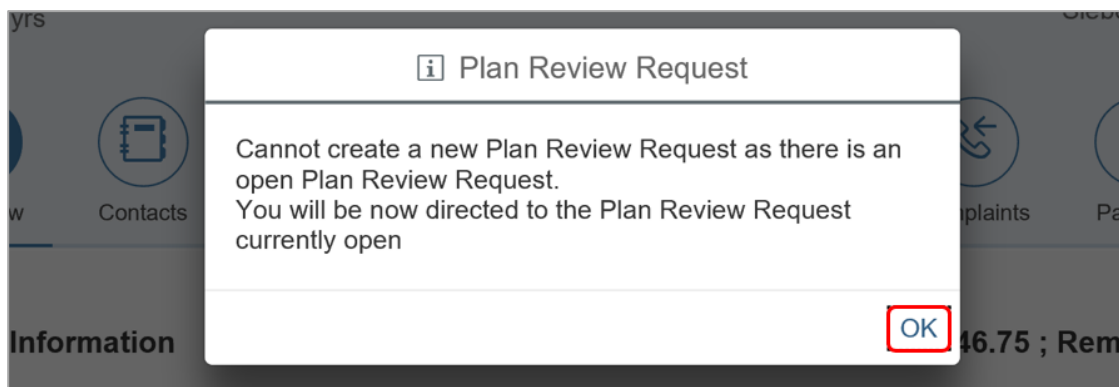
# Standard Operating Procedure

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## 5. Appendices

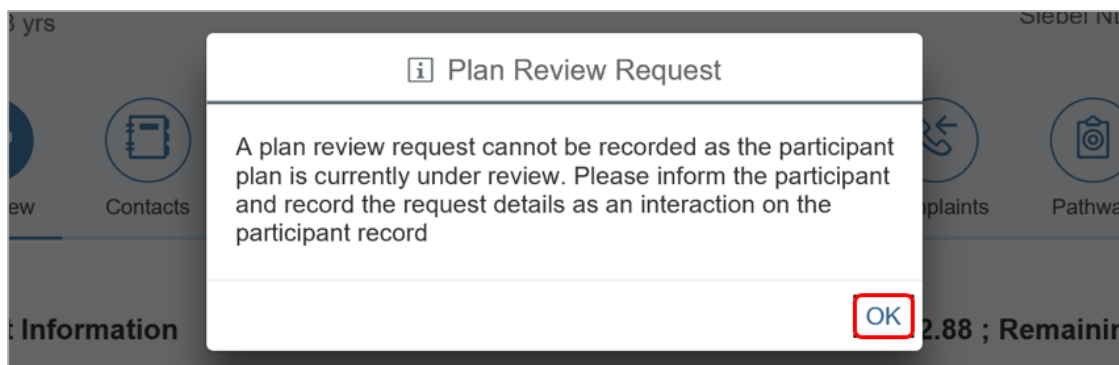
### 5.1 Information message glossary

#### 5.1.1 A PRR has already been created



There is already an active PRR in the System. Once you select **OK**, the System will redirect you to the open request. You should note any updates in the active PRR.

#### 5.1.2 A plan change request is in progress



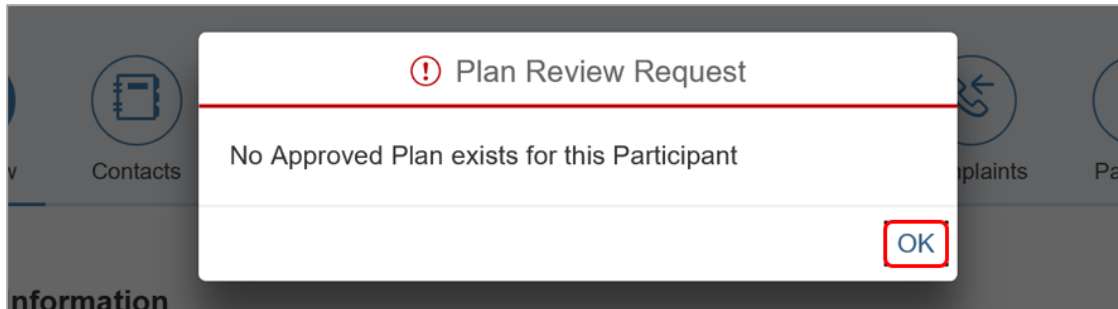
There is already an open plan change. You should tell the participant or their authorised representative that their plan is currently being reassessed or varied. Record an **Interaction** on the participant's record. Unless you need to take further action, close the interaction after recording the conversation.



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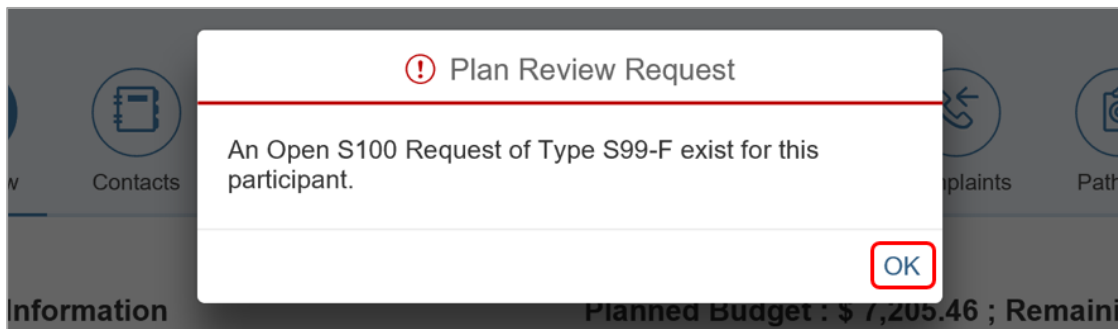
### 5.1.3 When the participant does not have an approved plan



There is no approved plan in the System. A plan delegate will need to approve the plan before you can take further action. You should talk with the participant or their authorised representative about their concerns. Determine if you can address these concerns before plan approval.

The PRR can't be actioned if the NDIA has revoked the participant's access or they are no longer an active participant. You should escalate this to your team leader. Note that revocation of access is a reviewable decision ([section 99, Item 3 of the NDIS Act](#)).

### 5.1.4 When an internal review (s100) is in progress



A participant has an open request for an internal review of a reviewable decision. You should follow the process outlined in [section 3.2](#).





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## 6. Related procedures or resources

- [National Disability Insurance Scheme Act 2013](#)
- [National Disability Insurance Scheme Rules](#)
- [NDIS Our Guidelines](#)
- [NDIA privacy policy](#)
- [Standard Operating Procedure – Record and verify identity for an individual](#)
- [Standard Operating Procedure – Verify identity for a third party organisation](#)
- [Standard Operating Procedure – Check third party consent or authority](#)
- [Standard Operating Procedure – Record third party consent](#)
- [Standard Operating Procedure – Withdraw or change third party consent](#)
- [Standard Operating Procedure – Plan reassessment request from an unauthorised representative.](#)

## 7. Feedback

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

## 8. Version control

Version	Amended by	Brief Description of Change	Status	Date
1.0	CW0032	<p>Class 2 Approved</p> <p>New resource to replace existing content from the SOP – Plan Review Requests. Updates include:</p> <ul style="list-style-type: none"> <li>• More guidance on completing the supporting information field of a Plan Review Request (PRR).</li> <li>• A new reminder to not re-assign PRRs to NARB delegates.</li> <li>• More information on NARB process where a decision is made on a PRR</li> <li>• A new pre-requisite to upload all relevant documentation to Inbound Documents before proceeding.</li> </ul>	APPROVED	2021-04-12

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# Standard Operating Procedure

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Version	Amended by	Brief Description of Change	Status	Date
		<ul style="list-style-type: none"> <li>Revised formatting for improved readability.</li> </ul>		
2.0	BIB217	<p>Class 3 approved:</p> <p>Guidance updated for addressing active s100 requests and to clarify the scope of an internal review with a participant requested review is submitted.</p>	APPROVED	2021-08-20
3.0	CW0032 CH0026 LS0042 AGV957	<p>Replaced language from plan reviews to plan change, reassessment, or variation to reflect legislation changes from 1st July 2022</p> <p>Adding instructions for partners when actioning plan variation request (NDIS Act s47A).</p> <p>SOP name change from Create a Plan Review Request (PRR) to Create a Plan Reassessment (or variation) Request (PRR)</p>	APPROVED	2022-07-19
4.0	JS0082	<p>Class 1 Approval</p> <p>Correct minor error in this SOP that was published in July to support the 1 July Legislation Amendments</p>	APPROVED	2022-11-17



# SGP Knowledge Article Template

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## Create a plan reassessment (s48) request

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This article provides guidance for a local area coordinator, early childhood partner, planner delegate, payments officer, review officer, complaints officer, participant support officer, access delegate, National Contact Centre, liaison officers (HLO/JLO), planner (non-partnered area) or technical advisor to:

- create a plan change case
- create a plan reassessment (s48) request
- add a subject to the plan change case.

**Note:** This article is for plan reassessment (s48) requests only. Don't use this article for a plan variation requests (s47A) or a participant requested plan change where the legislative type hasn't been specifically requested.

You'll need to go to article [Create a plan variation \(s47A\) request](#) or [Create a participant plan change request where the legislative type isn't specified](#).

### Recent updates

#### 22 April 2024

- New article created from content split out of article Create a plan change request.
- New section added with instructions to include a subject on the plan change case.

### Before you start

You have:

- received a plan reassessment (s48) request from a participant or their authorised representative or are creating a CEO initiated s48
- completed steps in article [Prepare to submit a plan change request](#)
- read and understood [Our Guideline – Changing your plan \(external\)](#).

### Create a plan change case

You can receive a plan change request verbally, in an email or in a change of circumstances form. The change of circumstances from doesn't have to be completed to submit a plan



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change request. To request changes to a participant's plan, you'll need to create a plan change case. A plan change case can also be initiated from other cases such as a check-in.

To create a plan change case:

1. From the **Person Account**, select the **Cases** tab.
2. Select **New**.
3. Select **Plan Change** from the list of case types.
4. Select **Next**.
5. Select **Case Origin** from the drop-down list.
6. Confirm the **Status** is set to **Draft**. The plan change case should remain in **Draft** status as the default status when creating the case.
7. Add **Internal Comments** about the case, if required.
8. Select **Save**. You have now created the plan change case.

## Create a plan reassessment (s48) request

A participant's plan can be reassessed at any time if there's a change in their situation. This is also referred to as a change in circumstances. To make sure you're creating the right request, go to article [Understand internal review and plan change request categories](#).

Use these steps for a participant requested or CEO's own initiative reassessment request:

1. From the **Plan Change** case, select the **Request** tab.
2. Select the **Requested Date** of the plan change. This will default to today's date.  
**Note:** Plan change requests can be backdated.
3. Under **How is the request being initiated?**, select either:
  - **Participant requested - S48:** Only use this option when the participant specifically requests a plan reassessment. If we decide to complete the plan reassessment this will mean the participant receives a new plan, following a change of circumstances, or when multiple minor changes to the plan are needed.
  - **CEO's own initiative - S48:** These requests should **only** be created by delegates who have authority to make a CEO initiated decision. Use this option when you've decided this is plan change type required. This is to create a new plan, include a significant increase to funded supports, or make multiple minor changes.



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4. Select **Who is requesting the plan change?**. If selecting **Related Party**, you'll need to select the authorised representative making the request from the list that appears.

**Note:** NDIA will be the only option if creating a CEO's own initiative request.

5. Select **Next**.

## Change in Situation

1. Select the **Change in Situation** from the drop-down list.
2. **Select Date** (calendar) for **When did this change happen?**
3. **Provide details of the situation** in the free text field.
4. If the new plan requires a change in fund management, select the checkbox next to **Change to fund management required**.
5. If required, **Provide Reason for fund management change** in the free text field.
6. If you need to provide an additional change in situation request, select **Add** on the right hand side of the **Request** screen and complete the above steps until all change in situation requests are recorded. Otherwise, select **Next**.
7. If applicable, use the **Documents** tab to add any documents relating to the change in situation. Refer to articles [Add documents to a case](#) and [Add and link evidence to a case](#).
8. Select **Next**.

## Risk Matrix

Check for any risks associated with the plan change request which could impact on the participant, nominee or NDIS.

### If you don't identify any risks:

1. Select **No**.
2. Select **Next** to progress the case.

### If you identify a risk:

1. Go to article [Identify and escalate risks in plan change request](#) to complete this section.

## Request Confirmation

1. If required, select a section to review from the **Steps** workflow.



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- You'll need to add a subject to the plan change case. This is to make sure cases can be routed efficiently. Go to section **Add subject to the plan change case** in this article before going to the next steps.
- Select the checkbox next to **I confirmed the information recorded is accurate (mandatory in order to proceed for submit)**.
- Select **Submit**.

**Note:** Don't manually move the case status from **Draft**. Refresh your browser after the plan change request has been submitted. The case status will automatically change to **New**.

## Add subject to the plan change case

To assist delegates with managing work, you'll need to add a subject to the plan change case **before** submitting the plan change case.

From the **Plan Change** case:

- Select the **Details** tab.
- Under the **System Information** heading, select **Edit Subject** (pencil).
- Add the correct subject to the **Subject** field using the list below. Make sure you record the subject exactly as it's shown in the list below.

**Note:** If there's multiple subjects, you should select the most urgent. If Exhausted Funds or Breakdown of Informal Supports are a factor, that this is the subject used.

Subject	Description
Assistive technology	Requests for the supply of Assistive Technology or equipment
Vehicle modifications	Requests/quotes for vehicle modifications
Home modifications	Requests/quotes for home modifications
Plan management	Any request to change the way participants plan funding is managed
Plan error	Identification of any error associated with funding in a participants plan
Exhausted funds/breakdown of informal supports	Requests where funds have been depleted prior to the plan end date or where a participant advises they have had a breakdown of informal supports
Home and living	A participant is requesting inclusion of or changes to SIL, SDA or ILO supports in their plan
Change of circumstances	Any other change of circumstances the participant may have experienced resulting in a request for a change to their plan



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Other	Should only be used where no other relevant theme is identified
-------	---

4. Select **Save**.

## Next Steps

Once submitted, a plan change case will automatically be allocated to the **Plan Change Routing Queue**. The request information will no longer be visible under the **Request** tab in the **Plan Change** case.

1. If you're not the decision maker on the plan change request, there are no further steps.
2. If you're the delegate making the decision on the plan change:
  - Assign and review the plan change case. Go to article [Assign and review a plan change case](#).

## Article topics and case names – internal use only

### Topics

This article relates to the following topics:

- **add:** t\_planchanges
- **add:** t\_reviewingdecisions

### User roles

- **add:** dc\_users\_accessdelegate
- **add:** dc\_users\_complaintsofficer
- **add:** dc\_users\_earlychildhoodpartner
- **add:** dc\_users\_liaisonofficershlo/jlo
- **add:** dc\_users\_localareacoordinator
- **add:** dc\_users\_nationalcontactcentre
- **add:** dc\_users\_participantsupportofficer
- **add:** dc\_users\_paymentsofficer
- **add:** dc\_users\_plannerdelegate
- **add:** dc\_users\_reviewofficer
- **add:** dc\_users\_plannernonpartneredarea



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- **add:** dc\_users\_technicaladvisors

## Case names

You can use this guidance for the:

- **add:** dc\_case\_participantbudgetupdate
- **add:** dc\_case\_planchange

## Version control

Version	Amended by	Brief Description of Change	Status	Date
0.1	DCM308	Content separated out of 'Create a plan change request' article per feedback from SG and Service Delivery stakeholders	DRAFT	2024-02-28
0.2	BCK161	Peer review	DRAFT	2024-02-29
0.3	DCM308	Action peer review feedback Sent for VT Sent for AD review	DRAFT	2024-02-29
0.4	EJW711	EL1 review	DRAFT	2024-02-29
0.5	SGH107	Transfer BIL and SME feedback from KA Create a plan change request. Inclusion of new notes.	DRAFT	2024-03-07
0.6	BCK161	Peer review	DRAFT	2024-03-12
0.7	SGH107	Action peer review feedback	DRAFT	2024-03-12





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Version	Amended by	Brief Description of Change	Status	Date
0.8	SGH107	Action VT Review Number of long sentences:11 (7.28%) Number of Passive Sentences:13 (8.61%) Readability:55/100 Grade Level:7.2	DRAFT	2024-03-13
0.9	EJW711	EL1 review	DRAFT	2024-03-19
0.10	SGH107	Action EL1 review feedback	DRAFT	2024-03-21
0.11	JS0082	EL 2 review	DRAFT	2024-03-25
0.12	SGH107	Action EL2 review feedback	DRAFT	2024-03-25
0.13	CW0032	BM review	DRAFT	2024-04-02
0.14	SGH107	Action BM review feedback	DRAFT	2024-04-02
0.15	SGH107	Transfer BIL feedback	DRAFT	2024-04-12
0.16	SGH107	Action BIL feedback	DRAFT	2024-04-16
0.17	EMN960	EL2 feedback	DRAFT	2024-04-17
1.0	JC0088	Class 3 Approval	DRAFT	2024-04-18



## Knowledge Article

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# Assign and review a plan change case

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**Guidance in this document is not approved for use unless you view it in PACE.**

This article provides guidance for a planner delegate or review officer to:

- assign a plan change case
- contact the participant
- check who requested the plan change
- review the plan change request
- check the plan change type
- add the plan change type on a participant plan change request
- review the complexity of the request.

## Recent updates

### 22 April 2024

- Name changed to assign and review a plan change case.
- Content from article Reassign a plan change case merged into this article.
- Content from article Make a plan change decision merged to this article as content needs to be done as part of reviewing the case.

## Before you start

You have:

- an open plan change case
- read and understood [Our Guideline – Changing your plan \(external\)](#).

## Assign a plan change case

Once a plan change request is submitted, the plan change case is automatically assigned to the **Plan Change Routing Queue**. This means the plan change case will automatically be assigned to the next available delegate.



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To accept and action a plan change case, you **must** accept it via the **Omni-Channel**.

**Note:** You can only reassign a plan change case once it's been accepted via the **Omni-Channel**.

### Contact the participant

To progress a plan change request, you might choose to contact the participant or authorised representative. This will help you understand the request and what changes might be needed to the participant's plan.

To help prepare for your call:

- go to [Guide - Conversation style guide](#) to help support your conversation
- consider if you have enough information or evidence to make a decision whether or not to change the plan
- review the information in the plan change case
- review your reason for the call
- familiarise yourself with what you want to talk to the participant or authorised representative about
- where you need to have a detailed conversation, you may need to schedule a meeting with the participant or authorised representative
- book an interpreter if appropriate. Go to article [Book translation and interpreter services](#).

To record your contact attempts, go to article [Contact attempts and unable to contact in a plan change case](#).

### Check who requested the plan change

Plan change requests can be participant requested or CEO initiated. To check who created the plan change request:

1. In the **Plan Change** case, select the **Decision** tab.
2. Under **Requested by**:
  - if the request is CEO initiated, this will appear as **NDIA**
  - if the request is participant requested, this will appear as **Participant**.



## Knowledge Article

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### Review the plan change request

To help understand the plan change request:

1. From the **Plan Change** case, select the **Decision** tab.
2. Select a **Plan Change Request** to review the:
  - type of request
  - category of the request
  - information captured as part of the request
  - risk assessment to check for any identified risks.

You'll also need to review any supporting documents in the **Evidence** and **Documents** tabs

There may be multiple plan change requests. For each request, consider if:

- the request meets the criteria for a plan variation (s47A) under **What is a plan variation?** in [Our Guideline - Changing your plan \(external\)](#).
- the request meets the criteria for a plan reassessment (s48) under **What is a plan reassessment?** in [Our Guideline - Changing your plan \(external\)](#).
- there are any reasons why we wouldn't change the plan. Go to the heading **When would we decide not to change your plan?** in [Our Guideline - Changing your plan \(external\)](#)
- you need more information to make a decision. If you need more information Go to section **Contact the participant** in this article.

### Action a miscategorised plan change

**Note:** This section is for CEO-initiated request only.

If a CEO-initiated plan change type is incorrect, don't make a decision on the plan change request. Instead, cancel the plan change case. Go to article [Cancel or close a plan change case](#).

You'll have to create a new plan change case with the correct request type. Go to article [Create a plan variation \(s47A\) request](#) or [Create a plan reassessment \(s48\) request](#).

### Complete a variation while awaiting a reassessment

You may decide that a participant requires a plan variation (s47A) to access supports while a plan reassessment (s48) is completed. This may include:

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- updating a fund management type
- changing a stated support provider
- adding emergency and crisis funding. For more information, go to article [Understand crisis or emergency funding](#).

If the variation request is about funded supports, consider whether the participant has enough core flexible funding to cover supports that have been requested. If they do, a plan variation might not be needed.

**Note:** If the request is for crisis or emergency funding, only add enough funding until a CEO-initiated reassessment can be completed. For example, if the reassessment will be done in 2 weeks, add enough funded supports for 2 weeks only.

Follow the steps below if you decide a plan variation (s47A) is required to meet the participant's support needs while awaiting a plan reassessment (s48).

1. Before you action the variation request, you'll need to create a CEO initiated reassessment request. Go to article [Create a plan reassessment \(s48\) request](#).
2. In the **Plan change** case, select the **Decision** tab.
3. Select **Update Legislative Type**.
4. Select variation (s47A) as the legislative type and make a decision on the request. Go to article [Make a plan change decision](#).
5. You'll need to add additional funded supports to the plan to meet the immediate needs of the participant.

The s48 plan change request in the original plan change case would be marked as **Not Required**.

## Check the plan change type

This section doesn't apply for CEO initiated plan change requests. Go to section **Review the complexity of the request** in this article.

Check to make sure the type of plan change is correct. In PACE this is known as the **Legislative Type**.

To check the plan change type:

1. In a **Plan Change** case, select the **Decision** tab.
2. Under **Legislative Type Details** heading, check the **Legislative Type**.
  - **s47A** for plan variation requests



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- **s48** for plan reassessment requests
- **Unknown** for participant requested plan change requests. You'll need to review the information in the plan change request and add the right plan change type for the plan change request. Go to section **Add the plan change type on a participant plan change request** in this article.

### Add the plan change type on a participant plan change request

You'll need to determine an overall plan change type for a **Participant plan change request** where the **Legislative Type** is **Unknown**. You'll need to decide which plan change type best suits the request.

If the request has been created as a:

- participant requested variation (s47A) and the request should be a reassessment (s48). You'll need to make a decision not to vary and then create a new request for a CEO's own initiative reassessment (s48). Go to article [Make a plan change decision](#) then [Create a plan reassessment \(s48\) request](#).
- participant requested reassessment (s48) and the request meets the criteria for a plan variation (s47A), you can make a decision to vary this request. You're still capturing the request, just under a different type of plan change. The option to vary is available for reassessment (s48) requests. Continue reading this article.

### If all requests are for the same plan change type

1. Select **Update Legislative Type**.
2. Select the **Legislative Type** from the drop-down list.
3. Select **Reason** from the drop-down list.
4. **Provide Reason** for the change in legislative type in the free text field.
5. Select **Submit**.

### If there are multiple plan change requests

There may be plan change requests for:

- both a reassessment (s48) and a variation (s47A), or



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- multiple plan variation (s47A) requests.

When more than one area of the participant's plan is impacted, you'll progress these requests as a plan reassessment (s48). The exception to this is if the s47A variation request is needed to meet a participant's support needs before the plan reassessment (s48) can be completed. Go to section **Complete a variation while awaiting a reassessment** in this article.

### Review the complexity of the request

You might need to update the complexity of the plan change request based on the evidence linked to the case. You will need to update the complexity if:

- the participant has complex support needs
- the request is for complex assistive technology
- the request is for complex home modifications.

To update the complexity of the plan change request:

1. In the **Plan Change** case, select the **Decisions** tab.
2. Select **Update Complexity**.
3. Select relevant **Complexity** from the drop-down list.
4. If you've changed the request to a complex amendment, select **Reason** for the change in complexity from the drop-down list. Record the **Reason** in the free text field.

### Next steps

1. You can now make a plan change decision. Go to article [Make a plan change decision](#).

## Article labels – internal use only

### PACE user role names

Add:

dc\_users\_reviewofficer

Delete:

User role name label

### Topics



# Knowledge Article

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Add:

Topic label

Delete:

Topic label

## Case names

Add:

Case name label

Delete:

Case name label

## Ownership

Add:

Ownership label

Delete:

Ownership label

## Version control

Version	Amended by	Brief Description of Change	Status	Date
4.1	DCM308	Merged content from reassign a plan change case and make a plan change decision.	DRAFT	2024-03-14
4.2	SGH107	Peer Review	DRAFT	18.03.2024
4.3	DCM308	Actioned peer review. Sent for EL1 review	DRAFT	2024-03-18
4.4	EJW711	EL1 review	DRAFT	2024-03-20
4.5	DCM308	Action EL1 feedback	DRAFT	2024-03-20
4.6	JS0082 DCM308	EL2 review Sent for VT review	DRAFT	2024-03-25

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		<ul style="list-style-type: none"> <li>• long sentences: 9.30%</li> <li>• passive voice: 8.84%</li> <li>• readability: 63</li> <li>• grade level: 6.3</li> </ul>		
4.7	DCM308	Action EL2 feedback Collate and action VT feedback Cleaned and sent for BiL review	DRAFT	2024-03-25
4.8	CW0032	BM review	DRAFT	2024-04-01
4.9	DCM308	Action BM feedback Cleaned and sent for BiL review	DRAFT	2024-04-02
4.10	EMN960	EL2 review	DRAFT	2024-04-17
4.11	SGH107 JC0088	Action EL2 review feedback Sent for BM approval BM review	DRAFT	2024-04-17
4.12	DCM308	Action BM feedback	DRAFT	2024-04-18
5.0	JC0088	Class 3 Approval	APPROVED	2024-04-19



# SGP Knowledge Article Template

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## Make a plan change decision

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This article provides guidance for a planner delegate or review officer to:

- make a decision on a plan change request
- record an overall plan change decision
- communicate your decision.

### Recent updates

#### 22 April 2024

- Removal of content about what you need to consider before making a decision. This information has been moved to article [Assign and review the plan change case](#).
- Simplified steps in this article to be about making and recording a decision on a plan change request.

### Before you start

**Note:** If you have a plan change request over 21 days **do not** use this article, go to [Make a decision on a plan change \(s47A and s48\) request over 21 days](#).

You have:

- been allocated or assigned yourself a plan change case (received less than 21 days ago).
- reviewed the plan change request. Go to article [Assign and review the plan change case](#).
- read and understood [Our Guideline – Changing your plan \(external\)](#).

### Make a decision on a plan change request

You'll need to record your decision for each plan change request in the plan change case. Depending on the request, some plan change requests might be marked as **Not Required**. If the status of the plan change request is **Not Required**, you won't be able to make a decision.

1. In the **Plan Change** case, select the **Decision** tab.



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2. Select the correct hyperlink within the **Plan Change Requests** table.
3. On the **Plan Change Request** screen, select the **Decision** tab.
4. Select a decision from the **What decision do you want to make?** drop-down list.

**Note:** If any of the plan change requests are CEO-initiated, you won't be able to decline the request.

5. Select a **Justification** from the drop-down list.
6. Select a **Sub-justification** from the drop-down list.
7. Select **Edit Detail** and enter an explanation of the decision in **Details** field.
8. Select **Save**.
9. If required, add any supporting evidence for the decision by selecting **New**.
10. Select **Submit**.

## Record an overall plan change decision

### s47A variation decisions

For s47A requests, you'll need to record an overall plan change decision. You'll need to do this after you've recorded your decision on each plan change request in the case.

1. In the **Plan Change** case, select the **Decision** tab.
2. Select **Overall Decision**.
3. Select **Decision** from the drop-down list.
4. Select **Justification** from the drop-down list.
5. Enter **Justification Details** into the free text field.
6. If you need to add evidence to the decision, select **New** and go to step 7. Otherwise, go to step 11.
7. To add evidence, select the **Evidence Type** from the drop-down list:
  - If you select **Document**, go to step 8.
  - If you select **Other**, go to step 9.
8. Enter the **Evidence Link** name. You can view linked evidence on the **Evidence** tab of the **Plan Approval** case. To learn more about linking evidence, go to article [Add and link evidence to a case](#).



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9. Enter the **Evidence Explanation** into the free text field.

10. Select **Save**.

11. Select **Submit**.

**Note:** Once the overall decision is made, this can't be changed.

12. In the **Plan Change** case, select the **Decision** tab.

13. Select **Generate Decision Letter**.

14. Select **Yes** under **Are you sure you want to generate the Decision Letter?**

15. Select **Submit**.

If you want to view the decision letter, go to article [Understand and view plan change decision letters](#).

If the overall decision is not to vary because a plan reassessment (s48) is required, you'll need to create a CEO-initiated plan reassessment (s48) request. Go to article [Create a plan reassessment \(s48\) request](#).

## S48 reassessment decisions

The overall decision on a s48 plan change case is determined when making the decision on the individual plan change request.

1. In the **Plan Change** case, select the **Decision** tab.

2. Select **Generate Decision Letter**.

3. Select **Yes** under **Are you sure you want to generate the Decision Letter?**

4. Select **Submit**.

If you want to view the decision letter, go to article [Understand and view plan change decision letters](#).

## Communicate your decision

You'll need to let the participant know once you've made your decision.

To record your contact attempts, go to article [Contact attempts and unable to contact in a plan change case](#).

## Next steps

You or another delegate may complete the next steps depending on the routing of the case.



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1. If you're doing a variation, from the **Plan Change** case, select the **Budget Update** tab. To complete the plan variation, go to article [Action a budget update](#).
2. If you're doing a reassessment, from the **Plan Change** case, select the **Reassessment** tab. Select the **Case** hyperlink to open the **Plan Approval** case to complete the reassessment. Go to article [Change the draft budget](#).
3. For decisions not to vary or reassess, no further steps are required. Correspondence has been generated and the plan change case will move to the **Completed** stage. The plan change case is now closed.

## Article labels – internal use only

### PACE user role names

Add:

User role name label

Delete:

dc\_users\_nationalreassessmentdelegate

### Topics

Add:

Topic label

Delete:

Topic label

### Case names

Add:

Case name label

Delete:

Case name label

### Ownership

Add:

Ownership label



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Delete:

Ownership label

## Version control

Version	Amended by	Brief Description of Change	Status	Date
4.0	CW0032	Class 2 approval	APPROVED	2023-10-27
4.1	AMK633	Continuous improvement	DRAFT	2023-10-30
4.2	BCK161	Peer review	DRAFT	2023-11-03
4.3	AMK633	Action peer review	DRAFT	2023-11-06
4.4	EJW711	EL1 review	DRAFT	2023-11-07
4.5	AMK633	Action EL1 feedback	DRAFT	2023-11-08
4.6	JS0082	EL2 review to go to BiLS	DRAFT	2023-11-21
4.7	BCK161	Transfer BiL feedback.	DRAFT	2023-11-30
4.8	BCK161	Action BiL feedback Transfer and action CI feedback 12/12.	DRAFT	2023-12-05
4.9	JS0082	EL2 review	DRAFT	2023-12-13
4.10	BCK161	Action EL2 2024-01-30 action additional BiL comment re remove role.	DRAFT	2023-12-14
4.11	DCM308 CW0032	Collate and action additional BIL feedback BM review	DRAFT	2024-01-31
4.12	DCM308	Action BM feedback Progress for Class 2 approval	DRAFT	2024-02-01



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Version	Amended by	Brief Description of Change	Status	Date
4.13	BCK161	Minor edits to prepare for EL1 review.	DRAFT	2024-02-06
4.14	EJW711	EL1 review BCK161 actioned comment re link.	DRAFT	2024-02-15
4.15	JS0082	EL2 review with comments	DRAFT	2024-02-23
4.16	BCK161	Action EL2 review	DRAFT	2024-02-23
4.17	BCK161	Transfer BiL feedback	DRAFT	2024-02-27
4.18	DD0014	EL1 review	DRAFT	2024-02-29
4.19	DCM308	Action EL1 feedback Restructured article. Decision making content moved to article assign and review a plan change case.	DRAFT	2024-03-01
4.20	SGH107	Peer Review	DRAFT	2024-03-18
4.21	DCM308	Action peer review feedback	DRAFT	2024-03-18
4.22	EJW711	EL1 review	DRAFT	2024-03-20
4.23	DCM308	Action EL1 feedback	DRAFT	2024-03-20
4.24	JS0082	EL2 review	DRAFT	2024-03-25
4.25	DCM308	Action EL2 feedback Sent for BiL review	DRAFT	2024-03-25
4.26	CW0032	BM review	DRAFT	2024-04-01
4.27	DCM308	Action BM feedback Cleaned for BiL review	DRAFT	2024-04-02
4.28	EMN960	EL2 review	DRAFT	2024-04-17

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Version	Amended by	Brief Description of Change	Status	Date
5.0	JC0088	Class 3 Approval	DRAFT	2024-04-18





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## Prepare to submit a plan change request

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This article provides guidance for a local area coordinator, early childhood partner, planner delegate, payments officer, review officer, complaints officer, participant support officer, access delegate, technical advisors, National Contact Centre, liaison officers (HLO/JLO), complex support needs (CSN) planner to:

- check authority to request a plan change
- check supporting information for a plan change request
- understand if the participant is at risk
- check if the participant's current plan is in PACE or SAP CRM
- check for open plan change cases
- determine the plan change type.

## Recent updates

### 22 April 2024

- Renamed article from Create a plan change request to Prepare to submit a plan change request.
- Removed content describing plan reassessment and plan variations request categories. Content moved to article [Understand and choose the right plan change request](#).
- Removed content that explains how to create a plan change case. Content moved to articles [Create a participant plan change request where the legislative type isn't specified](#), [Create a plan variation \(s47A\) request](#), and [Create a plan reassessment \(s48\) request](#).
- Added content that explains how to check if the plan is in PACE.
- Added content that explains how to check for open cases.
- Updated Next Steps.

## Before you start

You have:

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- received a plan change request.
- read and understood [Our Guideline – Changing your plan \(external\)](#)
- read and understood [Our Guideline – Your privacy and information \(external\)](#).

## Check authority to request a plan change

When there's a request for a plan change, you'll need to determine whether the person is authorised to make the request. You can only accept a plan change request from a participant or authorised representative.

If you think there's a risk to the participant, refer to section **Understand if the participant is at risk** in this article.

To learn more about authorities, refer to [Our Guideline – Your privacy and information \(external\)](#).

## Verify identity and consent

When a plan change has been requested, you **must**:

- let the person know that you need to confirm their details before proceeding
- complete a security check by requesting 3 pieces of personal or unique information about themselves. Unique means that a limited number of people would be able to provide the information. For example, date of birth, home address, mobile phone number or email address.

If the person requesting the plan change isn't the participant, you'll need to check the person has the authority to make the request. Go to article [Check consent, nominee, child representative or self-representation authorities](#). The person will need to have the Submit a request for a Plan Change authority.

If the person advises they have consent, but this isn't recorded in PACE, you won't be able to proceed. To learn more, go to article [Consider a request for personal information](#). You can make an outbound call to the participant or their authorised representative to gain consent to proceed.

**Note:** If the person is recorded in SAP CRM but hasn't transitioned to the PACE person account, you must verify their identity and consent. Go to articles [Understand consent requirements](#) and [Understand the articles to use for the Managed Authorised Representative case](#).

If you're unsure if the person asking for the plan change has the authority or consent to do so, talk to your line manager. They may also seek advice from [privacy@ndis.gov.au](mailto:privacy@ndis.gov.au).



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For more information go to [Our Guideline – Your privacy and information \(external\)](#).

## Check supporting information for a plan change request

You can receive a plan change request verbally, in an email or in a change of circumstances form. The change of circumstances form doesn't have to be completed to submit a plan change request.

The participant or authorised representative may provide information to support their plan change request which shows their situation has changed. This can include new assessments or reports about disability-related support needs. You'll need to add this to the plan change case. Go to article [Add documents to a case](#).

Make sure the participant or authorised representative has submitted all the information to support their request. This needs to be submitted before you create the plan change request.

You must:

- link any evidence to the plan change case. Refer to article [Add and link evidence to a case](#).
- tell the participant or authorised representative they will receive a letter once the plan change request is created. The letter will have information about what to expect when a request is created. Go to article [Check a person's preferred contact method](#) to confirm how the letter will be received.

You should make sure all of the participant information recorded in PACE is correct. If it's not, create the relevant cases in PACE to capture any information relating to the participant's request. These may include:

- an **Update Person Account** case to capture any change to the person account, including recording new disabilities, if applicable. Refer to article [Update a person account](#).
- a **Check-In** case to talk to the participant and find out more about the change in their situation. Refer to article [Create a check-in case](#).

Include as much relevant information as possible for the delegate to consider when reviewing the plan change request.

## Understand if the participant is at risk

You may identify that the participant is at risk because of a change in their situation or as part of the plan request.



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**Note:** If you identify an imminent danger or risk, you should contact the appropriate emergency service on 000.

When you create the plan change request, you must complete the risk matrix. This is where you can escalate the request, if required.

You may need to report a risk to the participant using the Participant Critical Incident Framework on the [Participant Critical Incidents](#) intranet page.

**Note:** Reportable Participant Critical Incidents must be reported in a Participant Critical Incident case.

For information on reportable incidents, refer to articles [Understand participant critical incidents](#) and [Create a participant critical incident case](#).

If you need further assistance, contact your line manager to discuss the next steps. Partners in the Community (PiTC) or National Contact Centre (NCC) staff, contact your supervisor or manager.

## Check if the current plan is in PACE or SAP CRM

You'll need to check if the participant's current plan is in PACE or SAP CRM. There are multiple ways to check this including:

- from the **Person Account**, select the **Details** tab. Under the **Overview** heading, next to **Current Plan**, it will say SAP CRM Plan
- from the **Person Account**, select the **Details** tab. Under the **Account Information** heading, check Planning Ceased In SAP CRM. If No, the participant's plan is still in SAP CRM
- from the **Person Account**, select the **My Profile** tab. Select the **Plan** tab. If there are no plans listed under the **Plan** heading, the participant's plan is still in SAP CRM.

If the participant's current plan is in SAP CRM, a CEO's own initiative s48 plan change is required to transition the participant's plan from SAP CRM to PACE. Go to article [Create a plan reassessment \(s48\) request](#).

## Check for open plan change cases

You must check if the participant already has an open plan change case before you create a new one. This is to make sure there aren't duplicate cases for the same request.



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**Note:** If there is in an Internal Review case which relates to the same request. Do not create a new plan change request. You'll need to create an internal note on the internal review case for the review delegate to action. Go to article [Log an activity or internal note](#).

To check for any open plan change cases:

1. On the **Person Account**, select the **Cases** tab.
2. Under **Open Cases**, select the **Case Record Type** heading to sort the list of open cases.
3. Review if there are any additional plan change cases before you continue. If there are no open plan change cases, go to section **Determine the plan change type** in this article.
4. If there's one or more open plan change cases, you'll need to determine if this is an additional request or if it's further information about an existing request.
  - If it's further information for an existing request, you'll need to add this to the existing case. Go to article [Add documents to a case](#). You'll also need to log an activity with what information has been provided. Go to article [Log an activity or internal note](#).
  - If it's an additional plan change request, go to the **Decision** tab in the plan change case and check the legislative type under the legislative type details heading.

If the existing plan change request is:

- s47A, you'll only be able to create another s47A request. Go to article [Create a plan variation \(s47A\) request](#).
- s48, you'll only be able to create another s48 request. Go to article [Create a plan reassessment \(s48\) request](#).
- Unknown, you'll be able to create a participant plan change request, a s48 request, or a s47A request. Go to article [Create a participant plan change request where the legislative type isn't specified](#).

If the new request is a different legislative type than above, you'll need to create a new plan change case to capture the new request.

You'll need to close the plan change case if:

- There's no plan change request recorded, or
- There's a closure reason, but the case is still open.

To do this, go to article [Cancel or close a plan change case](#).



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If the participant's circumstances have changed from the original request, you can discuss with them if they want to withdraw any of the open requests. To withdraw a plan change request, you'll need the consent of the participant or authorised representative. Go to article [Withdraw a plan change request](#).

If the request has been withdrawn, you can create a new plan change request that captures the participant's current circumstances.

## Determine the plan change type

You'll need to decide what the participant is requesting. Go to article [Understand and choose the right plan change request](#) to understand:

- plan change requests
- internal review requests
- situations that don't require an internal review or plan change.

## Next Steps

If you haven't decided the legislative type of the plan change request and the participant hasn't specified the type of plan change request, go to:

- [Create a participant plan change request where the legislative type isn't specified](#).

If you have decided or the participant has requested a specific type of plan change request, go to:

- [Create a plan variation \(s47A\) request](#) or
- [Create a plan reassessment \(s48\) request](#).

## Article topics and case names – internal use only

### Topics

This article relates to the following topics:

- t\_planchanges
- t\_reviewingdecisions

### User roles

- dc\_users\_complaintsofficer
- **remove:** dc\_users\_nationalreassessmentdelegate



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- **remove:** dc\_users\_technicaladvisors
- dc\_users\_participantsupportofficer
- dc\_users\_plannernonpartneredarea

## Case names

You can use this guidance for the:

- dc\_case\_participantbudgetupdate
- dc\_case\_planchange

## Version control

Version	Amended by	Brief Description of Change	Status	Date
5.1	CW0032	Class 2 Approval	APPROVED	2023-10-27
5.1	AMK633	Continuous improvement	DRAFT	2023-10-30
5.2	BCK161	Peer review	DRAFT	2023-11-03
5.3	AMK633	Action peer review	DRAFT	2023-11-03
5.4	EJW711	EL1 review	DRAFT	2023-11-07
5.5	AMK633	Action EL1 review	DRAFT	2023-11-08
5.6	JS0082	EL2 review to progress to BiLs	DRAFT	2023-11-14
5.7	GBD	Transfer BiL feedback	DRAFT	2023-12-01
5.8	BCK161	Action BiL feedback	DRAFT	2023-12-05
5.9	BCK161	Actioning BiL feedback 12/12 actioned Hypercare feedback	DRAFT	2023-12-06
5.10	JS0082	EL2 review	DRAFT	2023-12-13
5.11	BCK161	Action EL2 review	DRAFT	2023-12-14



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Version	Amended by	Brief Description of Change	Status	Date
5.12	BCK161 DCM308	Collate SME feedback <ul style="list-style-type: none"> <li>Service Delivery Business Implementation Lead</li> </ul>	DRAFT	2024-01-30
5.13	BCK161 DCM308	Action BIL feedback Cleaned for BIL endorsement	DRAFT	2024-01-30
5.14	DCM308 CW0032	Collate and action additional SD BiL feedback. BM review	DRAFT	2024-01-31
5.15	DCM308	Action BM feedback Progressed for Class 2 approval	DRAFT	2024-02-01
5.16	BCK161	Action BM feedback	DRAFT	2024-02-06
5.17	EJW711	EL1 review Added by BCK161 as was missing.	DRAFT	2024-02-15
5.18	BCK161	Action EL1 review	DRAFT	2024-02-15
5.19	DCM308	Added new section to capture subject line as per hypercare ticket request: <a href="#">[SGPPCC-628] KA - Create a plan change request - Jira (ndis.gov.au)</a>	DRAFT	2024-02-22
5.20	JS0082	Class 2 review with comments	DRAFT	2024-02-23
5.21	BCK161	Action EL2 review	DRAFT	2024-02-23
5.22	BCK161	Transfer and action BiL and SME feedback	DRAFT	2024-02-27
5.23	BCK161 SGH107	Transfer Partner feedback	DRAFT	2024-03-06





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Version	Amended by	Brief Description of Change	Status	Date
5.24	EJW711	Added feedback about plan change summary	DRAFT	2024-03-07
5.25	UFEX8 BCK161	Plan change summary as per EL1 feedback and actioning partner feedback.	DRAFT	2024-03-07
5.26	DCM308	Peer review	DRAFT	2024-12-03
5.27	UFEX8	Action peer review feedback	DRAFT	2024-03-13
5.28	UFEX8	Clean version created for VT	DRAFT	2024-03-14
5.29	UFEX8	Actioned VT Feedback	DRAFT	2024-03-14
5.30	EJW711	EL1 review	DRAFT	2024-03-19
5.31	UFEX8	Action EL1 feedback	DRAFT	2024-03-20
5.32	JS0082	EL2 review	DRAFT	2024-03-25
5.33	DCM308	Action EL2 feedback Cleaned and sent for BiL review	DRAFT	2024-03-25
5.34	CW0032	BM review	DRAFT	2024-04-02
5.35	SGH107	Action BM review feedback	DRAFT	2024-04-02
5.36	SGH107	Collate SME & BIL feedback	DRAFT	2024-04-12
5.37	DCM308 EMN960	Action SME and BIL feedback EL2 Director review	DRAFT	2024-04-16
5.38	DCM308	Action EL2 feedback Sent for BM approval	DRAFT	2024-04-17
6.0	JC0088	Class 3 Approval	DRAFT	2024-04-18



## Knowledge Article

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# Progress a plan change (s47A and s48) request over 21 days

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**Guidance in this document is not approved for use unless you view it in PACE.**

This article provides guidance for a planner delegate to:

- understand what happens when a plan change request hasn't met the PSG timeframe of 21 days
- contact the participant about their request
- update the plan change request to completed
- stop incorrect automated PACE letters being sent
- create an internal review case
- make a decision on the internal review case
- start all correspondence once internal review case completed.

## Recent updates

### 15 April 2024

- Added instructions to manually stop correspondence to prevent incorrect automated PACE letters being sent and restart once the process is complete.

### 12 February 2024

- New article to support you to progress a plan change request where the Participant Service Guarantee (PSG) timeframe of 21 days hasn't been met.

## Before you start

You have:

- been assigned a participant-initiated plan change request where the PSG timeframe to make a decision in 21 days has not been met.

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- the right Delegations and Validations to submit and approve internal review decisions in PACE. For this you'll need 'Validation Delegation Review of Decisions' and 'Validation Internal Review Decision Preparation skills'. If needed, use the PACE User Management case to request the skills be added. Refer to intranet page [PACE User Management – Troubleshooting guide](#).
- read and understood relevant sections of [Our Guideline – Changing your plan \(external\)](#) - for example, for variations 'What is a plan variation?' and for reassessments 'What is plan reassessment?'
- read and understood relevant sections of [Our Guideline – Reviewing our decisions \(external\)](#) - for example, 'What are internal and external reviews?'
- reviewed the plan change request. For 'Participant plan change request' types, determine if s47A or s48 is most appropriate for the request.

### Understand what happens when a plan change request hasn't met the PSG timeframe of 21 days

The Participant Service Guarantee requires us to make a plan change decision in 21 days. When we don't meet this timeframe, we are taken to have decided not to reassess or vary the plan. This creates an automatic internal review. Refer to [OG – Changing your plan – What happens after I request a change to my plan \(external\)](#).

You need to:

- attempt to contact the participant or authorised representative about their request if you need more information
- update the plan change request to completed status
- create an internal review case
- make a decision on the internal review case to action the outcome for the participant. This includes sending a manual letter with the outcome of your decision.

### Contact the participant about their request

To action the plan change request, you may need to contact the participant or the authorised representative to clarify their request or gather additional details.

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When you contact the participant or authorised representative, consider their preferred contact method. Go to article [Check a participant's preferred contact method](#). If the participant's preferred correspondence method is email or letter, you should still attempt to call them to clarify the request.

**Note:** The exception is if the person has requested no phone calls and to contact them via the National Relay Service, or if they have not provided a phone number.

When you contact the participant or their representative, you should:

- go to article [Send an SMS in PACE](#) to understand SMS options in PACE.
- make 3 contact attempts (a maximum of 2 per day, at different times of the day) to the participant or their authorised representative.
- if you reach voicemail and the person identifies themselves, leave a brief message requesting they contact the NDIA on 1800 800 110.
- record each contact attempt on the plan change case. Refer to article [Log an activity or internal note](#).

You should also contact the participant to tell them the outcome of your decision. Go to section **Confirm the decision** or **Set aside the decision** in this article.

### Update plan change request to completed status

You need to manually change the plan change request over 21 days to the completed status.

1. From the **Plan Change** case, select the **Details** tab.
2. Update **Closure Details** by selecting **Edit Closure Comment** (pencil).
3. In **Closure Comment** free text field, record the closure reason as **Plan change request decision not made within the required 21 days**.
4. Select **Save**.
5. Select the **Closed** chevron and then select the button **Select Closed Status**.
6. Select **Completed** from the drop-down box.
7. Select **Save**.
8. Note the **Plan Change** case number as you need this when creating the Internal Review case.

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9. Add an internal note to record you've completed the case without making a decision as the request is over 21 days and will progress as an internal review. Refer to article [Log an activity or internal note](#).
10. From the **Decision** tab, note the **Legislative Review** type under the **Plan Change Requests** heading as you'll need this when creating the Internal Review case.
11. The chevron will now show as **Closed** and the plan change case will be closed.

### Stop all correspondence

You need to manually stop correspondence from being sent to the participant or their authorised representative while completing this process.

1. Check the person record to identify authorised representatives who will also receive correspondence. Follow the guidance in article [Check consent, nominee, child representative or self-representation authorities](#).
2. Stop all correspondence for the participant and any relevant authorised representatives by following the guidance in article [Manually stop or start correspondence to a person or authorised representative](#). This will make sure the participant or authorised representative only receives the relevant plan change request over 21 days decision letter.

### Create an internal review case

You now need to create an internal review case to make your decision.

From the **Person Account**:

1. Select **Cases** tab.
2. Select **New**.
3. Select **Internal Review**.
4. Select **Next**.
5. Check **Internal** is selected for **Case Origin**.
6. Select **Save**. The internal review will now show as **Draft**.

### Create an internal review request

From the **Internal Review** case, select **Request** tab.

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1. Select **Date review request received**. Record the date as 21 days after the plan change request was received.
2. If you're backdating the request, record a reason for this in the **Provide a reason why the request is being backdated and reference evidence record** free text. For example, 'An automatic internal review has been created as plan change request decision was not made in the PSG timeframe of 21 days'.
3. Select relevant **Who is requesting review?** option. Record this as the person who initially submitted the plan change request.
4. Select **Next**.

### Complete the Decisions step

1. Select **Decision from SAP CRM**.  
**Note:** The decision won't be available from **Decision Log** as the plan change request has been automatically declined.
2. Select **Planning** from the **Type** drop down list.
3. Select **New**.
4. On the **Reviewable SAP CRM decisions** popup, select the **Decision Name** from the drop down list. This will be **Lapsed S47** or **Lapsed S48**.
5. Add **Original Decision Date**, record this as 21 days after the plan change request was received.
6. Record the **Decision Reference** as the plan change case number.
7. Select the checkbox **Unable to find original decision maker user ID**.
8. Record your user ID in the **Decision user code** field. This is because you're the person who received the plan change request where the decision was not made within the PSG timeframe of 21 days.
9. Select **Save**.
10. Select **Next**.

### Complete the Add Request Details step

1. Record the reason in the **Capture Reasons for Review Request** free text:

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- for a **variation**: 'An automatic internal review has been created as plan change request decision was not made in the PSG timeframe of 21 days. The delegate is taken to have decided not to vary the plan'.
  - for a **reassessment**: 'An automatic internal review has been created as plan change request decision was not made in the PSG timeframe of 21 days. The delegate is taken to have decided not to reassess the plan'.
2. Select **Save**.
  3. Select **Next**.

### Complete the Documents step

1. Link any documents provided in the plan change request, if needed. Select **Link Documents** to link documents from the plan change case to the internal review case. Learn more on adding or linking documents in article [Add documents to a case](#).
2. Add any new documents provided by the participant or their authorised representative, if needed. Select **Add Documents** to upload new documents.
3. Select **Next**.

### Complete the Risk Matrix step

1. Under **Has there been any risk identified that may impact the participant, nominee or NDIS associated with this request?**, select **Yes** or **No**.
2. If **Yes**, you need to select **Yes** or **No** to each risk question.
3. For each risk identified, select relevant risk level: **LOW, MEDIUM, HIGH** or **EXTREME**.
4. Select **Next**.

### Complete the Request Summary step

1. Review information recorded.
2. If any information needs to be corrected or added, select the relevant step to return and update.
3. Once everything is correct, select **Next**.

### Complete the Submit Internal Review Request step

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1. Record your call notes for conversations with participant or authorised representative in the **Call Notes** free text field, is applicable.
2. Select **Submit**.
3. The internal review case stage will change to **New**. New internal review cases are automatically assigned to the Internal Review Routing Queue and you'll need to update the case owner to yourself.
4. From **Change Case Owner** (in the top right corner) in **Please select if the case owner is a user or a queue** select **User**.
5. In **Select User** search and select yourself.
6. Select **Change Owner** and **Finish**.
7. The chevron will now move to **In Progress**.

### Make a decision on an internal review case

From the **Internal Review** case:

1. Select **Decision** tab.
2. From the **Request for PACE decisions** table, select the hyperlink under **Name** heading
3. On the **RORD Request** screen, select **Make a decision** on the right-hand side of the screen.

### Complete the Decision pop up

1. Within the decision pop up, complete the fields that can be completed. Most of the fields will be automatically populated.
2. From **Decision** step in **Decision Outcome** select the relevant option for the plan change request:
  - Set Aside
  - Confirm.
3. Select **Next – Justification**.
4. From **Justification** step, select available **Justification**.
5. Select available **Sub-justification**.
6. Select **Next – Evidence**.

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7. From **Evidence** step, complete **Evidence Name** free text.
8. Select **Evidence Type** from the drop down options.
9. If selecting **Document**, complete **Evidence Link**. The **Evidence Link** name can be found in the **Evidence** tab under the **Document Type** heading. The evidence linked must relate to your justifications.
10. Complete **Explanation** free text.
11. Select **Next**.
12. From the **Confirmation** step, select **Done** which will move the decision to the **drafted decision status** in the **Requests for PACE decisions** table.

### Submit the internal review decision:

From the **Internal Review** case:

1. From the **Decision** tab select **Submit Decisions**.
2. From the **Confirmation** step, select **Next**.
3. From the **Summary** step, select **Done**.
4. Select **Confirm manual letter has been sent**.
5. From the **Confirmation** step, select an appropriate option from **Did you speak to the participant about decision**. Select **Next**
6. From the **Decision Letter Sent** step, select **Next**.
7. You'll now be returned to the **Internal Review** case.
8. You send the letter when you either:
  - Confirm the decision by following the steps in section **Confirm the decision**.
  - Set aside the decision by following the steps in section **Set aside the decision**.
9. Once you've made the decision, you'll need to turn all correspondence back on. Follow the steps in section **Start all correspondence**.
10. You may need to manually close the **Internal Review** case. For information on closing the **Internal Review** case, go to article [IRT – Complete remaining closure tasks for an internal review](#).

### Confirm the decision

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## Knowledge Article

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1. Advise the participant or authorised representative you've decided to confirm the automatic decline of their request. You'll need to explain what this means. Confirm you'll send them a letter with the outcome of your decision. Tell them that they have AAT rights and if they want a review in the AAT they will need to lodge an application within 28 days.
2. Follow the guidance in article [Send a manual letter](#) to send the participant the [Letter – s47A and s48 decision outside 21 days manual decline](#).

### Set aside the decision

1. From the **Decision** tab, select either:
  - **Create Budget Update Case**, if you decided to vary the plan.
  - **Create a Plan Approval Case**, if you decided to reassess the plan.

**Note:** Only the option relevant to your decision will be available to select.
2. A child case will now be created.
3. Select **View Child Case** to either:
  - progress the **Create Budget Update Case**, go to article [Action a budget update](#)
  - progress the **Create a Plan Approval Case**, go to article [Change the draft budget](#).
4. Once the plan has been updated, or a new plan is approved, you need to advise the participant or authorised representative of your decision.
5. Explain to the participant or authorised representative that you've decided to vary or reassess the plan. Tell them:
  - how the plan will be provided
  - what has changed in the plan and offer them support to implement their plan
  - advise them that you'll send a letter with the outcome.
6. Use the article [Send a manual letter](#) to send the manual decision outcome letter:
  - for a variation send the participant [Letter – s47A and s48 decision manual vary](#).
  - for a reassessment send the participant [Letter – s47A and s48 decision outside 21 days manual reassess](#).

### Start all correspondence

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## Knowledge Article

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You need to manually start correspondence to the participant or authorised representative to make sure they receive future correspondence once the process is complete.

1. Confirm whether authorised representatives should also receive correspondence for the participant. Follow the guidance in article [Check consent, nominee, child representative or self-representation authorities](#).
2. Start all correspondence to the participant and any relevant authorised representatives by following the guidance in article [Manually stop or start correspondence to a person or authorised representative](#).

### Article labels – internal use only

#### PACE user role names

Add:

User role name label

Delete:

User role name label

#### Topics

Add:

t\_correspondence

Delete:

Topic label

#### Case names

Add:

Case name label

Delete:

Case name label

#### Ownership

Add:

Ownership label

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# Knowledge Article

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Delete:

Ownership label

## Version control

Version	Amended by	Brief Description of Change	Status	Date
1.1	UFEX8	Include knowledge to apply stop all correspondence flag	DRAFT	2024-03-06
1.2	BTM847	Peer review	DRAFT	2024-03-12
1.3	UFEX8 RPK268	Actioned peer review comments. Initial AD review	DRAFT	2024-03-12
1.4	UFEX8	Action AD feedback	DRAFT	2024-03-18
1.5	RPK268	AD review	DRAFT	2024-03-24
1.6	UFEX8	Action AD feedback. Create clean version for Stakeholder review.	DRAFT	2024-03-25
1.7	UFEX8	Action Stakeholder feedback	DRAFT	2024-04-02
1.8	RPK268	EL1 review	DRAFT	2024-04-03
1.9	JS0082	EL2 review	DRAFT	2024-04-04
2.0	CW0032	Class 2 approval	APPROVED	2024-04-09

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# SGP Knowledge Article Template

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## Understand and view plan change decision letters

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This article provides guidance for a **planner delegate** and **internal review delegate** to:

- understand plan change decision letters
- understand what the decision letter includes
- view the plan change decision letter.

### Recent updates

#### October 2023

Current guidance

### Before you start

You have:

- read and understood [Our Guideline - Changing your plan \(external\)](#)
- made a plan change decision. Refer to article [Make a plan change decision](#).

### Understand plan change decision letters

A change in a participant's plan is determined under two sections of the [National Disability Insurance Scheme Act 2013 \(NDIS Act\) \(external\)](#).

- Section 47A, known as s47A, is for a variation of a participant's plan on the request of a participant or the CEO's own initiative.
- Section 48, known as s48, is for the reassessment of a participant's plan on the request of a participant or the CEO's own initiative



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The possible outcomes during a plan change are:

- s47A request: Approved
- s47A request: Partially approved
- s47A request: Unsuccessful
- s48 request: Approved
- s48 request: Decision to vary instead of reassess
- s48 request: Unsuccessful
- Withdrawal of a plan change request.

## What does the decision letter include?

Depending on the type and outcome of the request, each outcome letter will include different information. Below are the different letters that can be generated in a plan change case and what is included in each letter.

### s47A Approved

- we have decided to vary their plan
- we will contact them to vary their plan
- once we vary their plan, we will send them an updated plan.

### s47A Partially approved

- we have partially varied their plan
- the plan variations we have approved
- the plan variations we have not approved
- we will send them an updated plan.

### s47A Unsuccessful

- we have decided not to vary their plan
- why we have made this decision
- their plan has not changed.

### s48 Approved

- we have decided to reassess their plan
- when we will contact them to talk about their reassessment



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- how to prepare for their reassessment
- they can use their current plan in the meantime.

## s48 Vary instead of reassess

- we have decided to vary instead of reassess their plan
- we will contact them to vary their plan
- once we vary their plan, we will send them their updated plan.

## s48 Unsuccessful

- we have decided not to reassess their plan
- why we have made this decision
- their plan has not changed.

## Withdrawal of a plan change request

- we have received their request to withdraw the plan change request
- which plan change requests have been withdrawn
- what the participant or authorised representative needs to do

**Note:** If this is only a partial withdrawal, there will also be decision on the other plan change request. This decision will generate one of the other plan change decision letters.

**Note:** Depending on the outcome and the letter the participant or authorised representative has received, you may need to explain how you came to that decision. To learn more about how to explain a decision, refer to article [Explain a plan change decision](#).

## View the plan change decision letter

You can view a decision letter from within the plan change case or from the person account.

From a **Plan Change** case or **Person Account**:

1. Select the **Documents** tab.
2. Select the document you want to view.
3. Select the document hyperlink next to **Name**. This will open a new tab.
4. Select the **Related** tab.
5. Open the letter from **Files**.



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**Note:** For more information on how plan change decision letters are generated, refer to article [Make a plan change decision](#).

## Article topics and case names – internal use only

### Topics

This article relates to the following topics:

- **Add:** t\_planmanagement
- **Add:** t\_implementation

### Case names

You can use this guidance for the:

- **Add:** case\_planapproval
- **Add:** case\_planchange
- **Add:** case\_participantbudgetupdate

## Version control

Version	Amended by	Brief Description of Change	Status	Date
1.2	AMK633	Article aligned to SOP Create or update a knowledge article during CI.  Communicating s48 document marked as 'did not proceed'. 'Communicating s47 decisions' now merged and renamed 'Understand plan change decision letters'.	DRAFT	2023-05-31
1.3	MSM312	Peer review	DRAFT	2023-06-06





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Version	Amended by	Brief Description of Change	Status	Date
1.4	AMK633	Action peer review comments and save clean version for VT  Number of long sentences: 0 (0.00%)  Number of Passive Sentences: 5 (6.10%)  Readability: 65  Grade Level: 5.6	DRAFT	2023-06-07
1.5	AMK633	Action VT comments	DRAFT	2023-06-07
1.6	DD0014	EL1 review	DRAFT	2023-06-08
1.7	RWN540	Amendments following EL1 review	DRAFT	2023-06-09
1.8	MJB576	Sent for EL2 Class 1 approval	DRAFT	2023-06-09
1.9	JS0082	Class 1 review  CLEAN for BiL	DRAFT	2023-06-09
1.10	DCM308	Change to system steps in View the plan change decision letter.  Sent for EL1 review	DRAFT	2023-08-08
1.11	DD0014	EL1 review	DRAFT	2023-08-11
1.12	DCM308	Actioned EL1 feedback  Sent for EL2 review and clearance to Business Implementation Leads.	DRAFT	2023-08-17
1.13	JS0082	EL2 review to send to BiLS  Cleaned for BiL review	DRAFT	2023-08-18
2.0	JS0082	Class 1 Approval	APPROVED	2023-09-27



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# SGP Knowledge Article Template

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## Understand and choose the right plan change request

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This article provides guidance for a access delegate, complaints officer, early childhood partner, liaison officers (HLO/JLO), local area coordinator, National Contact Centre, participant support officer, planner (non-partnered area), planner delegate, review officer or technical advisors to understand:

- why it's important to complete the Choose the Right Request in an Enquiry case
- situations that don't require an internal review or a plan change
- plan change requests
- internal review requests
- how to complete the Choose the Right Request in an Enquiry case.

### Before you start

You have:

- received a request and need to determine the type
- checked if the request being submitted is with valid consent. Only the applicant, participant, authorised representative or person given express consent can submit a request
- read and understood relevant sections of [Our Guideline – Changing your plan \(external\)](#) to the request, for example for variations **What is a plan variation?** and for reassessments **What is a plan reassessment?**
- read and understood relevant sections of [Our Guideline – Reviewing our decisions \(external\)](#) to the request, for example **What are internal and external reviews?**.

### Recent updates

22 April 2024



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- Update to include plan change request categories and common situations that don't require a plan change request or internal review request.
- Name change from 'Review request categories' to 'Understand and choose the right plan change request'.

## Understand why it's important to complete a Choose the Right Request in an Enquiry case

You **must** complete the **Choose the Right Request** in an Enquiry case for participant requested plan changes and reviews. There are several plan change and review categories, so you need to make sure you choose the right one. This way you create the correct case so there's no delay in actioning the participant's request.

The [Participant Service Guarantee \(PSG\) \(external\)](#) requires us to:

- make a decision about whether or not to change the plan within 21 days of receiving a request. If we don't make a decision within 21 days, we are taken to have decided not to conduct a reassessment of the plan. This decision will be automatically reviewed.
- complete an internal review or review of reviewable decision within 60 days of receiving the request.

You must read the explanations of the questions in the Choose the Right Request Enquiry case in this article. Learn more in sections **Situations that don't require a plan change or internal review of a decision**, **Plan change requests** and **Internal review requests**.

You need to complete the steps in section **Complete the Choose the Right Request Enquiry case** in this article.

## Situations that don't require a plan change or internal review of a decision

The participant or authorised representative may request a change to their plan or a review of a decision, but there may be other ways to resolve their request. You need to choose the most appropriate action for the request. Consider if the below options from the Choose the Right Request Enquiry case are more appropriate.



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## The participant has received a plan continuation letter and wants their plan reassessed

Participants with plans still in SAP CRM may contact us after they receive a plan continuation letter to ask for a plan reassessment. You don't need to create new plan change request. You must use the discretionary check-in to determine if the plan meets their needs or they need a plan reassessment. Go to article [Create a check-in case](#).

**Note:** In **Check-In Preparation** select **Yes** to question 'During this check in, will you be supporting the participant and/or their family to prepare for an upcoming scheduled plan reassessment?'.

If you select reassess the plan in the check-in case, a plan approval case will automatically generate.

## Information or evidence provided in preparation for scheduled reassessment or check-in

Information or evidence may need to be considered by a delegate right away or sometimes it'll be for the next scheduled reassessment or check-in. For example, a participant may want to provide a new assessment from an occupational therapist for their upcoming scheduled reassessment.

Participants or providers can provide information or evidence at any time. When you receive information or evidence make sure you review it carefully and decide on the most appropriate next step.

To learn more about adding documents to a case, go to article [Add documents to a case](#). To link these documents as evidence to a case, go to article [Add and link evidence to a case](#).

## Implementation support

Participants may request a change to their plan because they're experiencing difficulties with implementing their plan.

Check if the participant needs an implementation conversation or plan implementation meeting to help them better understand their supports and how to use their plan. If the participant hasn't had a plan implementation meeting, you can create this manually. Go to article [Create an implementation case](#). Or you could create a discretionary check-in instead. Go to article [Understand types of check-ins](#).

The participant can also contact their My NDIS contact to support them with implementing their plan or to help utilise their budget. This may include linking with community supports or connecting with providers. If the participant needs help to contact the partner supporting them,



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you can create an enquiry case to request implementation support. Go to article [Create an enquiry case](#) or NCC knowledge for National Contact Centre staff.

## Request for an explanation of a decision

A participant, applicant or authorised representative may contact us because they don't understand a decision we've made and what it means for them.

A participant or applicant can request an explanation of a decision at any time. It's important to explain and action these requests for the participant. We have a commitment to [Participant Service Guarantee \(external\)](#) to provide an explanation of a decision within 28 days of the request being made.

You need to create an enquiry case and use the type **Review**, the category **Decision** and the sub category **Explanation of Decision**. Go to article [Create an enquiry](#) or NCC knowledge for National Contact Centre staff.

## The participant wants to change their Statement of Goals and Aspirations (s47)

You **don't** need to create a plan change request in PACE for this update. A participant can change their statement of goals and aspirations at any time. It's not a delegate decision if a participant wants to only change their Statement of Goals and Aspirations, with no other changes to their plan.

For example, the participant indicates they want to engage in sporting activities, this won't need a change to their disability related supports.

A non-delegate can change the Statement of Goals and Aspirations from the:

- check-in case. Go to article [Create a check-in case](#).
- plan implementation case.
- plan profile update via the case action bar case.

## Feedback or complaints

A participant, applicant or authorised representative may contact us to give feedback about their experience with us but not want a change to their plan. This could be a compliment, a complaint or general feedback to let us know about something.

To create a feedback or complaint case, go to article [Create a feedback and complaints case](#) or NCC knowledge for National Contact Centre staff.

## External review

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WP11-08

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The participant, applicant or authorised representative can ask for a review of an internal review decision if they don't agree with it. An internal review can't be made on the same internal review decision. The Administrative Appeals Tribunal (AAT) will complete the review of the decision. We call this an external review. There must also be an internal review decision made before an external review can be completed.

A participant, applicant or authorised representative needs to request the external review from the AAT within 28 days of the internal review decision.

To learn more about external reviews, go to [Our Guideline – Reviewing our decisions \(external\)](#).

## Plan change requests

The participant or authorised representative may request a plan change. We can also decide to change their plan as part of a CEO initiated variation or reassessment.

When a participant makes a request for a plan change, the delegate will consider the information they've given us and make a decision about whether or not to change their plan.

A plan variation or reassessment must be prepared with the participant.

If more information is needed to make the decision, you need to let the participant know what other information they need to provide us and the extra time you have to make your decision.

Go to **What happens after I request a change to my plan?** in [Our guideline – Changing your plan \(external\)](#).

## Plan variation (s47A)

There are some situations where a participant's current plan can be varied without the need to conduct a plan reassessment. This means we consider a part of their current plan and decide whether to make changes to it. We don't need to create a new plan for the participant for a plan variation.

For a full list of situations where we might vary a plan, go to section **What is a plan variation?** in [Our Guidelines – Changing your plan \(external\)](#).

A plan variation can be requested at any time. When a participant asks for a plan variation it's called the 'participant's initiative'. When we decide to make a variation, that's called the 'CEO's own initiative'.

A variation request might be for a minor change in funded supports. To learn more, go to section **We make a minor variation to your plan which increases your funding** in [Our Guidelines – Changing your plan \(external\)](#).



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## Plan reassessment (s48)

A request for plan reassessment can be a participant requested reassessment or a CEO-initiated plan reassessment. This is a request for us to initiate the plan reassessment process outside of the scheduled plan reassessment.

We may decide to reassess the plan where:

- the participant's situation has changed significantly, for example a breakdown of informal supports that puts the participant at risk or a change in living arrangements such as leaving hospital or moving out of home.
- new information is available about the participant's disability-related support needs, like a new functional capacity assessment.
- we have varied the participant's plan several times and the plan isn't meeting the participant's needs.
- the participant's plan needs to change and the changes don't meet the s47A legislation requirements.

**Note:** This list is not exhaustive, for full information about reassessments go to [Our Guidelines – Changing your plan \(external\)](#).

## Internal review requests

### Internal review (s100)

An internal review can be requested if the participant or applicant doesn't agree with a decision we've made. This is also referred to as review of a reviewable decision (RoRD).

An internal review must be requested by the participant, applicant, or authorised representative within 3 months of receiving the decision in writing. An internal review of a decision checks if we made the right decision under the law by looking at the facts and circumstances at the time of the internal review decision.

The Reviews Branch manages requests for internal reviews. A delegate who was not involved in the original decision will consider the evidence and information related to the decision and check if that decision is right.

To learn more about internal reviews, go to [Our Guideline – Reviewing our decisions \(external\)](#).





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Legislation tells us what types of decisions can be reviewed. These decisions are known as reviewable decisions. For information about what decisions we can review go to **Appendix 1: What decisions can we review?** in [Our Guideline – Reviewing our decisions \(external\)](#).

## Complete the Choose the Right Request in an Enquiry case

You use the Choose the Right Request Enquiry case to check if a plan change or internal review is needed.

To do this for a participant go to their **Person Account** and select **Cases**. For applicants go to **Cases**. From **Cases**:

1. Select **New**.
2. Select **Enquiry**.
3. In **Who is Making the Request?** select **Requested By** and **Case Origin**.
4. Select **Next**.
5. Select **Review** for the **Enquiry Type**.
6. Select **Choose the Right Request** for the **Category**.
7. Select **Next**.
8. Complete the **Risk Matrix** and select **Next**.
9. From **Request Questionnaire** follow the on-screen prompts to help you choose the right request. It'll recommend the most appropriate next action for the participant's request.
10. Add **Enquiry Notes** if relevant.
11. Select **Close Enquiry (Completed or Cancelled)** if don't need to progress this enquiry.
12. Select the closure reason as **Completed – Resolved**. Select **Next**.
13. Review the information you've selected and select **Submit**.

**Note:** This won't automatically create a new plan change or internal review case, you need to create the correct case yourself if that's your next action.

## Next steps

1. If the request you've reviewing is a plan change, go to article [Prepare to submit a plan change request](#).



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2. If the request you've received is for an internal review, go to article [Create an internal review case \(s100\)](#).

## Article labels – internal use only

### PACE user role names

- Add:** dc\_users\_localareacoordinator
- Add:** dc\_users\_earlychildhoodpartner
- Add:** dc\_users\_plannerdelegate
- Add:** dc\_users\_reviewofficer
- Add:** dc\_users\_complaintsofficer
- Add:** dc\_users\_participantsupportofficer
- Add:** dc\_users\_accessdelegate
- Add:** dc\_users\_technicaladvisors
- Add:** dc\_users\_nationalcontactcentre
- Add:** dc\_users\_liaisonofficershlo/jlo
- Add:** dc\_users\_plannernonpartneredarea

### Topics

- Add:** t\_planchanges
- Add:** t\_reviewingdecisions

### Cases names

- Add:** dc\_case\_planchange
- Add:** dc\_case\_internalreview

### Ownership

- Add:** own\_sgplanchangesandconnections

## Version control



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Version	Amended by	Brief Description of Change	Status	Date
1.1	SDO030	Article aligned to SOP Create or update a knowledge article during CI Transferred from confluence to updated template	DRAFT	2023-05-30
1.2	JLL673	Article aligned to SOP Create or Update a Knowledge Article during CI	DRAFT	2023-06-05
1.3	DCM308	Peer review	DRAFT	2023-06-06
1.4	JLL673	Peer review actioned CLEAN for VT	DRAFT	2023-06-06
1.5	JLL673 THG520	Transferred relevant VT feedback Action VT feedback Number of long sentences: 9 (11.54%) Number of Passive Sentences: 9 (11.54%) Readability: 49 Grade Level: 8.1 Draft sent to Internal review team who will be taking carriage of this knowledge article	DRAFT	2023-06-07
1.6	LW0022	IR review and updates made	DRAFT	2023-10-11
1.7	MJB576	Discussed with IRT. Action feedback and make changes. This KA will be for wider Agency use and focus on determining the correct request category. Add sections for s47A and s48. Rename to Understand review and plan change request categories	DRAFT	2023-10-12

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Version	Amended by	Brief Description of Change	Status	Date
1.8	MJB576	Continue changes based on meeting with NARB and IRT feedback. Add sections for other reasons a participant needs help Delete IRT's addition re CRRT. Sent for peer review	DRAFT	2023-10-23
1.9	BCK161 MJB576	Peer review Action peer review feedback	DRAFT	2023-10-31 2023-10-31
1.10	BCK161	Actioned remaining peer review comments. Restructured to put 'Situations that don't require a plan change or review' at the end after the different types of requests.	DRAFT	2023-11-01
1.11	AMK633	Peer review	DRAFT	2023-11-03
1.12	BCK161	Action peer review VT results Number of long sentences: 25 (12.56%) Number of Passive Sentences: 18 (9.05%) Readability: 59 Grade Level: 7	DRAFT	2023-11-03
1.13	EJW711	EL1 review	DRAFT	2023-11-07
1.14	BCK161	Action EL1 review	DRAFT	2023-11-08



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Version	Amended by	Brief Description of Change	Status	Date
1.15	EJW711	EL1 review BCK161 Actioned minor comments in this version.	DRAFT	2023-11-09
1.16	JS0082	EL2 review BCK161 actioned comment re PSG in Understand why it's important to use the Choose the Right Request Tool section.	DRAFT	2023-11-14
1.17	BCK161	Transfer and action BiL feedback	DRAFT	2023-11-27
1.18	EJW711	EL1 review BCK161 added version control as missing	DRAFT	2023-12-12
1.19	JS0082	EL2 review	DRAFT	2023-12-13
1.20	BCK161	Action EL2 review	DRAFT	2023-12-14
1.21	GBD BCK161 CW0032	Transfer and action BiL Feedback 2024-01-30 actioned additional BiL comments re language consistency. BM review	DRAFT	2023-12-20
1.22	DCM308 BCK161	Action BM feedback Added new heading 3 section under Situations that don't require a plan change or internal review of a decision based on service desk feedback received from Service Delivery BiL. Transfer CI and action feedback about creating internal reviews.	DRAFT	2024-02-06
1.23	EJW711	EL1 review	DRAFT	2024-02-09



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Version	Amended by	Brief Description of Change	Status	Date
1.24	BCK161	Action EL1 review Minor edits based on draft Plan Change Process Review 2024-02-20.	DRAFT	2024-02-14
1.25	JS0082	EL2 review with comments	DRAFT	2024-02-22
1.26	BCK161	Action EL2 review	DRAFT	2024-02-23
1.27	BCK161	Transfer SME and BiL feedback	DRAFT	2024-02-26
1.28	DCM308	Action SME and BiL feedback	DRAFT	2024-02-28
1.29	DD0014	EL1 review	DRAFT	2024-02-28
1.30	BCK161	Action EL1 review	DRAFT	2024-02-29
1.31	BCK161	Action EL1 plan change summary: sequence and updates (March 2024)	DRAFT	2024-03-07
1.32	SGH107	Peer review	DRAFT	2024-03-08
1.33	BCK161	Action peer review VT results Number of long sentences: 44 (10.45%) Number of Passive Sentences: 31 (7.36%) Readability: 57 Grade Level: 6.9	DRAFT	2024-03-12
1.34	EJW711	EL1 review	DRAFT	2024-03-19



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Version	Amended by	Brief Description of Change	Status	Date
1.35	BCK161	Transfer EL1 comments from version not saved to SharePoint. Action EL1 review.  Name change to Understand and complete the Choose the Right Request Enquiry case. Added steps to Complete the Choose the Right Request Enquiry case and Next steps.  Removed sections Plan change categories in PACE and Internal review categories in PACE to merge content into relevant process articles on creating requests.	DRAFT	2024-03-19
1.36	JS0082	EL2 review	DRAFT	2024-03-25
1.37	DCM308	Action EL1 feedback  Cleaned and sent for BiL review	DRAFT	2024-03-25
1.38	CW0032	BM review	DRAFT	2024-04-01
1.39	DCM308	Action BM feedback  Cleaned and sent for BiL review	DRAFT	2024-04-03
1.40	SGH107	Transfer SME & BIL feedback	DRAFT	2024-04-12
1.41	SGH107 DCM308	Action SME & BIL feedback	DRAFT	2024-04-16
1.42	DCM308 EMN960	Actioned SME feedback  Article renamed to Understand and choose the right plan change request based on BIL feedback	DRAFT	2024-04-16



# SGP Knowledge Article Template

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Version	Amended by	Brief Description of Change	Status	Date
1.43	EMN960 DCM308	EL2 review Sent for BM approval	DRAFT	2024-04-17
2.0	JC0088	Class 3 Approval	DRAFT	2024-04-18