



# Standard Operating Procedure

For Internal Use Only

The contents of this document are OFFICIAL.

## Complete the Determine Plan Management task

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

### 1. Recent updates

Date	What's changed
February 2023	The SOP – Include financial management capacity building supports will be decommissioned. Link added to new SOP – Include capacity building and training in self-management.
June 2022	Update in line with legislation changes to include content that the risk assessment applies to using a registered plan manager in the same way as a participant choosing self-management of their funded supports.

### 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 – Creating your plan</a></li> <li><input type="checkbox"/> checked pre-planning tasks have been completed</li> <li><input type="checkbox"/> checked the Determine the Funded Supports task has been completed</li> <li><input type="checkbox"/> confirmed the participant's plan management choice</li> <li><input type="checkbox"/> checked bank account details are recorded in the System for the person managing the funding. This is where the participant chose to self-manage some or all their funding</li> </ul>



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Topic	Checklist
<b>Actions</b>	<ul style="list-style-type: none"><li data-bbox="432 389 1369 465">❑ <a href="#">3.1 Check the participant's plan management choice has been recorded correctly</a></li><li data-bbox="432 472 1318 548">❑ <a href="#">3.2 Consider safeguards and supports to reduce risk to the participant</a></li><li data-bbox="432 555 1433 631">❑ <a href="#">3.3 Record your recommendation and justification for the proposed plan management option</a></li><li data-bbox="432 638 1417 676">❑ <a href="#">3.4 Adjust the plan management option for each support category</a></li><li data-bbox="432 683 687 721">❑ <a href="#">3.5 Next steps</a></li></ul>



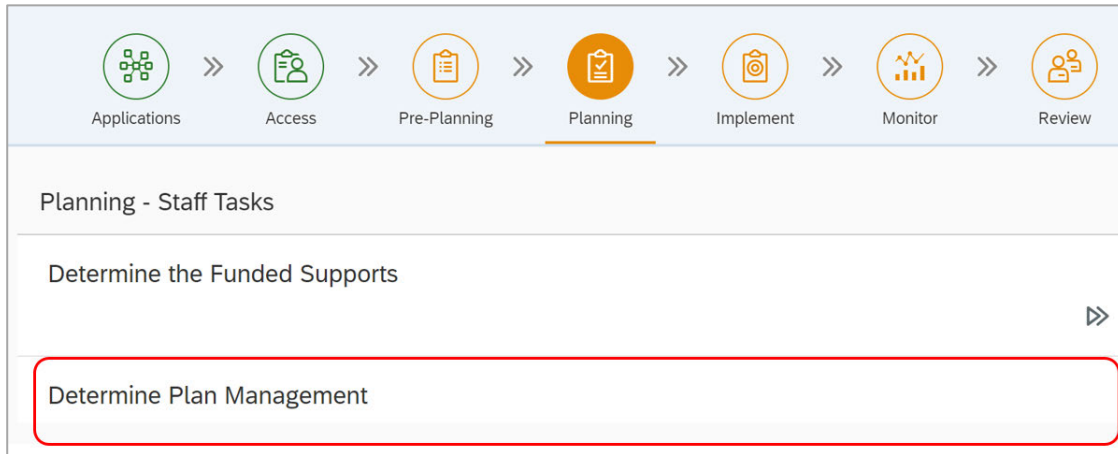
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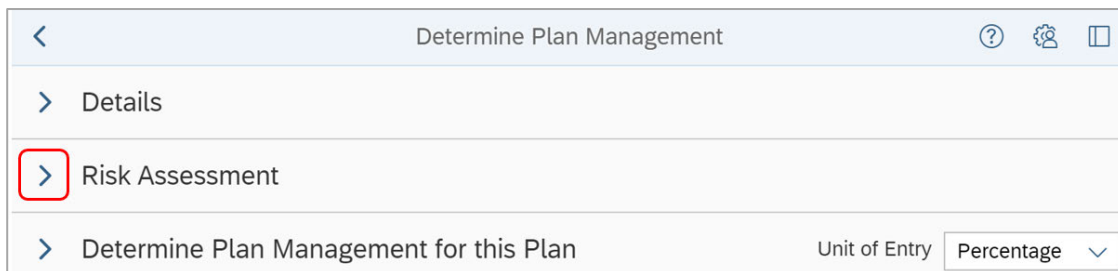
## 3. Procedure

### 3.1 Check the participant's plan management choice has been recorded correctly

1. In **Planning – Staff Tasks**, select **Determine Plan Management**.



2. The **Determine Plan Management** screen opens. Select **Risk Assessment**.



3. Check the **Plan Management Choice** to make sure it shows:

- What is the participants plan management request?
  - **Plan Managed**
  - **Agency Managed**
  - **Self-Managed**
- Who will self-manage?
  - **Self**
  - **Nom/Child Rep** (**Note:** only one child representative can manage the funding).



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▼ Risk Assessment

Plan Management Choice

What is the participants plan management request?

Self-Managed

Who will self-manage?

Self

If the **Plan Management Choice** doesn't show correctly:

- go to the pre-planning **Complete the Risk Assessment task**, and
- update the participant's **Plan Management Request**.

If you need help to do this, refer to the [Standard Operating Procedure – Complete the Risk Assessment task](#).

4. If the participant has requested to self manage or use a registered plan manager go to [section 3.2 - Consider safeguards and supports to reduce risk to the participant](#). If the participant has requested to have all their funding Agency managed go to [section 3.3 – Record your recommendation and justification for the proposed management option](#).

## 3.2 Consider safeguards and supports to reduce risk to the participant

The System assigns a risk value to each of the following risk areas:

- **Safeguards – Informal Supports**
- **Participant Vulnerability & Decision Making Capacity**
- **Financial Management Capacity (if applicable)**

Risk values are:

- **low** – the plan developer has not identified any risks that may impact the participant's ability to have their plan management choice
- **moderate** – the plan developer has identified risks. However, they have also identified supports to reduce the risk during the **Risk Assessment** task. If the



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supports are included this will enable the participant to have their plan management choice with reduced risk of harm

- **high** – the plan developer has identified there may be unreasonable risk to the participant. Sometimes the participant can't self-manage their NDIS funding or use a registered plan manager. Refer to [Our Guideline – Creating Your Plan](#) if you're unsure.

The System also generates the **Consideration for Plan Management Decision**.

If you want to know what information the System uses to determine the risk values, refer to [Standard Operating Procedure – Complete the Risk Assessment task](#).

### 5. Review the **Summary risk assessment** section.

Example:

Summary risk assessment (requested to fully or partially Self-manage plan)

**Safeguards - Informal Supports** ● Moderate  
Participant doesn't have a strong support network to assist with managing NDIS supports. However, identified strategies, if included in plan, will support the participant to manage NDIS supports in THIS plan.

**Participant Vulnerability & Decision Making Capacity** ● Moderate  
Participant has some vulnerabilities, or requires support to make decisions. Supports identified, that if included in the plan, will assist participant manage supports in accordance with their plan OR a plan nominee/child representative has been appointed.

**Financial Management Capacity** ● Low  
No risk identified

**Consideration for Plan Management Decision**  
Based on risk assessment, the participants plan management choice (fully or partially self-managed) is considered a moderate risk to the participant. Consider whether supports included in the plan will assist them to choose and manage supports in accordance with their plan.

### 6. Review each section of the **Summary Risk Assessment** and consider safeguards and supports.

- Check if the person managing the participant's plan funding is currently insolvent (including bankrupt). This will appear in the **Summary Risk Assessment** from the **Risk Assessment** task. Refer to [Standard Operating procedure – Complete the Risk Assessment task](#) for guidance when insolvent.



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- Check supports will assist them to choose and manage supports in accordance with their plan. Do this if the risk is **moderate** or **high**.
  - Refer to [Standard Operating Procedure - Include capacity building and training in self-management supports](#) for more information.
- Check other supports and strategies needed to help the participant to manage their plan as they choose, have been included. Examples include:
  - mainstream and informal supports
  - funding for support coordination
  - regular contact with the plan implementer
  - a shorter plan period.
- Consider whether these strategies reduce the risk of self-management and using a registered plan manager.
- Consider whether the participant's plan management choice creates an unreasonable risk to the participant. Use [Our Guideline – Creating your plan](#) to help you consider this.
- Check if the participant, their nominee or child representative is under legal orders. Details of who is responsible for the participant's financial decisions should be recorded in the **Summary Risk Assessment**. Any evidence should be attached as an Inbound Document. Depending on the scope of the orders, the participant may be able to self-manage or use a registered plan manager for their supports.

Include your considerations when you record the rationale for proposed plan management.



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### 3.3 Record your recommendation and justification for the proposed plan management option

1. Scroll down to the **Proposed Plan Management** section.

**Proposed plan management** (Plan and/or Agency managed requested)

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Proposed plan management:

Rationale for proposed plan management:

2. Select the relevant plan management option from the **Proposed plan management** drop down list.

Proposed Plan Management (nominee partially or fully self-manages plan)

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**Proposed plan management**

Rationale for proposed plan management

Nominee or Child representative to self-manage as requested

Plan managed (by plan management agency)

Agency managed

3. In the **Rationale for proposed plan management** field, record the reason you are recommending the plan management option.

You must:

- include your justification for recommending (if you're a plan developer), approving or declining (if you're a plan delegate) their request. Include details of how they want each support to be managed. You must do this if the participant requested to self-manage or use a registered plan manager for some or all their supports
- include the considerations you made in [section 3.2 Consider safeguards and supports to reduce risk to the participant](#).





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Proposed Plan Management (nominee partially or fully self-manages plan)

Proposed plan management Nominee or Child representative to self-m... ▾

Rationale for proposed plan management

Record your reason for proposing this plan management option for the funding in the participant's plan

**Note:** This will help staff answer participant enquiries. For more information see [Standard Operating Procedure – Explanation of a Decision](#).

Add an interaction using the [Risk Assessment – More info for self-management template](#).

You need to do this if:

- you have additional information about risks for self-management or using a registered plan manager, and
  - it's not already recorded in the **Complete Risk Assessment** task.
4. Determine if this is the participant's first plan or a review plan:
    - For first plans – go to [section 3.4 Adjust the plan management option for each support category](#)
    - For review plans – go to the next step.
  5. Select **Plan Management Decision in the Previous Plan**. Review and note the previous plan management decision. Sometimes you will recommend a different plan management option than in the previous plan. If you do this, ensure you have recorded the details in the **Rationale for proposed plan management** field. For example, you could recommend self-management of one support due to an increase in the participant's capacity.





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Plan Management Decision in the Previous Plan						
Support Category	Type	Agency Managed	Plan Managed	Self Managed	Others	Price
<b>Assistive Technology</b>		Agency 100 (\$1000.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$1,000.00
<b>CB Employment</b>		Agency 100 (\$0.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$0.00
<b>CB Employment School Leaver Employment Supports</b>	Stated	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>		\$22,316.16
<b>Consumables</b>		Agency 100 (\$1000.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$1,000.00
<b>Daily Activities</b>		Agency 100 (\$1000.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$1,000.00

### 3.4 Adjust the plan management option for each support category

The System will allocate funding in the participant’s plan as Agency managed or self-managed. The System will do this based on the responses in the **Complete Risk Assessment** task.

When the participant has requested to self-manage, and the **Summary Risk Assessment** is:

- **low** – funding will generate as self-managed
- **moderate** or **high** – funding will generate as Agency managed.

Use the following procedure if you need to adjust the plan management option for each support category. Some examples of when you might need to do this include:

- the participant requested their funding be managed by a registered plan manager
- the participant would like their supports to be a combination of plan management types
- when the System generated funding as Agency managed but you are recommending some or all supports be self-managed. You might do this if you think you have included enough safeguards and supports to reduce risk to the participant.



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1. Scroll down to the **Determine Plan Management for this Plan** section.

<input type="checkbox"/> Determine Plan Management for this Plan		Unit of Entry: Percentage				
Support Category	Type	Agency Managed	Plan Managed	Self Managed	Others	Price
CB Choice & Control		Agency	Plan	Self		
		<input type="text" value="100"/>	<input type="text" value="0"/>	<input type="text" value="0"/>		\$2,897.75
		(\$)	(\$)	(\$)		
Daily Activities		Agency	Plan	Self		
		<input type="text" value="100"/>	<input type="text" value="0"/>	<input type="text" value="0"/>		\$75,604.32
		(\$)	(\$)	(\$)		
Social,Community and Civic Participation		Agency	Plan	Self		
		<input type="text" value="100"/>	<input type="text" value="0"/>	<input type="text" value="0"/>		\$3,645.03
		(\$)	(\$)	(\$)		
Consumables		Agency	Plan	Self		
		<input type="text" value="100"/>	<input type="text" value="0"/>	<input type="text" value="0"/>		\$0.00
		(\$)	(\$)	(\$)		

2. At **Unit of Entry**, select **Percentage**. Check the amounts allocated under each management type and reallocate, as required. If a support category has 2 plan management types round to the closest percentage to get the dollar amount as requested.
3. If the participant’s plan is Agency managed or Self-managed go to step 5.
4. If the participant’s **Plan Management Choice** is using a registered plan manager for one or more of their supports, review the **CB Choice and Control** support category. Check the following support items show as **Stated** supports:
  - **Plan Management – Set Up Costs**
  - **Plan Management – Monthly Fee**

If they are not shown, you need to add them in the **Determine Funded Supports** task. Refer to [Standard Operating Procedure - Include Plan Management support items](#), if you need help to do this.



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Determine Plan Management for this Plan							Unit of Entry
Support Category	Type	Agency Managed	Plan Managed	Self Managed	Others	Price	Percentage
<b>Assistive Technology</b>		Agency 100 (\$0.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$0.00	
<b>Assistive Technology</b> Vehicles - Hoist/Ramp for Wheelchair Loading	Stated	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>		\$7,350.00	
<b>CB Choice &amp; Control</b>		Agency 100 (\$0.00)	Plan 0 (\$0.00)	Self 0 (\$0.00)		\$0.00	
<b>CB Choice &amp; Control</b> Plan Management - Set Up Costs	Stated	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>		\$232.35	
<b>CB Choice &amp; Control</b> Plan Management - Monthly Fee	Stated	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>		\$146.23	

- When the form is complete, select **Submit**.
- A success message appears. Select **Close**.
- The **Planning** page displays. **Determine Plan Management** has a tick to show it is complete.

Applications

Access

Pre-Planning

Planning

Implement

Monitor

Review

Planning - Staff Tasks

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Determine the Funded Supports

Last updated by -

✓

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Determine Plan Management

Last updated by -

✓

### 3.5 Next steps

- Continue to develop the plan.

## 4. Related procedures or resources

- [Our Guidelines – Your plan](#)
- [Standard Operating Procedure – Include plan management support Items](#)
- [Standard Operating Procedure – Include capacity building and training in self-management supports](#)



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- [Standard Operating Procedure - Complete the Risk Assessment task](#)
- [Interactions Templates – Pre-planning](#)
- [Standard Operating Procedure – Collect and update Bank Account Details](#)
- [Practice Guide – Safeguarding the Participant’s interests](#)

## 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	Transitioned from SOP – Determine Plan Management v9.0 and PG – Determine Plan Management Class 2 approved	APPROVED	2021-02-10
2.0	JS0082	Class 1 Approval.	APPROVED	2022-06-28
3.0	ED0024	Class 1 approval SOP updated with link to new SOP– Include capacity building and training in self-management supports. Minor updates for CRM changes.	APPROVED	2023-03-30