Standard Operating Procedure

For Internal Use Only

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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	Replaced language from plan reviews to plan change, reassessment, or variation to reflect legislation changes from 1st July 2022. Added instructions for partners when actioning plan variation request (NDIS Act s47A). SOP name change from Create a plan review request (PRR) to Create a plan reassessment (or variation) request (PRR).

2. Checklist

Topic	Checklist
Pre-requisites	❑ The participant has an approved plan. You have: ❑ read and understood Our Guideline – Changing your Plan ❑ made a decision using the CRRT that a PRR is the appropriate action ❑ attached all evidence and information using the Standard Operating Procedure – Manage inbound documents ❑ confirmed the reason for the request is not for Assistive Technology (AT) supports, which should be progressed using the Standard Operating Procedure – Initiate an Agency-Initiated plan review more than 100 days from the plan review date.
Actions	❑ 3.1 Determine who is making the request ❑ 3.2 Consider active internal review requests ❑ 3.3 Create a Plan Change Request.

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.

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

   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

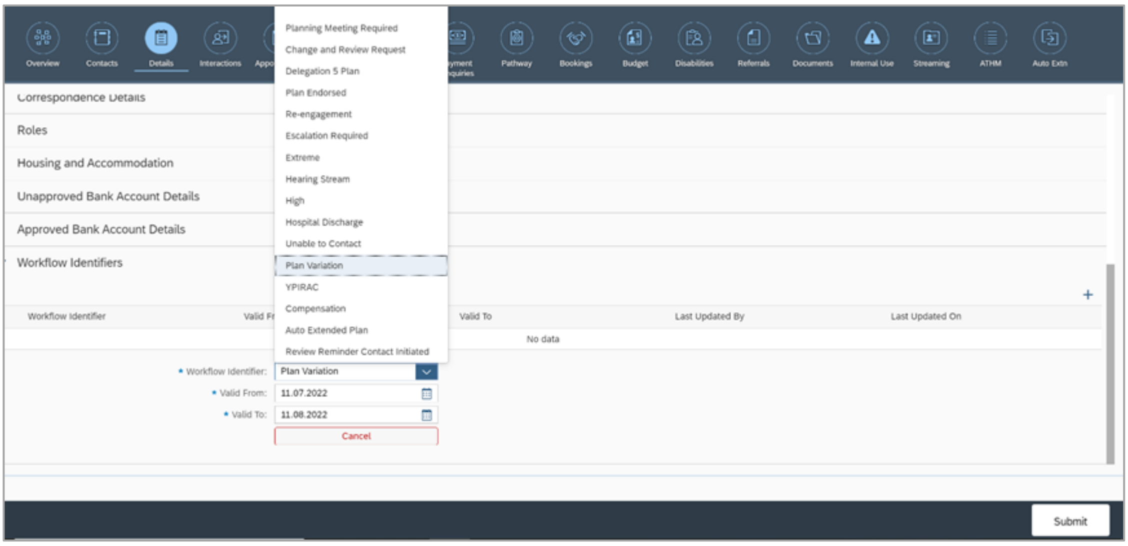
3.2.2 There is an active internal review request.

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.

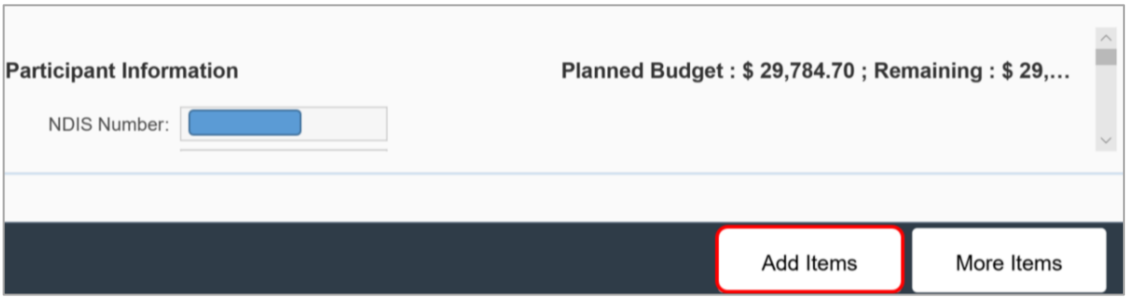
3.3 Create a Plan Change Request

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.



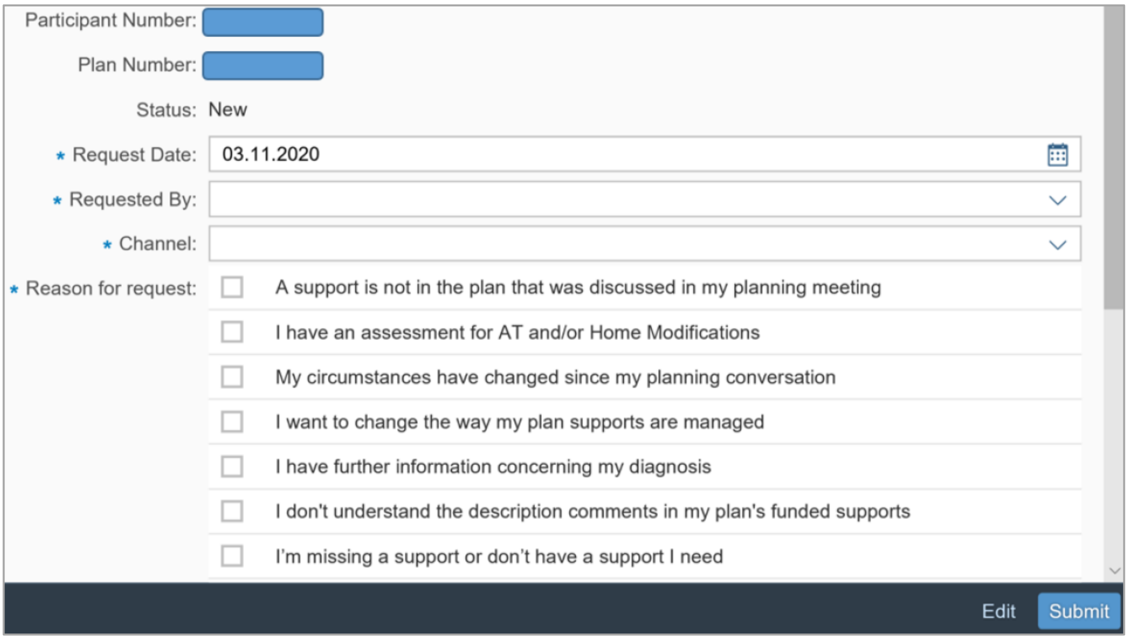
2. From the **NDIS Account** screen, select **Add items**.



3. From the menu, select **Plan Revew Request.**

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.

4. **Plan Change Request** form displays.



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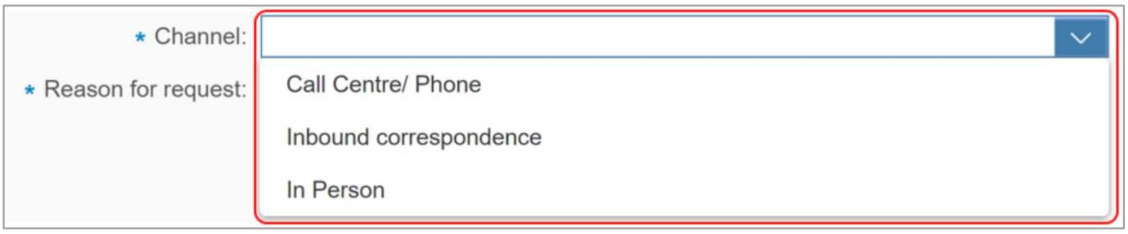
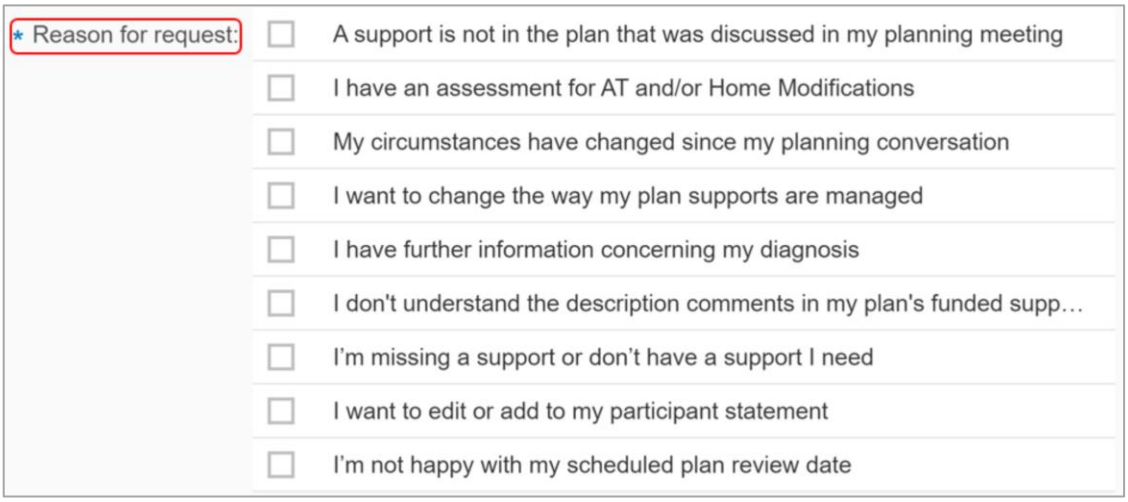
5. The **Request date** is pre-filled to display the current date.
    - If the NDIA received the request within the last seven days, change the **Request date** to the date the NDIA received the request.
    - If the NDIA received the request more than seven days ago, change the **Request date** to 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.

7. Select the **Channel**.



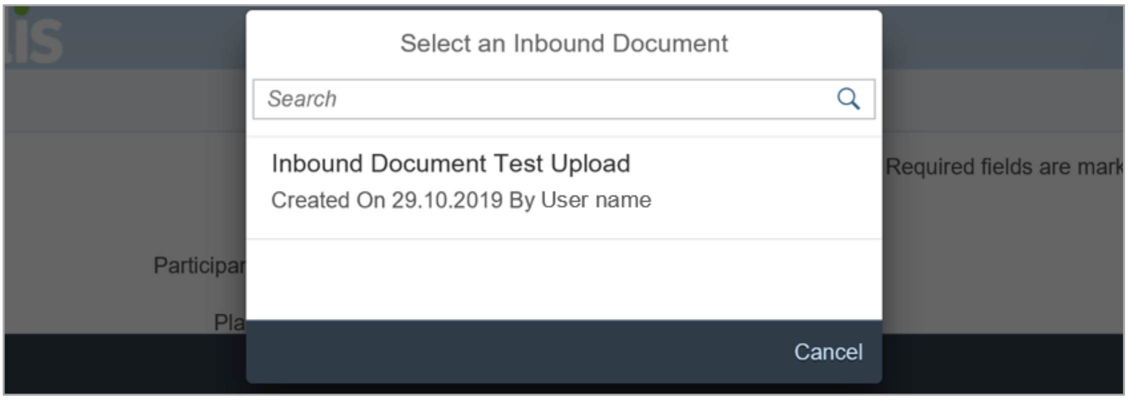
8. You need to select a **Reason for request** which best aligns with the conversation with the participant or their authorised representative.



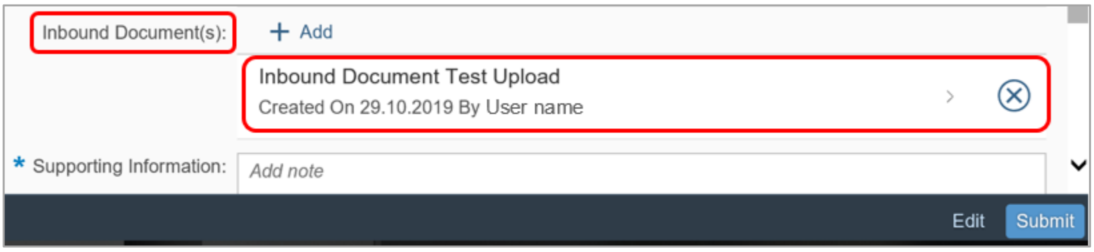
Note: If the participant has asked to only edit their participant statement don't create a PRR request. This can be completed through an administrative change. For more information, refer to the Standard Operating Procedure – Create an administrative change task.

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

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



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



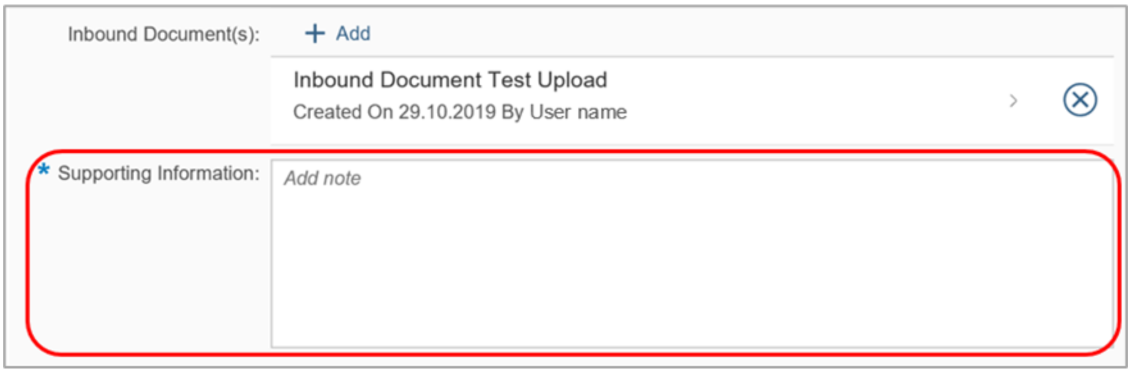
12. **Supporting Information** is a mandatory free text field to provide the NARB delegate with more information on the change request. You should record:

- 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:

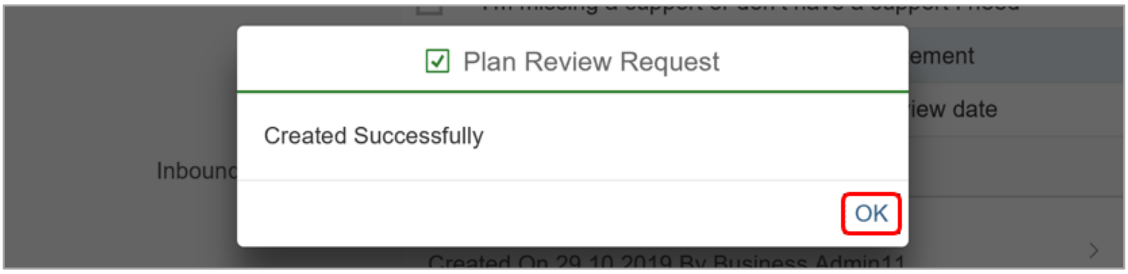
- details of the change of situation
- information on the requested changes to the participant's plan
- reasons given for why the plan no longer meets the participant's needs
- Information stating if the request has been identified as a plan variation.

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**.

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 identifior 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.

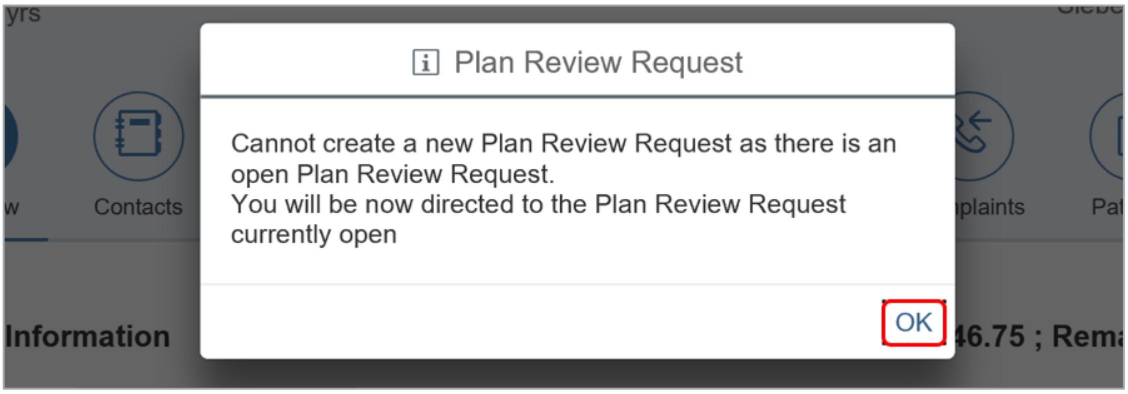
A submitted PRR will automatically workflow to the NARB who will consider the reasons for the request. The NARB delegate will:

- 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.

5. Appendices

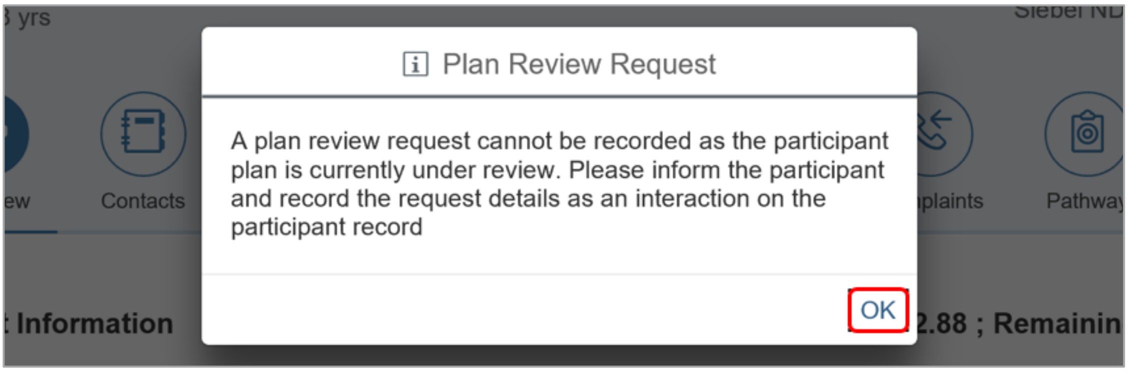
5.1 Information message glossary

5.1.1 A PRR has already been created



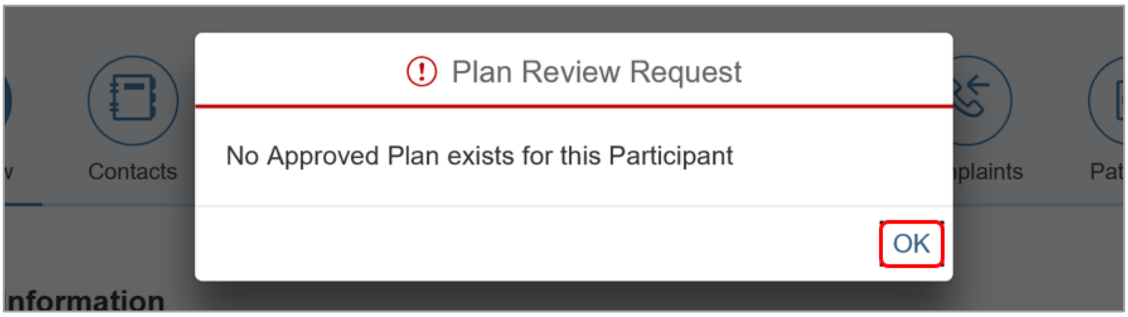
There is already an active PRR in the System. Once you select **OK**, the System will redirect you to the open request. You should note any updates in the active PRR.

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.

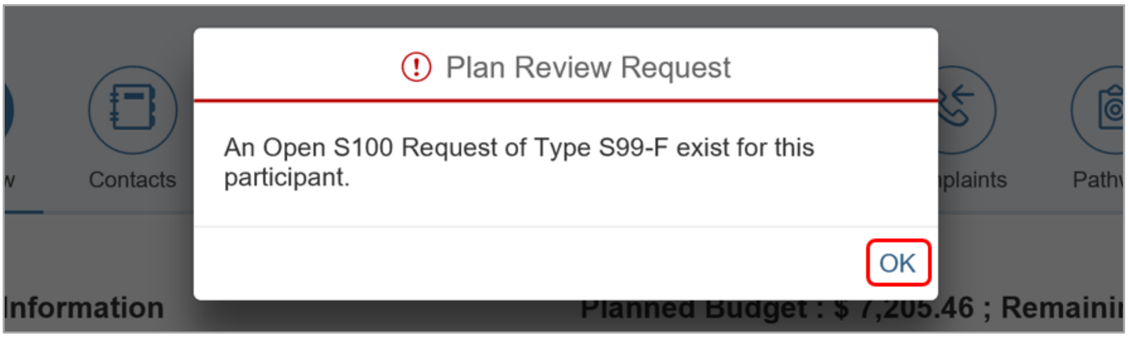
5.1.3 When the participant does not have an approved plan



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.

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	Class 2 Approved New resource to replace existing content from the SOP – Plan Review Requests. Updates include: • More guidance on completing the supporting information field of a Plan Review Request (PRR). • A new reminder to not re-assign PRRs to NARB delegates. • More information on NARB process where a decision is made on a PRR • A new pre-requisite to upload all relevant documentation to Inbound Documents before proceeding.	APPROVED	2021-04-12

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Version	Amended by	Brief Description of Change	Status	Date
		• Revised formatting for improved readability.		
2.0	BIB217	Class 3 approved: Guidance updated for addressing active s100 requests and to clarify the scope of an internal review with a participant requested review is submitted.	APPROVED	2021-08-20
3.0	CW0032 CH0026 LS0042 AGV957	Replaced language from plan reviews to plan change, reassessment, or variation to reflect legislation changes from 1st July 2022 Adding instructions for partners when actioning plan variation request (NDIS Act s47A). SOP name change from Create a Plan Review Request (PRR) to Create a Plan Reassessment (or variation) Request (PRR)	APPROVED	2022-07-19
4.0	JS0082	Class 1 Approval Correct minor error in this SOP that was published in July to support the 1 July Legislation Amendments	APPROVED	2022-11-17

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Create a plan reassessment (s48) request

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 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.

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.

2. 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.
3. Select the checkbox next to **I confirmed the information recorded is accurate (mandatory in order to proceed for submit)**.
4. 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:

1. Select the **Details** tab.
2. Under the **System Information** heading, select **Edit Subject** (pencil).
3. 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

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

- **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

SGP Knowledge Article Template

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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