

# **A service-for-one: Evidence you can use for Core module – Division 3**

**Provision of supports**



**Inclusion  
Australia**

*Supported through grant funding from the Australian Government.*

*The purpose of these resources is to be helpful and freely available for families running services-for-one.*

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## **Acknowledgements**

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- members of the VALID Behaviours of Concern Peer Action Group
- the national Community of Practice
- the Project Steering Group.

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Please note: The information in this document is a general guide only and is not legal advice. We have developed it using information from the NDIS Commission's website at [www.ndiscommission.gov.au](http://www.ndiscommission.gov.au)

Information is current at the time of publishing – August 2021.

If you have specific questions or concerns, you can ask for advice from the NDIS Commission or the state or territory body responsible for authorising use of restrictive practices.

Key terms are **bolded** in each guide. You can find a list of definitions for all of the key terms we use in these guides in our **Key terms** document.

## What is this division about?

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Division 3 of the **core module** is where most of the activities for the person sit. This division focuses on:

- the person getting appropriate support for their needs
- planning, delivery and review of supports
- service agreements
- being responsive in how you provide your services – meaning you can meet changing needs
- transitions from the service-for-one.

You may have already developed **evidence** for other standards that will support this division as well.

## Why is it important?

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The **NDIS Quality and Safeguards Commission (NDIS Commission)** is responsible for overseeing the quality and safety of NDIS supports and services. This includes NDIS providers of any size and with any number of participants.

The NDIS Commission wants to make sure that all services, including **services-for-one**:

- have procedures in place to let the person know about any limitations or restrictions to the service-for-one in a way that the person can understand. This includes if the service-for-one has to stop running
- make sure that the person's wellbeing, privacy, dignity, quality of life and independence are supported through appropriate person-centred supports and environment.

# What will the auditors be looking for?

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**Auditors** will look for evidence to show that the service-for-one is providing services in line with NDIS quality and safeguarding requirements, including that:

- the person is told about the supports the service-for-one does and can deliver, in a way that they are most likely to understand
- the person is also told about any:
  - costs of their support
  - limitations of their support
  - circumstances where the service-for-one could not support them and why. Although this is unlikely, any communications of this sort would need to be sensitively handled
- supports are assessed, planned, monitored and reviewed
- risks are assessed and reviewed at least yearly
- workers and the environment are suitable for the person. You may make reasonable changes to meet the person's needs and preferences to help with support and reduce risks.

## Evidence Tables

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### How to use the tables in this document

We have included the following tables as checklists to help you prepare for your online **self-assessment** and your **audit**.

Each table includes examples of evidence that will help you show the auditor that you are meeting the practice standard that is described at the top of each page. These are examples of evidence only. You are likely to have other evidence you can also show the auditors.

The questions before each table are the quality indicators for each practice standard. These help you assess your progress towards meeting each practice standard. Each question is numbered. The numbers in the table relate to the numbers for each question.

There is also a large table at the end of this document that you can use as a checklist to keep track of the evidence you are providing and the practice standards you are meeting. The numbers in this large table also relate to the quality indicators for each standard.

Remember that the auditors will also consider evidence including:

- your policies and procedures
- feedback from the person, key stakeholders, workers and chosen communities, such as sporting, social or religious groups and other providers (where necessary)
- observation during the audit process.

We have not listed these in the tables as they apply across almost every practice standard

## Access to supports

### Outcome

The person can access supports that meet their needs, goals and preferences.

### Quality indicators (QI)

Auditors will assess your progress towards this outcome using the following quality indicators:

- QI 1. Are the supports available clearly defined and documented? Are access requirements (including any costs) clearly defined and documented? Is this information communicated to the person in a way that they are most likely to understand?
- QI 2. Does the service-for-one make changes to the support delivery environment to make sure it is fit for purpose? Does the service-for-one make changes to the support delivery environment to make sure the person has support with their:
- health?
  - privacy?
  - dignity?
  - quality of life?
  - independence?
- QI 3. Does the service-for-one help the person to understand when supports can be withdrawn? For example, it is clear that your service-for-one cannot take away or deny access to supports because of a dignity of risk choice that the person has made.

The type of evidence you can use	QI 1	QI 2	QI 3
Participant support plan	✓		
Service agreement	✓		
Support plan review	✓	✓	
Transition plan	✓	✓	
Brochures, newsletters, posters or other types of communication that are available and accessible in a way that meets the person's communication needs	✓		
Information given to the person about when a support can be taken away that is in their preferred communication style (like a handbook)			✓
Changes to support delivery, such as home modifications		✓	

## Support planning

### Outcome

The person is involved in developing their support plans. The person's support plans are also regularly reviewed and reflect their:

- needs
- preferences
- strengths
- goals.

### Quality indicators (QI)

Auditors will assess your progress towards this outcome using the following quality indicators:

- QI 1. Does the service-for-one work with the person and their support network (with the person's consent) to develop a support plan? Does the service-for-one look for information from a range of resources to make sure the person's needs, support requirements, preferences, strengths and goals are included in the assessment and the support plan?
- QI 2. Does the service-for-one work with the person to complete a risk assessment? Is this risk assessment documented in the person's support plan? Does the service-for-one then plan and implement strategies to manage these risks?
- QI 3. Does the service-for-one regularly review how well the risk management strategies are working and make changes as needed? Does the service-for-one do this review with the person?
- QI 4. Does the service-for-one review the person's support plan every year? Does the service-for-one do this review with the person? Does the provider review the person's support plan earlier if needed? During the review, do the service-for-one and the person look at how well the support plan is supporting the person to reach their goals?
- The review should:
- consider the person's changing needs and wishes
  - be done as often as needed to deal with the risks identified.
- QI 5. If the person's progress is different from expected outcomes and goals, does the service-for-one work with the person to update the support plan?
- QI 6. Is information in the support plan communicated to family members, carers, other providers and relevant government agencies? This is only where appropriate and with the person's consent.

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4	QI 5	QI 6
Participant support plan	✓			✓	✓	
Support plan review			✓	✓	✓	
Transition plan			✓	✓	✓	
File notes			✓		✓	
Records of the person's preferences, such as family, friends and the community						✓
Record of consent, such as a signature, audio or video file, that explains what personal information is collected and why	✓				✓	✓
Documentation or video that shows the person's preferred way of communicating or being supported with decision making	✓					✓
Assessment records	✓					
Individual risk assessment		✓				
Meeting minutes		✓		✓		

## Service agreements with participants

### Outcome

The person has a clear understanding of the supports they have chosen and how these supports will be provided.

### Quality indicators (QI)

Auditors will assess your progress towards this outcome using the following quality indicators:

- QI 1. Does the service-for-one work with the person to develop a service agreement?  
Does this service agreement:
- establish expectations?
  - explain the supports to be delivered?
  - specify any conditions attached to the delivery of supports, including why these conditions are attached?
- QI 2. Does the service-for-one support the person to understand their service agreement and conditions using the language, mode of communication and terms that they are most likely to understand?
- QI 3. Does the person get a copy of the signed service agreement if it was made in writing?  
If it is not possible to give the person a signed agreement, or the person chooses not to have a copy, does the service-for-one record why the person did not receive a copy of their service agreement?

The type of evidence you can use	QI 1	QI 2	QI 3
Participant support plan			✓
Service agreement	✓		
Support plan review	✓		
Transition plan	✓		
NDIS Code of Conduct signed by workers	✓		
File notes		✓	
Record of consent, such as a signature, audio or video file, that explains what personal information is collected and why		✓	
Documentation or video that shows the person's preferred way of communicating or being supported with decision making		✓	
Meeting minutes	✓	✓	



## Responsive support provision

### Outcome

The person can access supports that meet their needs and goals and that are:

- responsive
- timely
- competent
- appropriate.

### Quality indicators (QI)

Auditors will assess your progress towards this outcome using the following quality indicators:

- QI 1. Are supports provided in the least invasive way? Do the supports use contemporary, evidence-based practices? Do the supports meet the person's needs? Do the supports help the person reach their goals?
- QI 2. Where agreed in the service agreement, and with the person's consent or direction, does the service-for-one develop and maintain links with other providers to share information and meet the person's needs?
- QI 3. Does the service-for-one give the person the chance to choose their workers? This includes choosing their preferred gender for personal care support workers.
- QI 4. If the person has specific needs which require monitoring or daily support, are workers appropriately trained and understand the person's needs and preferences?

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4
Participant support plan	✓			
Support plan review	✓			
Transition plan	✓			
File notes	✓			
Record of consent, such as a signature, audio or video file, that explains what personal information is collected and why		✓		
Meeting minutes	✓			
Records of worker training				✓
Workers are matched according to the preference of the person			✓	
Input by the person into planning			✓	

## Transitions to or from the provider

### Outcome

The person experiences a planned and coordinated transition to or from a service-for-one.

### Quality indicators (QI)

Although this outcome is unlikely to occur for a person in a service-for-one, auditors will assess your progress towards this outcome using the following quality indicators:

- QI 1. Are any planned transitions of the person to or from the service-for-one organised in collaboration with the person? Is this documented, communicated and effectively managed?
- QI 2. Are risks associated with each transition of the person to or from the service-for-one identified, documented and responded to?
- QI 3. Are processes for transitioning the person to or from the service-for-one developed, applied, reviewed and communicated to the person?

The type of evidence you can use	QI 1	QI 2	QI 3
Transition plan	✓		
File notes			✓
Record of consent, such as a signature, audio or video file, that explains what personal information is collected and why	✓		
Assessment records		✓	

## Core module: Division 3 – Provision of supports

The type of evidence you can use	Access to supports			Support planning						Service agreements with participants			Responsive support provision				Transitions to or from the provider		
	1	2	3	1	2	3	4	5	6	1	2	3	1	2	3	4	1	2	3
Quality indicators																			
Plans																			
Participant support plan	✓			✓			✓	✓				✓	✓						
Service agreement	✓									✓									
Support plan review	✓	✓				✓	✓	✓		✓			✓						
Transition plan	✓	✓				✓	✓	✓		✓			✓				✓		
Records																			
NDIS Code of Conduct signed by workers										✓									
File notes						✓		✓			✓		✓						✓
Records of the person's preferences, such as family, friends and the community									✓										
Record of consent, such as a signature, audio or video file, that explains what personal information is collected and why				✓				✓	✓		✓								

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The type of evidence you can use	Access to supports			Support planning						Service agreements with participants			Responsive support provision				Transitions to or from the provider		
Quality indicators	1	2	3	1	2	3	4	5	6	1	2	3	1	2	3	4	1	2	3
<b>Systems</b>																			
Records of worker training																✓			
Workers are matched according to the preference of the person															✓				
<b>Work practices</b>																			
Changes to support delivery, such as home modifications		✓																	
Records that the person has a say about their planning															✓				