

A service for one: Evidence you can use for Module 2A

Implementing behaviour support plans



**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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- 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

The 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 module about?

Behaviour support and the use of regulated restrictive practices are considered high-risk supports, and are subject to additional requirements. Even though the names are similar, Module 2A is different to Module 2.

Module 2 is for specialist behaviour support providers who undertake behavioural assessments and develop behaviour support plans, such as:

- **NDIS behaviour support practitioners**
- psychologists
- people who meet [*The Positive Behaviour Support Capability Framework*](#)
- and who are approved by the **NDIS Quality and Safeguards Commission (NDIS Commission)**.

It is unlikely that this will apply to a service-for-one.

Module 2A is more relevant for **services-for-one**. This module is for providers that are implementing the behaviour support plan.

An **implementing provider** is any **NDIS provider** that uses **regulated restrictive practices** when they deliver NDIS supports to a person with disability. The standards under Module 2A say that your service-for-one needs to connect with a specialist behaviour support provider or NDIS behaviour support practitioner to help develop a behaviour support plan. You also need to:

- educate workers
- report any incidents to the NDIS Commission that relate to the use of regulated restrictive practices
- get state or territory authorisation to use regulated restrictive practices
- report to the NDIS Commission every month to meet the requirements of the [*NDIS Restrictive Practices and Behaviour Support\) Rules 2018*](#).

Why is it important?

The NDIS Commission is responsible for overseeing the quality and safety of all NDIS supports and services. This includes NDIS providers of any size or type of organisation and with any number of participants.

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

- create individualised strategies for people with disability that are responsive to the persons needs and aim to reduce or remove the need for regulated restrictive practices
- use evidence-based strategies and person-centred supports that meet the needs of the person with disability and address the reasons why behaviours of concern are happening
- safeguard the dignity and quality of life of people with disability who need specialist behaviour support.

What will the auditors be looking for?

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

- the service-for-one knows which state or territory regulated restrictive practice authorisation requirements apply to them
- the service-for-one understands its obligations under the [National Disability Insurance Scheme \(Restrictive Practices and Behaviour Support\) Rules 2018](#)
- the service-for-one is working to reduce or remove the need for regulated restrictive practices, where possible
- there are documents that include information about a person's behaviour. These documents are also used to develop and review behaviour support plans.

Evidence tables

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.

Behaviour support in the NDIS

Outcome

Every person has access to **behaviour support** that:

- meets their needs
- uses evidence-based strategies
- complies with relevant laws and policy frameworks.

Quality indicators (QI)

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

- QI 1. Does your service-for-one understand the laws and policy frameworks that apply to it under the NDIS, as well as under its state and territory laws and policy frameworks?
- QI 2. Does your service-for-one understand and use evidence-based strategies for behaviour support?
- QI 3. Does your service-for-one show a commitment to reducing and removing the need for regulated restrictive practices through policies, procedures and practices?

The type of evidence you can use	QI 1	QI 2	QI 3
File notes			✓
ABC (antecedent, behaviour, consequence) charts or similar			✓
Records of worker training		✓	
Incident reports, for example where a PRN is used			✓
Contribution to a functional behaviour assessment			✓
Reporting, notifications and communications with the NDIS Commission			✓
Documents about how to get authorisation for the use of restrictive practices in your state or territory	✓		

Regulated restrictive practices

Outcome

Any regulated restrictive practice used as part of a person's **behaviour support plan** must meet relevant:

- state and territory authorisation requirements
- Australian Government laws and policy.

Quality indicators (QI)

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

- QI 1. Does the service-for-one understand what the *NDIS (Restrictive Practices and Behaviour Support) Rules 2018* say about regulated restrictive practices? Does the service-for-one understand the state or territory law and policy requirements it must meet to get authorisation to use regulated restrictive practices?
- QI 2. Does the service-for-one have authorisation from its state or territory to use regulated restrictive practices, if this authorisation is required? Has it given evidence of this authorisation?
- QI 3. Do the regulated restrictive practices follow the person's behaviour support plan? Do the regulated restrictive practices comply with the *NDIS (Restrictive Practices and Behaviour Support) Rules 2018*? Are the regulated restrictive practices implemented, documented and reported in a way that complies with relevant laws and policy requirements?
- QI 4. Is the service-for-one working with specialist behaviour support providers to try to reduce or remove the need for regulated restrictive practices? Does it:
- assess how effective current approaches are?
 - implement strategies in the behaviour support plan?
- QI 5. Does the service-for-one make sure its workers maintain the right skills to use restrictive practices? Does the service-for-one make sure it supports the person and other stakeholders to understand the risks with using restrictive practices?

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4	QI 5
Behaviour support plan		✓	✓		
Behaviour support plan review		✓	✓		
ABC (antecedent, behaviour, consequence) charts or similar			✓		
Records of engagement with a specialist behaviour support practitioner				✓	
Evaluation of current approaches aimed at reducing or removing regulated restrictive practices				✓	
Records of worker training	✓				✓

Supporting assessment and development of behaviour support plans

Outcome

The person's quality of life is maintained and improved by behaviour support plans that:

- are personalised and evidence-based
- meet their needs.

Quality indicators (QI)

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

- QI 1. Does the specialist behaviour support provider have access to information for the functional behavioural assessment and other relevant assessments?
- QI 2. Does the service-for-one work with the specialist behaviour support provider to develop the person's behaviour support plan? Are the roles and responsibilities for implementing and reviewing the plan clear?
- QI 3. Do workers have the right skills to help develop the person's behaviour support plan?
- QI 4. Do workers have access to training to improve their skills in and knowledge of positive behaviour supports and restrictive practices?

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4
File notes	✓			
Records of the person's preferences of family, friends and the community	✓			
Meeting minutes	✓			
ABC (antecedent, behaviour, consequence) charts or similar	✓			
Referrals or medical assessments	✓			
Reports from behaviour support practitioner or other specialists	✓			
Records of engagement with a specialist behaviour support practitioner		✓		
Documented processes for how the service-for-one engages with specialist behaviour support providers during assessment, development, monitoring and review of behaviour support plans	✓	✓		
Worker position descriptions			✓	
Records of worker training			✓	✓

Behaviour support plan implementation

Outcome

The person's behaviour support plan is implemented effectively to meet their behaviour support needs.

Quality indicators (QI)

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

- QI 1. Are policies and procedures that support the implementation of behaviour support plans developed and maintained?
- QI 2. Does the service-for-one work with the specialist behaviour support providers to implement the person's behaviour support plan? Is the support evidence-based and positive?
- QI 3. Are workers supported to develop and maintain the skills they need to implement the strategies in the person's behaviour support plan?
- QI 4. Does the service-for-one support specialist behaviour support providers to train workers in how to use and monitor behaviour support strategies in the behaviour support plan?
- QI 5. Do workers receive training in how to use restrictive practices safely?
- QI 6. Does the service-for-one work with other providers that support the person to implement strategies in the behaviour support plan?
- QI 7. Does the service-for-one review the performance of its workers? Performance management makes sure that workers are implementing strategies in the person's behaviour support plan the right way.

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4	QI 5	QI 6	QI 7
Records of engagement with a specialist behaviour support practitioner		✓					
Records of working with specialist behaviour support providers				✓		✓	
Documentation about how data about individual behaviour support is managed and assessed		✓					
Records of worker training	✓		✓	✓	✓		
Records of worker de-briefing			✓				
Records of performance monitoring of workers			✓				✓

Monitoring and reporting the use of regulated restrictive practices

Outcome:

The person is only subject to restrictive practices that are reported to the NDIS Commission.

Quality indicators (QI)

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

QI 1. Does the service-for-one comply with monthly online reporting requirements about its use of regulated restrictive practices? (In line with the *NDIS (Restrictive Practices and Behaviour Support) Rules 2018*.)

QI 2. Does the service-for-one review its data to identify areas where it can improve?

QI 3. Does the service-for-one use data to provide feedback to

- workers
- the person's support network (with the person's consent)
- the specialist behaviour support provider

about how the behaviour support plan is implemented to try to find ways to reduce or remove the use of restrictive practices?

The type of evidence you can use	QI 1	QI 2	QI 3
File notes		✓	
Records of the person's preferences of family, friends and the community		✓	
Meeting minutes		✓	✓
ABC (antecedent, behaviour, consequence) charts or similar		✓	✓
Documentation about how data about individual behaviour support is managed and assessed		✓	
Ongoing review of data in collaboration with key stakeholders, such as meeting minutes			✓
Documented instructions for workers	✓		
Incident reports, for example where a PRN is used			✓
Medication administration charts			✓
Reporting, notifications and communications with the NDIS Commission	✓		

Behaviour support plan review

Outcome

The person has a behaviour support plan that reflects their needs and works towards:

- improving their quality of life
- reducing **behaviours of concern**
- reducing or removing the use of restrictive practices.

Quality indicators (QI)

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

- QI 1. Does the service-for-one monitor the implementation of the person's behaviour support plan? This includes through formal and informal approaches, such as feedback from the person, team meetings, data collection and record keeping, other feedback and supervision.
- QI 2. Does the service-for-one record information and collect data that the specialist behaviour support provider needs? (In line with the *NDIS (Restrictive Practices and Behaviour Support) Rules 2018*.)
- QI 3. Has the service-for-one identified circumstances where the person's needs, situation or progress have created a need for more frequent reviews? This includes if the person's behaviour changes.
- QI 4. Does the service-for-one help review the strategies in a person's behaviour support plan? Does the review focus on reducing or removing the use of restrictive practices based on progress or positive changes in the person's situation?

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4
Behaviour support plan	✓			
Behaviour support plan review	✓			✓
File notes	✓		✓	✓
Records of the person's preferences of family, friends and the community	✓		✓	✓
Meeting minutes	✓			✓
ABC (antecedent, behaviour, consequence) charts or similar	✓			✓
Documents about how to get authorisation for the use of restrictive practices in your state or territory				✓

Reportable incidents involving the use of restrictive practice

Outcome

If a restrictive practice is used in an emergency or unauthorised situation, this is reported to the NDIS Commission and reviewed.

Quality indicators (QI)

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

- QI 1. Was the person immediately referred to and assessed by a medical practitioner (where appropriate) after the incident of unauthorised use of a restrictive practice?
- QI 2. Does the service-for-one work with mainstream service providers to respond to the unauthorised use of a restrictive practice? This can include police and other emergency services, mental health and emergency departments, treating medical practitioners and other allied health clinicians.
- QI 3. Does the service-for-one report incidents where an unauthorised restrictive practice was used to the NDIS Commission? (In line with the *NDIS (Incident Management and Reportable Incidents) Rules 2018*.)
- QI 4. If an unauthorised restrictive practice has been used, did the workers and the people who manage the service that is implementing the behaviour support plan meet to talk about what could be improved and what other action needs to be taken? Were the results of this meeting documented?
- QI 5. After the service-for-one reviewed the incident of unauthorised restrictive practice, did it change its supports to the person? Where appropriate, did the service-for-one engage with a specialist behaviour support provider? This may be to develop or review the person's behaviour support plan or interim behaviour support plan. (In line with the *NDIS (Restrictive Practices and Behaviour Support) Rules 2018*.)
- QI 6. Has the service-for-one completed the authorisation process to use restrictive practices for their state or territory?
- QI 7. Is the person included in the review? With the person's consent, is their support network and other stakeholders included in the review?

The type of evidence you can use	QI 1	QI 2	QI 3	QI 4	QI 5	QI 6	QI 7
Behaviour support plan						✓	
Behaviour support plan review					✓	✓	
File notes		✓			✓		
Records of the person's preferences of 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							✓
Meeting minutes		✓					
Referrals or medical assessments	✓						
Reports from behaviour support practitioner or other specialists	✓						
Records of worker de-briefing				✓			
Incident reports, for example where a PRN is used			✓				
Reporting, notifications and communications with the NDIS Commission			✓				

Interim behaviour support plans

Outcome

The person who needs a behaviour support plan quickly, receives an evidence-based interim behaviour support plan, which minimises risk to them and others.

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 mainstream service providers to develop an interim behaviour support plan with a specialist behaviour support provider? Mainstream service providers can include police and other emergency services, mental health and emergency departments, treating medical practitioners and other allied health clinicians.
- QI 2. Does the service-for-one support the specialist behaviour support provider to develop the interim behaviour support plan?
- QI 3. Are workers supported to receive training in how to implement the interim behaviour support plan?

The type of evidence you can use	QI 1	QI 2	QI 3
Interim behaviour support plan	✓		
File notes	✓		
Meeting minutes	✓		
Reports from behaviour support practitioner or other specialists	✓		
Engagement with a specialist behaviour support practitioner	✓	✓	
Records of worker training			✓

Module 2A – Implementing behaviour support plans

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The type of evidence you	Behaviour Support in the NDIS			Regulated restrictive practices					Supporting assessment and development of behaviour support plans				Behaviour support plan implementation							Monitoring and reporting the use of regulated restrictive practices			Behaviour Support Plan Review				Reportable incidence involving the use of restrictive practice							Interim behaviour support plans			
	1	2	3	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	7	1	2	3	1	2	3	4	1	2	3	4	5	6	7	1	2	3	
Quality indicators																																					
Records																																					
File notes			✓						✓												✓		✓	✓	✓		✓			✓			✓				
The person’s preferences of family, friends and the community are recorded									✓												✓		✓	✓	✓		✓			✓			✓				
Record of consent																																		✓			

The type of evidence you	Behaviour Support in the NDIS			Regulated restrictive practices					Supporting assessment and development of behaviour support plans					Behaviour support plan implementation							Monitoring and reporting the use of regulated restrictive practices			Behaviour Support Plan Review				Reportable incidence involving the use of restrictive practice							Interim behaviour support plans		
Quality indicators	1	2	3	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	7	1	2	3	1	2	3	4	1	2	3	4	5	6	7	1	2	3	
Documented instructions for workers																				✓																	
Incident reports			✓																			✓							✓								
Reporting, notifications and communications with the NDIS Commission			✓																	✓										✓							

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