

Professional Standards of Practice

Plan Management

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Produced DIA with input, consultation, and co-design with the Australian Disability Sector and People with a Disability.

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Acknowledgement of Country

Disability Intermediaries Australia respectfully acknowledges Australia's Aboriginal and Torres Strait Islander communities and their rich culture. Disability Intermediaries Australia pays respect to their Elders past, present and emerging. We acknowledge Aboriginal and Torres Strait Islander peoples as Australia's first peoples and as the Traditional Owners and custodians of the land and water on which we rely.

We recognise and value the ongoing contribution of Aboriginal and Torres Strait Islander peoples and communities to Australian life and how this enriches us. We embrace the spirit of reconciliation, working towards the equality of outcomes and ensuring an equal voice.

Acknowledgement of Rights of People with a Disability

Disability Intermediaries Australia acknowledges the objectives of the United Nations Convention on the Rights of Persons with Disabilities which affirms that all persons with all types of disabilities must enjoy all human rights and fundamental freedoms. DIA embraces this Convention as we continue to support choice and control for all Australians with a disability.

Contents

| | |
|---|----|
| Acknowledgement of Country..... | 3 |
| Acknowledgement of Rights of People with a Disability | 3 |
| CEO Foreward..... | 6 |
| DIA Professional Standards of Practice..... | 7 |
| 1. Introduction..... | 8 |
| 1.1. Context..... | 8 |
| 1.2. Aim of these Standards..... | 8 |
| 2. Legislation, Rules, Requirements, Standards, Responsibilities and Guidance Status..... | 9 |
| 3. Service Statement and Principles | 15 |
| 3.1. Self-Direction..... | 15 |
| 3.2. Independence..... | 15 |
| 3.3. Consumer Approach..... | 15 |
| 3.4. Build Capacity..... | 15 |
| 3.5. Best Interest | 16 |
| 3.6. Dignity..... | 16 |
| 3.7. Accountability..... | 16 |
| 3.8. Values and Beliefs | 17 |
| 3.9. Continuous Improvement..... | 17 |
| 3.10. Position of Power | 17 |
| 3.11. Safeguarding | 17 |
| 4. Governance | 19 |
| 4.1. Risk Management..... | 19 |
| 4.2. Quality Management..... | 20 |
| 4.3. Incident Management | 20 |
| 4.4. Information Management..... | 20 |
| 4.5. Continuity of Supports..... | 22 |
| 4.6. Business Continuity and Disaster Recovery..... | 22 |
| 5. Management | 24 |
| 5.1. Operational Management..... | 24 |
| 5.2. Complaints Management | 24 |
| 5.3. Human Resources Management..... | 25 |
| 5.4. Participant Safeguarding | 25 |
| 5.5. Client Notes | 26 |

| | |
|--|-----------|
| 6. Conflict of Interest and Service Independence | 27 |
| 6.1. Managing Conflicts of Interest..... | 27 |
| 6.2. Maintaining Service Independence | 27 |
| 6.3. Service Delivery by Family Members..... | 29 |
| 7. Participants choose how they wish to have their NDIS Plan funds managed..... | 31 |
| 8. Plan Management Services under the NDIS | 32 |
| 8.1. Types of Plan Management service..... | 32 |
| 8.2. Participants Connecting to a RPMP | 33 |
| 8.3. General Marketing | 34 |
| 9. Service Functions and Support Delivery..... | 35 |
| 9.1. Plan Management Functions..... | 35 |
| 9.2. Service Initiation | 35 |
| 9.3. Ongoing Service Responsibilities | 39 |
| 10. Management of Funds and Bank Accounts..... | 44 |
| 10.1.Account..... | 44 |
| 10.2.Separation of Transactions | 44 |
| 10.3.Reconciliation of Account..... | 44 |
| 11. Duties Outside the Scope of RPMPs..... | 46 |
| 11.1. Plan Implementation or Support Coordination | 46 |
| 11.2. Employment of Staff on behalf of a Participant..... | 46 |
| 11.3. Under and Over Spend | 46 |
| 11.4. Debt Recovery and Liability | 47 |
| 12. NDIS Registration Requirements..... | 49 |
| 12.1. Becoming a RPMP..... | 49 |
| 12.2.Provider Registration Requirements – NDIS Commission | 49 |
| Glossary of Terms | 52 |



CEO Foreward

Since our inception in 2018, Disability Intermediaries Australia (DIA) has been an active voice, envoy and thought leader for the increased resilience, viability, and quality in Intermediary services via ongoing support and reform.

DIA continues to grow with our reach spanning beyond our membership and into the broader Intermediaries sector, we are committed to supporting and assisting the development of a high-quality Intermediary supports and services market to Australians with a disability.

As the Intermediaries sector continues to mature and grow, these sector developed professional standards will lay the quality foundations on which Registered Plan Management Providers operate.

To ensure these standards were developed by the sector, DIA has, over the past two years, undertaken genuine and unprecedented consultation with providers and participants.

DIA formed a Professional Plan Management working group that included a total of 23 members of the Plan Management Sector.

This working group has supported DIA in the development of these Professional Standards of Practice.

Further input has been sought from over 600 intermediary service providers to ensure that these standards are fit for purpose and take into account the wide scope of operating approaches and unique service offerings. This input has been gathered through one-on-one sessions with providers, written submissions and workshops.

To ensure these professional standards have captured and embedded the views, priorities, and requirement of people with a disability, DIA has engaged directly with 187 participants.

This participant engagement was conducted through group sessions in Brisbane, Melbourne, and Perth as well as one-on-one sessions with participants via video conference.

Disability Intermediaries Australia is proud to present these Professional Standards of Practice.



Mr Jess Harper *GAICD, AGIA*
Chief Executive Officer
Disability Intermediaries Australia

DIA Professional Standards of Practice

DIA members are expected to act in accordance with these Professional Standards of Practice. These standards will be effective from 1 March 2022.

Sections within these Professional Standards of Practice set specific mandatory requirements for members through the use of 'must'. Members must not depart from specific mandatory requirements.

Sections within these Professional Standards of Practice set an expectation or recommendation of practice through the use of 'should'.

Where members depart from these, they should do so only for a justifiable good reason.

Members must note there may be disciplinary consequences for departing from these Professional Standards of Practice.

When an allegation of professional negligence is made against a RPMP, the legal system is likely to take account of these sector developed Professional Standards of Practice in deciding whether or not the RPMP has acted with reasonable competence.

There are existing national requirements, codes of conduct, rules and legislation that take precedence over these Professional Standards of Practice.

DIA has referenced many of these within these Professional Standards of Practice as prescribed requirements under federal/state legislation. It is the duty of each DIA member to be aware of which standards apply.

Members must be up to date and have knowledge of these Professional Standards of Practice within a reasonable time of them coming into effect. It is the member's responsibility to be aware of changes in law and legislation since the date of publication.

DIA will continue to work with the NDIA and NDIS Quality and Safeguards Commission to support the Intermediary sector to delivery high quality supports to people with a disability.

1. Introduction

1.1. Context

The DIA Professional Standards of Practice for Plan Management (Standards) have been developed to outline the minimum practice expectations required of the delivery of Plan Management services.

These Standards are designed to establish the minimum standard for RPMPs practice, ensuring they fulfill the expected level of quality, safeguarding and support to people with a disability.

The relevant legislation and principles that encompass the disability sector provide the foundation for these Standards.

The legislative and ethical responsibilities as detailed in the relevant legislation, rules, principles and guidelines underpin all practice and therefore form the basis of the Standards outlined in this document.

Extensive consultation has been undertaken to develop these Standards and they will be revised periodically to ensure they remain relevant to the changing disability environment.

1.2. Aim of these Standards

The aim of the Standards is to:

- Set minimum requirements of Plan Management;
- Set a basis for applying standards across the diversity of practice in Australia;
- Set a basis for minimum expected quality and safeguarding specifically for Plan Management;
- Provide a guide for the assessment of practice;
- Provide a guide for planning professional development; and
- Set a continuous improvement approach within the sector.



2. Legislation, Rules, Requirements, Standards, Responsibilities and Guidance Status

Plan Managers play a significant role in assisting participants of the NDIS in achieving quantifiable and positive outcomes whilst building the capacity of participants. Plan Managers must conduct themselves in a professional manner and champion the social and economic participation and employment of people with a disability.

There is a wide range of legislation, rules, requirements, responsibilities, standards and guidance that RPMPs operate under. The status of these have been defined in the table below, noting that this is not an exhaustive list and may change at any time.

Table 1: Status of Legislation, Rules, Requirements and Guidance.

| Type of Document | Definition | Status |
|--|--|------------------|
| UN Convention | | |
| United Nations Convention on the Rights of Persons with Disabilities | The Convention is intended as a human rights instrument with an explicit, social development dimension. It adopts a broad categorization of persons with disabilities and reaffirms that all persons with all types of disabilities must enjoy all human rights and fundamental freedoms. | Mandatory |
| Legislation | | |
| National Disability Insurance Scheme Act 2013 | The NDIS Act is the legislative instrument that establishes the NDIS with the objective of giving effect to Australia's obligations under the Convention on the Rights of Persons with Disabilities by supporting the independence and social and economic participation of people with disability; provide reasonable | Mandatory |

| | | |
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| | and necessary supports, including early intervention supports, for participants in the National Disability Insurance Scheme; and enable people with disability to exercise choice and control in the pursuit of their goals and the planning and delivery of their supports. | |
| <u>Disability Discrimination Act 1992</u> | The Disability Discrimination Act enshrines that people with a disability have the same rights to equality before the law and fundamental rights as the rest of the community in the areas of work, accommodation, education, access to premises, clubs and sport as well as the provision of goods, facilities, services, land, existing laws and the administration of Commonwealth laws and programs. | Mandatory |
| <u>Australian Consumer Law</u> | The Australian Consumer Law (ACL) is a single, national law, which applies in the same way nationally and in each State and Territory. It is the principal consumer protection law in Australia. Under the ACL, NDIS participants have protections and expectations about the conduct of Plan Management Providers. | Mandatory |
| <u>Sex Discrimination Act 1984</u> | The Sex Discrimination Act affirms that every individual is equal before and under the law and has the right to the equal protection and equal benefit of the law, without discrimination on the grounds of sex, sexual orientation, gender identity, intersex status, marital or relationship status, pregnancy or potential pregnancy, breastfeeding or family responsibilities. | Mandatory |
| <u>Privacy Act 1988</u> | As Australia is a party to the International Covenant on Civil and | Mandatory |

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| | Political Rights, Australia has undertaken to adopt such legislative measures to give effect to the right of persons not to be subjected to arbitrary or unlawful interference with their privacy, family, home or correspondence. | |
| Australian Taxation Law | The Australian Tax Office (ATO) has provided guidance with regard to the charging of GST in relation to the delivery of NDIS supports. | Mandatory |

Rules

| | | |
|--|--|------------------|
| NDIS (Code of Conduct) Rules 2018 | The NDIS Code of Conduct explicitly states the standards and obligations that people with disability and the Australian community can expect of NDIS providers and workers delivering NDIS supports and services. | Mandatory |
| NDIS (Provider Registration and Practice Standards) Rules 2018 | These rules set out some of the conditions that providers must comply with to become and remain registered NDIS providers. They also set out the NDIS Practice Standards that apply to all registered NDIS providers, and those that apply to providers delivering more complex supports in areas including Plan Management. | Mandatory |
| NDIS (Complaints Management and Resolution) Rules 2018 | Registered NDIS providers are required to have complaints management arrangements in place and support people with disability to understand how to make a complaint to the provider and to the NDIS Commissioner. The rules will ensure providers are responsive to the needs of people with disability through the timely resolution of issues and will promote continuous improvement. | Mandatory |

| | | |
|--|--|------------------|
| NDIS (Incident Management and Reportable Incidents) Rules 2018 | Registered NDIS providers must establish incident management arrangements to enable the identification of systemic issues and drive improvements in the quality of the supports they deliver. Providers must also notify, investigate and respond to reportable incidents. | Mandatory |
| NDIS (Practice Standards – Worker Screening) Rules 2018 | Registered NDIS providers must ensure that key personnel and other workers in certain types of roles have a worker screening clearance that meets the requirements of the NDIS Practice Standards. | Mandatory |

| Standards | | |
|---|--|--|
| Professional Standards of Practice for Plan Management <i>(these Standards)</i> | Profession Standards of Practice for Plan Management have been developed to outline the practice expectations required of all RPMPs. These Standards are designed to establish the minimum standard for Plan Managers practice, ensuring they fulfill the expected level of quality, safeguarding and support to people with a disability. | Mandatory DIA Members Recommended Non-DIA Members |
| National Standards for Disability Services | The National Standards reflect the move towards person-centred approaches whereby people with disability are at the centre of planning and delivery. Person-centred approaches ensure that individuals are in the centre of service design, planning, delivery and review. | Recommended |
| National Mental Health Standards | The Standards have been developed to be applied across the broad range of mental health services. This includes bed based and community mental health services, those in the clinical and non-government sectors, those in the private sector and also | Recommended |

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| | those in primary care and general practice. | |
| NDIA Policy | | |
| NDIA Operational Guidelines | The Operational Guidelines set out some of the NDIA's operational information. They are based on the NDIS Legislation and Rules. They explain what we need to consider and how we make decisions based on the legislation. | Recommended |
| NDIS Pricing Arrangements and Limits | NDIS Pricing Arrangements and Price Limits assist participants and disability support providers to understand the way that price controls for supports and services work in the NDIS. Depending on the management type of all or part of a participant's plan, price limits may set the maximum prices that registered providers can charge NDIS participants for specific supports. | Mandatory NDIA-Managed and Plan-Managed sections of a participants plan only. |
| Guidance | | |
| NDIS Guide to Plan Management | The NDIS Guide to Plan Management is a practice guide intended for participants with plan management services included in their plan, providers of plan management services, and the wider community. | Guidance |
| Ways to manage your funding - Plan management | General NDIA guidance on Plan Management. | Information |
| Ways to manage your funding | General NDIA guidance on way of managing participants funds. | Information |
| Plan budget and rules | General NDIA information on plan budgets and rules. | Information |



3. Service Statement and Principles

The service statement and principles outline the culture of fairness, participant centred service and transparency that underpin all activities undertaken by RPMPs.

RPMPs play a fundamental role in supporting participants to live a good life, one where the participants are socially and economically included within their community.

3.1. Self-Direction

RPMPs will focus on the strengths of the participant and promote self-direction and greater autonomy in collaboration with informal supports and/or formal decision makers as appropriate.

RPMPs will provide detailed and timely information to participants to support informed and self-directed decision making.

3.2. Independence

Independence of service seeks to ensure the mitigation or risk of conflict of interest concerns and promotes greater transparency as

well as genuine choice and control for the participant.

RPMPs will do the utmost to avoid conflicts of interest and, where they do arise, deal with them openly, fairly and promptly.

RPMPs will assist participants to achieve their goals, without seeking to further the financial or other interests of third parties.

3.3. Consumer Approach

RPMPs will conduct business in an honest, fair, transparent and professional manner.

Participants accessing a Plan Manager receive specialised support to move from a passive recipient with fewer choices of services to active consumers that shape the market through their spending power.

RPMPs must ensure that all advertising and marketing material is honest, decent, and factual.

3.4. Build Capacity

RPMPs will look for opportunities in everyday interactions to build capacity with the participants they support.

RPMPs will work in a safe, competent and participant centred

manner to inform and educate participants so they understand the funds available in their plan.

RPMPs will work collaboratively with participants to manage their plan budget to achieve individual goals and outcomes.

3.5. Best Interest

RPMPs are engaged by, act at the direction and in the best interests of the Participant.

RPMPs will assist participants to exercise their choice and their decision making in managing their plan funding.

RPMPs will carry out work with due skill, care and diligence, and ensure that any staff employed or engaged to deliver the plan management service have the necessary skills to carry out their tasks.

RPMPs actual, potential, or perceived conflicts of interest must be identified and communicated to participants and/or legal decision makers.

3.6. Dignity

RPMPs will not discriminate unfairly in any dealings with participants. RPMPs must respect the privacy and dignity of participants and must understand that participants always have capacity in their

choices. While acknowledging and respecting the role of families, carers, advocates and other significant persons, RPMPs must recognise each participant's right to make their own decisions.

RPMPs are not required to or responsible for making decisions on a participant's behalf, rather RPMPs may assist participants to make informed decisions.

3.7. Accountability

RPMPs will ensure that participants are provided with terms of engagement for their Plan Management Service which are fair and clear.

These should meet all legal requirements and relevant codes of practice including reference to complaints-handling procedures.

In all dealings with participants, RPMPs must ensure that all communications (both financial and non-financial subject matters) are fair, clear, timely and transparent.

RPMPs must ensure that all participant monies are transacted separately from other monies in appropriately designated accounts and is covered by adequate insurance.

3.8. Values and Beliefs

RPMPs will not unduly limit each participant's ability to access supports that respect their culture, diversity, values and beliefs.

RPMPs will promote, uphold and respect all participants' legal and human rights and enable them to exercise informed choice and control.

Further, RPMPs will promote, uphold and respect each individual's right to freedom of expression, self-determination and decision-making.

3.9. Continuous Improvement

RPMPs will implement evidence-based practices that are informed by NDIS practices, recommended industry approaches and their own professional development and learning.

RPMPs will take an active role in encouraging and supporting participants, or their advocates, to make complaints or provide feedback in the interests of provider continuous improvement.

Plan Managers will embrace innovation providing information and services in a contemporary and up-to-date manner.

3.10. Position of Power

RPMPs must recognise that some participants are not in a position or capable of exercising some or all of their rights under law.

As such RPMPs must recognise that they hold a position of power and must adequately support a participant to balance this power and support their interests.

3.11. Safeguarding

RPMPs will ensure they hold a zero tolerance to abuse, neglect, and fraud. RPMPs will report and cooperate with any lawful investigation into such matters immediately and fully.

RPMPs will support participants to reduce their vulnerability through regular interactions to ensure they are supported and receiving the services they are being billed for.

Chapters 4-12 of these Standards draw on these 11 principles to ensure that participants receive objective support, delivered in a professional manner.

Further to these standards all RPMPs must be registered with the NDIS Quality and Safeguards Commission, see chapter 12.



4. Governance

RPMPs must have adequate and robust policies, processes and systems to ensure the overall direction, effectiveness, supervision and accountability of their service meets their regulatory and statutory requirements.

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.3 Consumer Approach

3.5 Best Interest

3.7 Accountability

3.9 Continuous Improvement

3.10 Position of Power

3.11 Safeguarding

A RPMP governance approach must:

- Provide opportunities for people with disability to have input into the development of RPMPs policy and processes relevant to support provision and protection of participant rights;
- Have a defined structure to ensure the RPMPs financial, legislative, regulatory and contractual responsibilities are met, including monitoring and

responding to quality and safeguarding matters that arise while delivering support to clients.

This governance structure (policies, processes, and systems) should be practical, fit for purpose and proportionate to the size and scale of the provider, cohort of clients and their supports and complexity of the support being delivered. To achieve this a RPMP must consider the following areas of its governance structure.

4.1. Risk Management

A RPMP must implement a risk management approach that when followed allows for effective management of their risk by:

- Documenting the provider's risk through the implementation and use of documents, for example:
 1. Risk Management Framework;
 2. Policies / procedures including risk metrics; and
 3. Risk Register.
- Documenting and delivering a worker induction that includes training on:
 1. Work health and safety;
 2. Risk identification and management;

3. Complaints management;
4. NDIS statutory requirements as set out in the Quality and Safeguards Orientation Module;
5. Mandatory reporting requirements; and
6. Rights and responsibilities in all aspects of service delivery.

4.2. Quality Management

A RPMP must implement a quality management approach that actively ensures continuous improvement of service delivery by:

- Documenting policies and procedures to enable consistent delivery standard;
- Ensuring regular training, professional supervision and professional development;
- Ensuring quality is informed by the use of a robust feedback and complaints system (see 5.2) and therefore participant directed; and
- Monitoring service delivery and organisational performance to drive continuous improvement.

4.3. Incident Management

RPMPs are required to demonstrate a commitment to participant safeguarding by implementing an

incident management policy and approach that includes how:

- Incidents are documented, including actions taken, resolutions and outcomes;
- Documentation of the incident, actions, resolution and outcomes are provided to the participant in a timely manner;
- Each incident triggers a timely review of policy, procedures, and systems that may have contributed to the incident; and
- Relevant changes are implemented into improve service delivery as soon as practicable as part of the RPMPs continuous improvement system.

4.4. Information Management

A RPMP must ensure that information recorded about a participant is informed, identifiable, accurately recorded, current and confidential.

4.4.1. Consent

Prior to the recording or storage of information:

- Privacy and confidentiality rights and responsibilities are explained in full to the participant and/or legal decision

maker in their preferred mode of communication. This includes, but is not limited to, how information is used, retained and shared with other parties and for what purpose;

- The participant's and/or legal decision makers specific and informed consent is obtained and recorded; and
- Participants are informed that they can withdraw or amend their specific informed consent at any time; and

4.4.2. Privacy Statement

RPMPs must make a privacy statement publicly available, such as published on the RPMPs website.

At a minimum, a RPMPs privacy statement must include:

- The legal name of the RPMP;
- The types of personal information the RPMP generally collects to fulfil its main functions;
- How the RPMP uses and shares the personal information it collects, including the types of third parties the information may be shared with;
- Whether collection of personal information is compulsory or optional;
- How the RPMP securely stores and manages access to the

personal information, and for how long it may be stored;

- How privacy is protected if the information is transferred;
- The date and version of the privacy statement; and
- How an individual can contact the RPMP and request access to the information held about them and/or make a privacy complaint.

4.4.3. Recording and Storage

The RPMP must ensure information is recorded and stored according to best practice principles including:

- Securely stored in compliance with the Privacy Act 1988;
- Access is managed to all recorded and stored information;
- Medical / health information is recorded and stored in line with Commonwealth, State and Territory requirements.
- Information is relevant, accurate, and specific to the Support Coordinators function; and
- Being recorded and stored as soon as practicable without undue delay.

4.4.4. Request for Information

Boundaries of confidentiality are explained and reiterated

throughout service provision, including where a provider is obligated by law to share information of a participant without their consent.

The participant's and/or legal decision makers specific and informed consent to share any of their information with third parties that are not entitled to such information by law.

- Participant's preferences are communicated to external services, with the participants consent, to ensure all experiences of direct support is consistent with their expressed preferences; and
- Arrangements meet the participants support needs with every effort given to ensure sustainability and consistency of supports over the life of their plan.

4.5. Continuity of Supports

RPMPs must have processes in place that ensure access to timely and appropriate supports as directed by the participant which protects the participant from any service disruption by ensuring:

- Day to day operations are managed effectively and efficiently according to these Standards;
- Any changes or interruptions to supports which require alternative arrangements to be made, that these arrangements are appropriately explained to the participant, agreed to by the participant and implemented in a prompt manner;
- Supports are planned and directed by the participant to meet their specific needs and preferences over the course of their plan;

4.6. Business Continuity and Disaster Recovery

As a registered NDIS provider, RPMPs have obligations under the NDIS Code of Conduct and the NDIS Practice Standards, as well as conditions of registration, that relate to the delivery of safe, quality supports and services, and the management of risks associated with the supports RPMPs provide to NDIS participants.

RPMPs must:

- Have a business continuity plan that identifies strategies to manage critical risks to participants, staff and the business;
- Regularly review the business continuity plan;
- Understand the extent to which a disruption of services would

impact the health and safety of participants;

- Communicate the business continuity plan to staff and where necessary participants;
- Ensure participants understand how they will be supported under the business continuity plan when enacted;
- Report to the NDIS Commission when there is a significant disruption to the ability to provide services and supports to participants



5. Management

RPMPs must have adequate and robust policies, processes and systems to ensure the overall management of their service.

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.3 Consumer Approach

3.5 Best Interest

3.7 Accountability

3.9 Continuous Improvement

3.10 Position of Power

3.11 Safeguarding

5.1. Operational Management

A RPMP must:

- Assess the skills, knowledge, experience, qualifications and ability of all workers to govern effectively, deliver quality service and meet the needs of the clients they support, and where gaps are identified relevant training must be undertaken;
- Clearly define and document the responsibility, authority, and accountability for all workers

involved in the provision and delivery of support; and

- Proactively manage and document all perceived and real conflicts of interests.

5.2. Complaints Management

RPMPs are required to ensure that participants have easy access to the RPMPs complaints management and resolution system which ensures all complaints are:

- Documented, including actions taken, resolutions and outcomes;
- Well-managed in a supportive environment according to the rules and requirements under the NDIS (Complaints Management and Resolution) Rules 2018;
- Reviewed and where required trigger subsequent updates and improvements to improve service delivery, in line with the continuous improvement system in place; and
- Actioned with detailed information on what has been done to address the complaint provided to the participant along with further avenues for escalation external to the RPMP, including the NDIS Commission and Formal Advocates.

5.3. Human Resources Management

RPMPs must have a robust Human Resources Management approach in place that ensures recruitment processes considers base line qualifications and competencies that match each role, and all relevant documentation to support these are kept on file.

5.3.1. Employment Checks and Screening

RPMPs must undertake and document employee screening and checks including:

- NDIS Worker Screening for all risk assessed roles; and
- Police and Working with Children / Vulnerable Peoples checks for all other employees.

Whilst not mandatory, DIA highly recommend, Bankruptcy checks for all employees that will have access to or interact with participant or RPMP funds.

5.3.2. Professional Development

RPMPs must ensure all workers, including staff, team members and contractors and labour hire, undertake at least 10 hours of professional development per year (12 months).

Professional development can be conducted and delivered via internal and/or external facilitators either online or in face-to-face environments and may include / incorporate any yearly refresher courses.

All professional development must be documented with copies of certifications kept on file.

RPMPs must document the performance of each worker and ensure regular supervision, support, resources, training and development opportunities.

5.4. Participant Safeguarding

RPMPs will ensure that they:

- Report to the NDIS Quality and Safeguards Commission as a third-party where required;
- Report to the NDIA regarding possible fraud and compliance breaches;
- Liaise with the NDIA regarding critical incidents and participant vulnerability; and
- Report to the NDIS Commission situations where participant behaviours place them, their family, the public and staff in danger.

5.5. Client Notes

Client notes are a record of interactions, and actions pertaining to a specific client. Client notes are not 'case notes' rather they contain information that is important to capture, such as escalations, preferences, requests and decisions.

RPMPs should implement clients notes in a form and structure that meets their and their client's needs. Information on a client must always be recorded in a neutral tone, accurate and based in fact.

RPMPs will make client notes available to participants upon request within a reasonable timeframe.

During and or after the engagement of a RPMP, client notes may be subject to a variety of statutory processes and regulations.

These process and regulations may vary depending on the State or Territory of operation and the kind or setting of practice, for example, being subject to Freedom of Information laws.



6. Conflict of Interest and Service Independence

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.2 Independence

3.3 Consumer Approach

3.5 Best Interest

3.7 Accountability

3.10 Position of Power

3.11 Safeguarding

6.1. Managing Conflicts of Interest

A conflict of interest occurs when someone in a position of trust, such as a RPMP, has real or perceived competing private and professional interest(s), making it more difficult to fulfil their professional duties without bias.

RPMPs often provide information to participants and receive sensitive information regarding participants within the scope of their role.

Conflicts of interest may arise when assisting a participant in connecting to providers of supports and broader systems of support.

RPMPs must not (by act or omission) constrain, influence or direct decision making by a person with disability and/or their family so as to limit that person's access to information, opportunities and choice and control.

Providers must be able to demonstrate the effectiveness of their internal conflict of interest policies and controls to the NDIA and NDIS Commission as requested.

The NDIA and NDIS Commission can conduct an audit of the effectiveness of a provider's conflict of interest policies, practices and controls, to ensure choice and control principles are being respected.

6.2. Maintaining Service Independence

To the maximum extent possible, Intermediary Supports (Support Coordination and Plan Management) must not be delivered by an organisation that also delivers other direct supports to the same participant.

Such service independence increases a participant's choice and control, whilst protecting and ensuring a participant's interests and voice are amplified.

Exceptions where RPMP services may be delivered by an organisation that also delivers other direct supports to the same participant, may include where:

- Service is delivered in remote / very remote and thin market settings;
- Cultural safety and competence is required to deliver outcomes e.g., CALD, LGBTQIA+ cohorts;
- Thin markets exist and where it is not appropriate for Support Coordination to be delivered remotely, such as Aboriginal and Torres Strait Islander communities;
- Participants require a closed network of supports;
- Participants requires restricted levels of privacy; and
- Expressly approved or accepted by a delegate or authorised decision maker of the NDIA or NDIS Commission.

These exemptions require specific action by a RPMP to ensure adequate conflict of interest procedures, processes and development plan to locate alternative support arrangements to mitigate such conflict (i.e. independent supervision and/or alternate support provision).

As such in these circumstances the provider must document and ensure:

- Participant information and data obtained for the purposes of Plan Management must be stored separately to Participant information and data obtained for the purposes of all other non-intermediary supports;
- Participant information and data obtained for the purposes of Plan Management must have access and permissions established so that such information and data can only be accessed, viewed, edited or utilised for the purposes of Plan Management service provision and delivery, unless otherwise agreed to by the participant prior to such access being granted;
- No remuneration, bonus, commission (whole or trailing) or incentive may be given to workers (employees, contractors, volunteers, management and Board of Directors and others associated with the organisation) for capturing, converting or directing participants to other non-intermediary supports and services;
- A commitment to competitiveness of pricing, avoiding fixed pricing and ensuring a fair market rate;

- How each service is to be provided and the delineation of duties for such services to ensure that duplication of fees or support is not possible;
- That no other support or service is supplied on the condition of also supplying Intermediary Supports (Support Coordination and Plan Management) and vice versa; and
- That the participant or legal decision maker has considered and accepts the following conditions, where they have:
 1. Been presented with and considered all other available / appropriate options for the provision and delivery of Intermediary Supports (Support Coordination and Plan Management); and
 2. Still elected to engage such service from the conflicted provider.

6.3. Service Delivery by Family Members

As a general practice, the NDIA does not fund family members to provide supports and services to participants.

There are extremely limited examples of where the NDIA has expressly accepted and funded a

participant to engage a family member to deliver support and service, these cases are rare, involving direct service delivery and only appear to occur where all other support options are identified and have been exhausted.

As such it is not appropriate for a RPMP to deliver formal and funded support or service to a family member, in these circumstances a participant should look to engage an alternate RPMP.

In a case where family members are receiving service from a RPMP who employs or engages other family members to work with the that organisation, RPMPs must ensure they record these potential conflicts of interest and document processes to limit engagement between family members whilst ensuring the above processes are also met.

A family member is an individual who is related to a person with disability through one of the following relationships (including half, adopted, in-law, and/or step): wife, husband, father, mother, guardian, grandfather/mother, daughter/son, granddaughter/son, brother, sister, aunt, uncle, niece, nephew, first cousin, boyfriend, girlfriend or domestic/de-facto partner.



7. Participants choose how they wish to have their NDIS Plan funds managed.

Understanding this section of these Standards will ensure RPMPs meet the following service statement and principles:

3.1 Self Direction

3.3 Consumer Approach

3.6 Dignity

3.8 Values and Beliefs

During the NDIS planning process, a NDIA planner or NDIA agent will explain all possible plan management options with the participant and explain how each option will determine how the supports will be managed.

The participant may make a plan management request and specify how they wish to manage some, or all of the funds in their plan.

Under section 43 of the NDIS Act, where a participant requests for all or part of their funds to be plan managed the NDIA must give effect to this request.

A participant's capacity to manage their own financial supports or

income does not have a bearing on a participant's decision to have their NDIS funded supports managed by a RPMP.

Whilst plan management funding is included in a participant's capacity building budget, the choice for a participant to be plan-managed is a legislative entitlement and plan management services are therefore not considered the same as other capacity building or reasonable and necessary supports.

Participants are encouraged to consider the safeguards, strategies and support mechanisms they have in their lives when deciding on their support requirements, developing their plan, and putting their plan into action. This extends to the way their funded supports are managed.

NDIS funding for plan management is included in the participant's NDIS plan when a participant has chosen to have part or all their funded supports plan-managed by a RPMP.

This separate funding is included in a participant's plan in addition to all other NDIS plan funding.

8. Plan Management Services under the NDIS

This section of these standards will ensure RPMPs meet the following service statement and principles:

3.1 Self Direction

3.3 Consumer Approach

3.5 Best Interest

3.6 Dignity

3.7 Accountability

3.8 Values and Beliefs

3.10 Position of Power

8.1. Types of Plan Management service

There are two types of services that a RPMP provides:

- The financial administration of a participant's plan; and
- Plan and financial management capacity building and training.

RPMPs are engaged by an NDIS participant, and as such RPMPs act at the direction of the Participant.

RPMPs are not agents of the NDIA and are not considered as a

nominee, or legal decision maker of a NDIS Participant.

8.1.1. Plan Management (Financial Administration)

Plan Management funding applies to registered providers who undertake financial administration of a plan on behalf of a participant.

This support is different to other funded supports under the NDIA as it is not a reasonable and necessary support.

This support assists a participant by:

- Giving increased control over plan implementation and utilisation with plan financial assistance;
- Managing and monitoring budgets over the course of the plan;
- Managing NDIS claims and dispersing funds to providers for delivered service;
- Effectively managing problem claims between the NDIA and providers;
- Providing correct information to participants in terms of the appropriateness of support fees and cost;
- Maintaining records and producing regular statements showing the financial position of the plan; and

- Providing access to a wider range of service providers, including non-registered providers whilst remaining in line with the price limits contained within the NDIS Price Guide.

Plan Management (Financial Administration) funding includes both a plan management establishment fee and a monthly administration fee.

The establishment fee is for the initial service provided to a participant in order to establish financial and service arrangements between the participant and the RPMP.

The monthly administration fee is for the delivery of financial administration, processing of invoices (claiming and funds disbursement), monitoring of a participant's plan budget, providing regular information to a participant about their plan spend and remaining budgets, support participants to make informed choices and understand their purchasing decisions

8.1.2. Capacity Building and Training in Plan and Financial Management

This is a reasonable and necessary support, which focuses on strengthening the participant's ability to undertake tasks

associated with the management of their supports.

This includes:

- Building financial skills;
- Organisational skills;
- Enhancing the participant's ability to direct their supports; and
- Develop self-management capabilities.

Providers delivering this support are expected to assist the participant to develop their financial and management skills for self-management in future plans, where this is possible.

Funding for this capacity building support includes an hourly rate for completing this work.

8.2. Participants Connecting to a RPMP

Participants should select an RPMP that best matches their preferences and needs.

A participant can find and connect with an RPMP in a number of ways, including:

- Contacting their Support Coordinator, Local Area Coordinator or Early Childhood Partner;

- Seeking recommendations from peer networks;
- Using the Provider Finder tool on the NDIS myplace participant portal;
- Utilising the published NDIS registered providers lists available on the NDIS Commission website; and
- Exploring other online resources such as referral sites, e-market places and social media networks.

Participants can verify that their preferred plan management provider is registered by checking the NDIS Commission's register. A participant can identify RPMPs by using the Provider Finder tool in the myplace portal.

8.3. General Marketing

RPMPs can engage with participants using general marketing techniques such as:

- Relationship marketing by developing a referral network;
- Online marketing including Social Media;
- Content marketing;
- Cause (activism) marketing; and
- Inbound marketing by monitoring online activity and nurturing relationships with these visitors.



9. Service Functions and Support Delivery

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.1 Self Direction

3.2 Independence

3.3 Consumer Approach

3.4 Build Capacity

3.5 Best Interest

3.6 Dignity

3.7 Accountability

3.8 Values and Beliefs

3.9 Continuous Improvement

3.10 Position of Power

3.11 Safeguarding

9.1. Plan Management Functions

RPMPs will deliver a number of roles and duties with participants whose plan funded supports are under their financial management.

These tasks are not intended to be a comprehensive list, but the

minimum functions to undertake at each point of plan implementation and during the plan period.

The duties of RPMPs will not always be implemented in a sequential manner and will need to be undertaken in a way that recognises and supports the participant's individual circumstances.

9.2. Service Initiation

During the Service Initiation period, a participant and the RPMP will work through at least following eight areas.

9.2.1. Understand Participant's Supports and Plan Goals

During the Service Initiation, a participant and the RPMP will identify the areas of the plan which are to be plan-managed.

While it is not the role of the RPMP to design how the funds will be spent on funded supports, the RPMP will assist the participant in determining which supports can be billed to which support budget.

The RPMP will understand the participant's goals to better understand their plan and the purpose of the funded supports in meeting the plan goals.

The RPMP will also assist the participant to understand how to best utilise the funding in their plan to prevent under or over spending prior to their plan end date.

RPMPs will also discuss payment integrity responsibilities, outlining the types of supports that are generally not funded or claimable under the NDIS.

9.2.2. Create A Service Agreement

As with any provision of service, it is important for the participant, or legal decision maker, and the RPMP to develop a Service Agreement.

The Service Agreement formalises the expectations of what services will be delivered, how they will be delivered, the costs involved and the responsibilities and obligations of both the participant and the provider which are mutually agreed to.

The Service Agreement between the participant and the RPMP must at a minimum state the:

1. Services to be delivered;
2. Costs to be charged for the services;
3. The way in which the service will be delivered, including the responsibilities for the provider and participant;
4. Preferred contact methods;

5. Relevant escalation contact point/person that will oversee or manage the delivery of service;
6. How the RPMP should escalate under and overspending to the participant;
7. Mechanisms in place for managing conflicts of interest;
8. Way in which a participant can provide Feedback or make a complaint;
9. Process for ending the agreement; and
10. Privacy rights and obligations.

Service Agreements can be executed in a number of ways. Regardless of how a Service Agreement is executed all parties must be in agreement to execute the Service Agreement in this manner. Examples of execution include, but not limited to:

- In writing / paper document;
- By electronic means (particularly useful for vision impaired participants); and
- Verbally between the participant and/or legal decision maker and the RPMP (not the preferred method, but maybe the best option for some participants);

Once a Service Agreement is executed, both parties must receive easy and timely access to the mutually agreed terms (i.e. be given a copy).

Whilst a Service Agreement will formalise the agreed service and support expectations it is still subject to existing NDIS and NDIA guidelines and policies.

Service Agreements cannot be used to create arrangements between the participant and provider that contradict the NDIS Act, NDIA guidelines and policies and NDIS Commission Code of Conduct and Practice Standards.

9.2.3. Select a Preferred Method of Communication

The RPMP will ensure they note the participant's preferred communication methods and ensure any communication is consistent with these preferences and requirements within the capabilities offered by the RPMP.

The RPMP will provide the participant with regular updates detailing how the participant is spending their funds.

This information must be provided at least monthly and may take the form of statements, reports, access to an app or web-based monitoring platform depending on the stated preference of the participant.

At any other time, the participant is able to contact the RPMP to request an update on plan spend,

funds utilisation and funds remaining.

Expectations regarding this should be detailed in the Service Agreement.

Where there has been identified concerns regarding disbursement of funds against an invoice, reimbursements, or potential budget under and over spends, the RPMP should discuss the best way to escalate with the participant if they do not respond to initial contact.

9.2.4. Understand the NDIS Price Arrangements, Price Limits and Plan Budgets

The RPMP will have an understanding of the NDIS Price Arrangements and Limits (price Guide) and be able to support the Participant to understand the amount of services and supports they can afford to receive based on their plan budgets.

The RPMP will support the participant to understand how much support and service can be purchased with the funded supports over the life of the plan and increase awareness of the flow on effects of their utilisation of funds throughout their plan. RPMPs will support participants to understand that they (the

participant) are responsible for the appropriate utilisation of funds.

Further, the RPMP will inform the participant that they (the participant) may need to find alternate payment arrangements with providers if:

- NDIS plan funds have been over spent; or
- NDIS plan funds cannot be claimed for a support or service; or
- The amount of NDIS funds that can be reimbursed according to the Price Arrangements and Price Limit rules is less than the cost of the support or service.

This information offers participants greater informed decision making around the utilisation of their plan but does not extend liability to the RPMP.

9.2.5. Providers of Support

NDIS participants are the purchaser of all supports they engage, entering into a Service Agreement directly with that provider of support. A RPMP is not a party to, responsible for, or has any liability arising from such Service Agreements

A RPMP can provide non-binding information to participants about their choices of providers (including registered and non-registered

providers) and any requirements from these plan managed supports.

The RPMP can also inform participants of the minimum checks of quality standards and safeguards, the NDIS Commission's Code of Conduct and applicable complaint mechanisms such as an appropriate ombudsman.

RPMPs must inform participants about the minimum requirements for invoices or receipts and inform them of potential payment integrity checks that may be undertaken by the NDIA.

9.2.6. Service Delivery

During the Service Initiation, participants and RPMPs should agree to what extent the participant wishes to be included in plan management tasks.

This includes items such as:

- How invoices for claiming or receipts for reimbursement are to be received by the RPMP;
- Determining if providers supporting plan-managed participants will send their invoices or receipts directly to the RPMP or via the participant.

This may be particularly relevant where the participant is wishing to work towards greater plan management independence or

simply wants to have greater oversight;

- Understanding the RPMP process for receiving and managing incoming invoices for claiming or receipts and requests for reimbursement; and
- Understanding the RPMP processes for ongoing monitoring and management of the plan-managed funded support budgets.

9.2.7. Fees

The RPMP will explain their schedule of fees at Service Initiation which should also be documented in a Service Agreement and align with the NDIA Price Arrangements and Price Limits.

9.2.8. Invoice Validation and Confirmation of Service Delivery

During Service Initiation, the RPMP and Participant are to agree how often and in what circumstances the participant would like to manually validate an invoice.

In line with the NDIA business and claiming requirements, claims can only be submitted within 90 days of the service being delivered. RPMPs must discuss with participants expected times for processing invoices and the importance of

timely submission of invoices by the participant or provider to the RPMP.

9.3. Ongoing Service Responsibilities

During the lifecycle of the plan, the RPMP will be responsible for claiming funds from the NDIA and dispersing those funds to providers and participants as well as monitoring the funding for the supports under their management.

9.3.1. Prompt Claiming

Notwithstanding 9.3.2, a RPMP must validate whether an invoice(s) or claim(s) for reimbursement received from providers of services, or the participant are in accordance with the participants plan within no more than five (5) business days.

Time spent correcting invoices is not included in this timeframe.

9.3.2. Disputed Claims and Claiming Errors

If a claim cannot be validated by the RPMP as per 9.3.1 or where the claim is not processed by the NDIA, the RPMP must, in a timely manner, commence resolution proceedings communicating with the participant, NDIA and provider as appropriate.

Resolution should be achieved as soon as possible given the

individual circumstances and administrative process associated with the disputed claim or claiming error.

9.3.3. Prompt Disbursement

The RPMP must complete prompt disbursement of funds to the provider that has delivered services or to the participant for reimbursement within two (2) business days of the cleared funds and remittance statement / advice being released by the NDIA.

9.3.4. Invoice and Receipt Requirements

Invoices or receipts received by the RPMP are to contain clear details and where appropriate, as many of the following details are expected to be included:

1. That the document is intended to be a tax invoice or tax receipt;
2. The seller's identity and their Australian Business Number (ABN), unless the support, service or item is exempt from providing an ABN;
3. The date the invoice or receipt was issued;
4. Date/s of service delivered if different to the invoice or receipt date;
5. Description of support or service delivered;
6. Quantity of service delivered;
7. Total cost of service delivered and invoicing amount;

8. Adequate information to identify the Participant; and
9. NDIS Support Item Name and Number, if known or adequate information to identify support items.

Participants that seek to receive a reimbursement for services should provide the RPMP with a receipt or proof of purchase with an invoice that should contain as many of the above details as possible.

A RPMP is expected to be able to substantiate that the receipt is for a funded support linked to the participant's plan.

9.3.5. Payment Integrity

RPMPs provide a service to NDIS participants that supports NDIA payment integrity which include:

9.3.5.1. Price Limits

RPMPs are expected to adhere to the pricing limits established by the NDIA; which includes adhering to and not exceeding price limits within the NDIA Price Arrangements and Price Limits.

RPMPs are therefore unable to claim and disperse funds against an invoice for a support that exceeds the relevant price limit, irrespective of whether the provider is registered or non-registered.

Participants using a RPMP can expect to be charged for supports

and services up to the price limits set by the NDIA. Support item unit costs and quantities cannot be manipulated by the participant, service provider, or RPMP to cover the full cost of a support if the unit price is exceeding the price controls.

Where an invoice, or request for reimbursement, is received by the RPMP that is above the price limits, the RPMP should inform the participant and provider as soon as possible to allow for the participant to go back to the provider to discuss alternative payment arrangements within a reasonable amount of time.

9.3.5.2. Banned Providers

RPMPs must take reasonable steps to ensure plan funds are not paid in relation to any disability support and service to a recipient of an active Banning Order issued by the NDIS Quality and Safeguards Commission.

The NDIS Commission publishes a Compliance and Enforcement actions register in accordance with the NDIS (Provider Registration and Practice Standards) Rule 2018, which is available on the NDIS Commission's website.

9.3.5.3. Restricted and Professional Services

Where a support or service is being delivered to a participant by a

profession regulated under the National Registration and Accreditation Scheme (NRAS), invoices and requests for reimbursement should also include details of the professional including their name and relevant membership number.

It is highly recommended that these membership details be periodically validated by the RPMP with the details available at [Australian Health Practitioner Regulation Agency \(AHPRA\) website](https://www.ahpra.gov.au).

9.3.6. Validation Communication Method

Where invoices or receipts are received that are not as discussed during the Service Initiation (9.2.6 and 9.2.8), the RPMP must discuss with the participant the received invoice as soon as possible.

The RPMP must validate whether the invoice is an appropriate plan spend as soon as possible to ensure the provider's invoicing terms are met. This includes but is not limited to ensuring the:

1. RPMP has all the reasonable evidence to lodge a claim;
2. Invoices and Receipts align with 9.3.4;
3. Provider is not subject to a banning order (9.3.5.2);
4. Provider is registered where delivering a restricted and

profession service as per 9.3.5.3; and

5. Participant has given the RPMP authorisation to claim funds against this invoice or receipt.

The RPMP must not claim and disperse funds against invoices that are not reasonably in line with the participants plan.

Whilst it is not the RPMPs responsibility to review and make judgement on whether the support or service delivered is reasonable and necessary, it remains their responsibility to reasonably ensure the invoice and support delivered is in line with the participants plan and NDIA Price Arrangements and Price Limits.

9.3.7. Financial Information and Statements

The RPMP is required to issue regular, at least monthly, information and/or statements, to the participant.

The information and/or statements must include a report on:

1. The plan spend since the previous issued statement;
2. The balance of plan funded supports; and
3. An estimated trajectory of the current plan spending pattern in relation to the expected plan spend at current point of the plan.

The statement is to be in a format that is accessible to the participant and is delivered in the preferred or requested method by the participant.

9.3.8. Cessation of Plan Management Service

The RPMP must respect and acknowledge a participant's right to choice and control over their supports and choice of provider. This choice and control extends to the participant's choice of plan management provider.

If a participant chooses to exercise their choice and control and change RPMPs during the lifecycle of the plan, the RPMP should assist to manage this transition.

The process for the cessation of plan management services must be documented in the Service Agreement between the participant and the provider.

Such cessation terms must not impose unreasonable procedures or timeframes that discourage participants from exercising their choice and control with regard to the provision of plan management supports.

The Service Agreement must also outline the minimum notification period required by either party to the agreement.



10. Management of Funds and Bank Accounts

The RPMP will receive funds from the NDIA, briefly hold them in 'Trust' and disperse those funds to Providers of supports and services.

These funds must be paid into and dispersed from a designated and separate bank account to that of any other account linked to the RPMPs business or personal transactions.

This standard should be applied in a similar manner to Tax Agents, Real Estate Agents and Lawyers.

10.1. Account

The designated account must be established with an authorised deposit-taking institution (ADI) and be clearly identifiable by name as to its purpose of facilitating the disbursement of funds on behalf of participants.

10.2. Separation of Transactions

The designated account must only be used for the inbound and disbursement of funds from the NDIA for supports on behalf of participants.

The designated account is not to be used for any business or personal transactions associated with the RPMP.

Fees for the delivery of RPMPs services to a Participant, may flow through this separate 'trust' account and be dispersed to the RPMPs business transactional account as per all other supports and services.

10.3. Reconciliation of Account

The designated account must be reconciled at least at the end of the month in-line with standard accounting practices.

RPMPs should consider reconciling the designated account on a more frequent basis based on their size and volume of transactions.

The reconciliation process is an extremely important internal control and will identify any anomalies that require investigation.



11. Duties Outside the Scope of RPMPs

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.2 Independence

3.3 Consumer Approach

3.6 Dignity

3.7 Accountability

3.9 Continuous Improvement

The role of a RPMP is to provide financial management and administration supports and services to NDIS participants.

Their role relates specifically to plan-managed funded supports of the NDIS Plan and does not extend to the supporting of the day-to-day administration, management or maintenance of the entire NDIS plan.

11.1. Plan Implementation or Support Coordination

A RPMP has different roles and functions to a Support Coordinator.

A RPMP is not responsible for assisting the participant to implement their plan and/or

explore service delivery domains with providers, broader systems of supports or community supports.

Whilst an RPMP may choose to provide a list or information about providers to the participant that may meet their needs, it is ultimately the participant who is responsible for connecting to a provider, with the support of an LAC, Early Childhood, Early Intervention Partner (ECEI) or Support Coordinator where required and or funded.

11.2. Employment of Staff on behalf of a Participant

Plan Management functions do not include directly employing staff for or on behalf of participants to provide supports, rostering, advocacy or the provision of direct disability supports.

11.3. Under and Over Spend

Whilst it is a responsibility for a RPMP to signal any concerns relating to under or over utilization of NDIS budgets, it is the responsibility of a LAC, ECP or Support Coordinator to support the participant in understanding the context of the situation and work towards a participant focused solution.

11.4. Debt Recovery and Liability

The creation of financial liabilities and debts to the NDIA, along with the recovery of such debts, is a complex issue, in part due to the large number of stakeholders that could be involved in a single transaction - such as the:

- NDIA,
- Participant, their Nominee, their Guardian and/or their Legal Decision Maker,
- Provider of Service,
- Participant's LAC,
- Participant's Support Coordinator; and
- Participant's RPMP.

DIA continues to collaborate with the NDIA to ensure appropriate mechanisms and mitigations are in place to manage situations that may result in a financial liability for these stakeholders.

Participants and/or their legal decision maker are responsible for ensuring they spend NDIS funds in accordance with their NDIS plan.

Whilst a RPMP can provide information to support and inform a Participant's and/or their legal decision maker's decision, RPMPs are not liable for debts created by the Participant for supports and services engaged by and delivered to the Participant.

RPMPs are expected to lodge accurate payment requests to the NDIA based on the reasonable evidence provided to them along with the direction of the Participant as per 9.2.8, 9.3.5, and 9.3.6.

As such the RPMP may be required to correct errors the RPMP has made in the normal course of lodging payment requests with the NDIA on behalf of the participant (for example keying errors, date errors, line items number errors etc).

Notwithstanding the ongoing collaboration with the NDIA and the obligations of RPMPs in verifying claims against a participant's plan as per 9.2.8, 9.3.5, and 9.3.6, it is DIA's view that generally the Plan Management function does not currently include retrospective formal debt recovery activities.

RPMPs may, at the request of the Participant, ask a Provider of Service for a refund in line with Australian Consumer Laws. However, this action does not extend to formal debt recovery activities.



12. NDIS Registration Requirements

This section of these Standards will ensure RPMPs meet the following service statement and principles:

3.3 Consumer Approach

3.4 Build Capacity

3.7 Accountability

3.10 Position of Power

3.11 Safeguarding

12.1. Becoming a RPMP

To deliver Plan Management services to NDIS participants, all providers (including organisations, partnership and sole traders) must be a registered NDIS provider and be approved under the 'Management of funding for supports' registration group.

An organisation cannot deliver plan management services to NDIS participants if they are not a registered provider and approved to deliver plan management services.

The requirement for RPMPs to be registered providers is outlined in the NDIS Act.

The role of approving an organisation to be a registered provider, maintaining and implementing quality and safeguards arrangements is the responsibility of the NDIS Quality and Safeguards Commission.

Table 3: Registration groups for plan management:

| Registration Group | Plan Management Supports |
|------------------------------------|---|
| Management of Funding for Supports | Plan Management (<i>Financial Administration</i>) Capacity Building and Training in Plan and Financial Management |

12.2. Provider Registration Requirements – NDIS Commission

RPMPs who seek to operate in any state and/or territory must register with the NDIS Commission.

The registration requirements for RPMPs are outlined in the NDIS Quality and Safeguards Commission's *National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018*.

All NDIS providers registered with the NDIS Commission are required to comply with the Code of Conduct and conditions of registration, undergo an assessment against the applicable requirements of the NDIS Practice Standards and a suitability assessment of the provider and its key personnel.

The National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018 establish the registration requirements to achieve and maintain registration, assessing the provider and its key personnel's suitability to operate in the NDIS and the quality and safety of the supports and services offered to NDIS participants.

Further information can be found on the [NDIS Quality and Safeguards website](#).

There are a number of requirements providers must meet to become registered and maintain registration with the NDIS Commission. Registered NDIS providers must:

- Comply with the conditions of registration stated on the certification of registration;
- Demonstrate compliance with the NDIS Practice Standards for

the relevant registration groups (which are determined by the types of services and supports delivered), including through a quality audit;

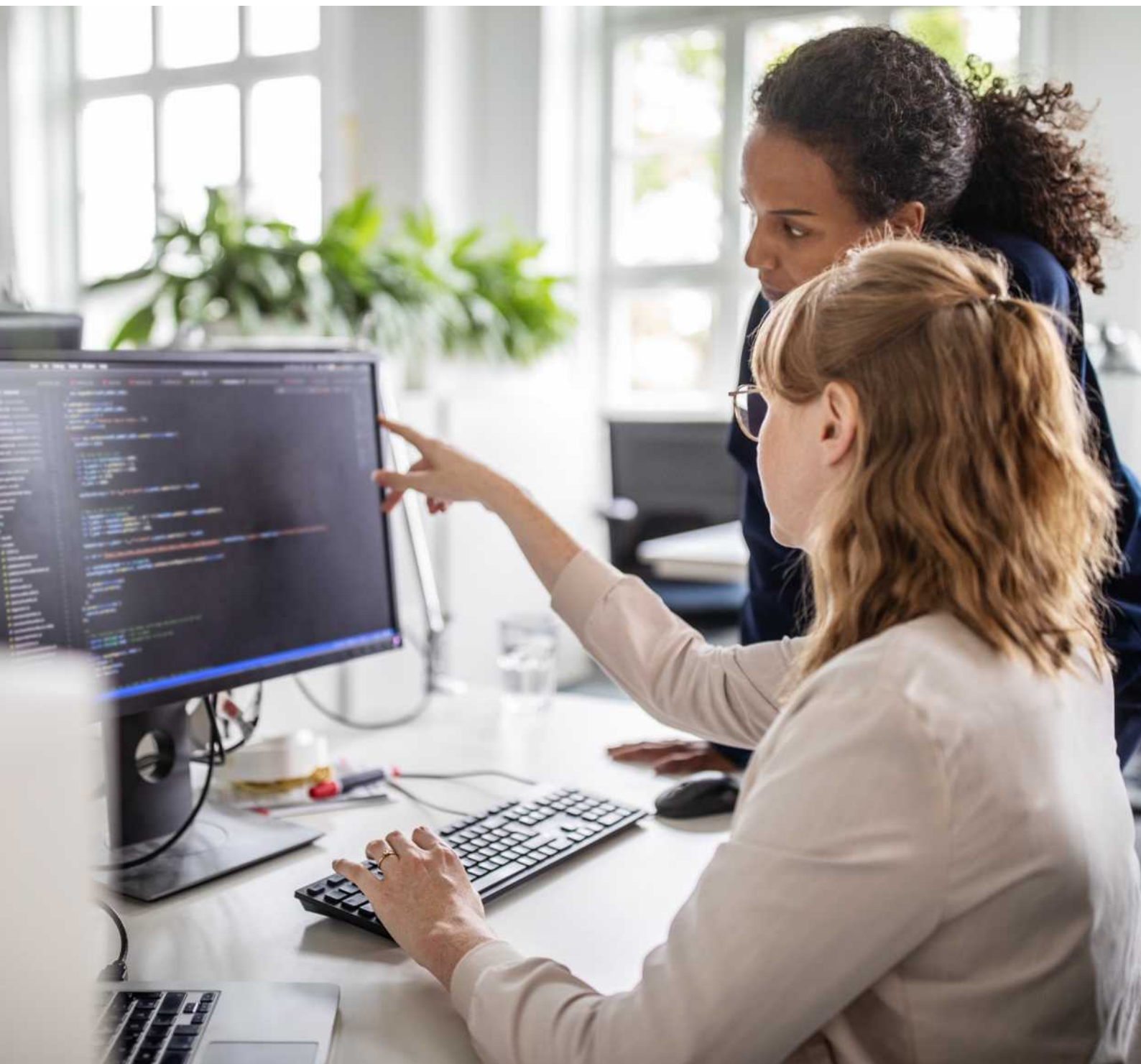
- Comply with the NDIS Code of Conduct in their organisation and support employees to meet its requirements;
- Have an in-house complaints management and resolution system to record and manage any complaints received and support NDIS participants or other relevant concerned parties to make a complaint;
- Have an in-house incident management system, and notify the NDIS Commission should a reportable incident occur;
- Fulfil worker screening requirements and ensure all workers have been screened; and
- If applicable, meet the behaviour support requirements including reporting the use of restrictive practices to the NDIS Commission.

Table 4 below is an extract of the requirements for the registration groups associated with Plan Management:

Table 4: Registration Module Requirements

| Registration Class / Group | Bodies Corporates or Individuals and Partnerships |
|------------------------------------|---|
| Management of Funding for Supports | Verification Module (Verification) |

The requirements and process for registering as a provider are available on the [NDIS Quality and Safeguards website](#).



Glossary of Terms

AAT: Administrative Appeals Tribunal conducts independent merits review of administrative decisions made under Commonwealth laws.

ACCC: Australian Competition and Consumer Commission.

Advocate: Provides independent advocacy for the person with disability, to assist the person with disability to exercise choice and control and to have their voice heard in matters that affect them.

CALD: Culturally and Linguistically Diverse.

COAG: Council of Australian Governments includes the Prime Minister, State and Territory First Ministers and the President of the Australian Local Government Association (ALGA).

Capacity Building: Services that help people develop the skills they need to lead happy, independent lives.

DIA: Disability Intermediaries Australia. Peak body representing Plan Managers and Support Coordinators in Australia.

Early Childhood Partner: Early Childhood Partners are appointed by the NDIA across Australia to deliver the ECEI (Early Childhood / Early Intervention) approach. Early

Childhood Partners are experienced in providing early childhood intervention.

LAC: Local Area Coordinator assists people to navigate the NDIS providing planning and coordination for people with disability to maximise the choice and control over the services they use. This includes supporting people with disability to navigate mainstream services and increase their capability to be an active part of their community.

NDIA: National Disability Insurance Agency. The federal agency that administers the National Disability Insurance Scheme.

NDIS: National Disability Insurance Scheme which is administered by the National Disability Insurance Agency.

NDIS Price Guide: NDIS Pricing Arrangements and Price Limits (previously the NDIS Price Guide) assist participants and disability support providers to understand the way that price controls for supports and services work in the NDIS. Price regulation is in place to ensure that participants receive value for money in the supports that they receive.

NDIS Commission: The NDIS Quality and Safeguards Commission is an independent agency established to improve the quality and safety of NDIS supports and services. The Commission regulate NDIS providers,

provide national consistency, promote safety and quality services, resolve problems and identify areas for improvement.

NDIS Plan: The NDIS plan sets out the participants goals and the supports that will help in achieving those goals. Plans are based on each participant's disability support needs. Plans are unique and individual. The plan can have as many goals as the participant wants and can be as long as the participant wants.

Participant: A person with a permanent and significant disability who has become a participant in the NDIS after the NDIA has determined they satisfy the access criteria.

PITC: Partners in The Community (PITC), include Local Area Coordination (LAC) and Early Childhood Early Intervention (ECEI) services to Australians with disability.

Plan Funding: NDIS funding to provide the supports needed for the participants disability and help them work towards their goals. The funding is based on what is 'reasonable' and 'necessary' to pursue the goals, in addition to the support provided by

family, friends, and other community and government services.

RPMP: Registered Plan Management Provider.

Plan-Management: Is a type of disability service funded through the National Disability Insurance Scheme (NDIS). The overarching function of plan management is to assist and support NDIS participants to manage their NDIS plan funding.

Supports: Supports and services delivered for NDIS participants should help people with disability have the same things in life as other people, like somewhere to live, a job, hobbies and the company of families and friends.

Participants choose and pay for supports and services out of an individually allocated budget based on their goals.

Support Coordination: Support Coordination supports participants to understand and implement the funded supports in their plans and link to community, mainstream and other government services.

UN: United Nations



Confidence through Professional Standards

DIA promotes the highest professional standards and quality in the delivery and management of Support Coordination and Plan Management services. Our name promises the consistent delivery of quality and safeguarding focused standards which bring confidence to the sector we serve.

We believe that standards underpin effective markets. Our sector delivers critical supports and services to people with a disability whilst driving social and economic participation across Australia.

We are proud of our reputation, and we guard it fiercely. People with a disability that engage and work with any of DIA's professional members can have confidence in the quality and ethics of the services they receive.

