**List of Supporting Documents Provided per Standard (as relates to ‘Spiels’)**

Note: Documents with yellow highlighting will need to be provided by the providers.

| **Standard** | **Related Supporting Documents Provided by Standard** |
| --- | --- |
| **1 Rights & Responsibilities** |
| **1.1 Person-centred Supports** | *Supporting Documents:** NDIS Service Agreement
* Service Delivery Model
* Rights & Responsibilities Policy & Procedures
* Consent Policy & Procedures
* Advocacy Policy & Procedures
* Dignity of Risk & Duty of Care Policy & Procedures
* Substitute Decision Makers and Duty of Care for Participants with Reduced Decision Making Capacity Policy & Procedures
* NDIS Induction Checklist
* Annual Training Plan
* Training Attendance Record
* Goal Attainment Audits – results to be provided closer to audit
* Participant Surveys & related forms - results to be provided closer to audit
* Human Resource Register
* New Participant Intake Checklist
* NDIS Support Plan
 |
| **1.2 Individual values and beliefs** | *Supporting Documents:** NDIS Support Plan Audit

*Related Resource / Attachments Already Supplied:** Service Delivery Model
* New Participant Intake Checklist
* NDIS Support Plan
* NDIS Induction Checklist
* Annual Training Plan
* Participant Surveys & related forms
* NDIS Service Agreement
 |
| **1.3 Privacy and dignity** | *Supporting Documents:** Privacy and Information Management Policy
* NDIS Service Agreement Audit

*Related Resource / Attachments Already Supplied:** NDIS Service Agreement
* Induction Package
* Annual Training Plan
* New Participant Intake Checklist
 |
| **1.4 Independence and informed choice** | *Supporting Documents:** Initial Assessment – you will need to add your initial assessment addressing sexual needs if this is relevant to your service

*Related Resource / Attachments Already Supplied:** Service Delivery Model
* NDIS Service Agreement
* Support Plan audits – likely provided at time of audit
* Advocacy Policy & Procedures
* Support Plan
* New Participant Intake Checklist
* Human Resource Register
* Consent Policy & Procedures
* Dignity of Risk Policy & Procedures
* Substitute Decision Makers and Duty of Care for Participants with Reduced Decision-Making Capacity Policy & Procedures
* Annual Training Plan
 |
| **1.5 Violence, abuse, neglect, exploitation & discriminat’n** | *Supporting Documents:** NDIS Employment Checklist
* Compliance Calendar

*Related Resource / Attachments Already Supplied:** NDIS Service Agreement
* Participant Survey
* NDIS Induction Checklist
* Annual Training Plan
* Human Resources Register

*Also refer to the following** Complaints and Incident management documents in the Feedback & Complaints & Incident Management Standards
* Quality Plan and Quality Improvement Projects Register in the Quality Management Standard
 |
| **2 Provider Governance and Operational Management** |
| **2.1 G&OM**  | *Supporting Documents*:* Company Profile & Structure – including meeting structure
* Governing Body Composition & Skills Matrix
* Minutes of Strategy Sessions (showing involvement of people with a disability)
* Strategic Plan / Business Plan
* Governing Body Agenda and Minutes
* Senior Management Meeting Agendas and Minutes
* Team Meeting Agenda and Minutes
* Directors Professional Development Record
* Governing Body Evaluation
* Key Persons’ Professional Development Plan
* Conflict of Interest Policy & Procedures
* Register of Interests

*Related Resource / Attachments Already Supplied:** Compliance Calendar

*Also refer to the following:** Risk management documents in the Risk Management Standard
* Quality Plan and Quality Improvement Projects Register in the Quality Management Standard
* HR documents in the HR Standard
 |
| **2.2 Risk management** | *Supporting Documents:** Risk Management Policy
* Safe Practice & Environment policy
* Management of Injured Workers Policy
* Risk Management Register
* Community Safety Checklist
* In-Rooms Safety Checklist
* Insurance copies

*Related Resource / Attachments Already Supplied:** NDIS Employment Checklist
* Compliance Calendar
* Human Resources Register

*Also refer to the following** Complaints and Incident management documents in the Feedback & Complaints & Incident Management Standards
* Rights and Responsibilities and Service Provision Standards relating to participant risks and dignity of risk
* HR documents in the HR Standard
* Document Control Register in the Quality Management Standard
* Governance & Operational Management Standard documents
* Various Minutes relating to RM –Governing Body, Senior Management and Team and related minutes – need to have samples available
 |
| **2.3 Quality management** | *Supporting Documents:** Quality and Continuous Improvement Program
* Quality Improvement Plan
* Quality Improvement Projects Register
* Quality Improvement Activity Report form
* Document Control Register
* Governing Body Meeting Agenda & Minutes
* Srn Mgmt & Team Meeting Agendas & Minutes

*Also refer to the following** Audit forms and results that have been provided elsewhere
 |
| **2.4 Information management** | *Related Resource / Attachments Already Supplied* * Privacy and Information Management Policy
* Consent Policy
* Participant’s Service Agreement Audit
* NDIS Service Agreement
* Risk Management Register
 |
| **2.5 Feedback and complaints management** | *Supporting Documents** Feedback and Complaints Management Policy
* Incidents and Complaints Report
* Incidents and Complaints Register
* Example of Feedback / Complaint Report resolution
* Minutes of meetings - Providers will need to provide evidence of where register is reviewed and examples of Reports made and followed through – including any quality improvement changes.

*Related Resource / Attachments Already Supplied* * NDIS Service Agreement
* NDIS Induction Checklist
* Annual Training Plan
* NDIS Support Plan
* Participant Survey Form
* Compliance Calendar
 |
| **2.6 Incident management** | *Supporting Documents** Incident Management Policy
* Incident Investigation Form
* Example of Incident Report resolution
* Minutes of meetings - Providers will need to provide evidence of where register is reviewed and examples of Reports made and followed through – including any quality improvement changes.

*Related Resource / Attachments Already Supplied* * NDIS Service Agreement
* Induction Checklist
* Annual Training Plan
* Incident and Complaint Report
* Incidents and Complaints Register
 |
| **2.7 Human resource management** | *Supporting Documents*: Providers need to provide examples of* HRM Policy
* Position descriptions

*Evidence of up-to date / implemented** Employment Checklists & Inductions completed
* Supervision / debriefing
* Annual Training Plan & attendance sheets
* HR Register
* Compliance Calendar
 |
| **2.8 Continuity of supports** | *Supporting documents** SOP1: Participant Management in Case of AHP Unplanned Leave
* F19 Participant Transition-Discharge Checklist
* Any of your own SOPs

*Relevant documents already provided* * HR Register
* New Participant Intake Checklist
* NDIS Support Plan
* Risk Management Register
 |
| **3 Provision of Supports Standard [Service Provision]** |
| **3.1 Access to supports** | *Supporting Documents** Participant Transition-Discharge Checklist

*Related Resource / Attachments Already Supplied*:* Service Agreement
* New Participant Intake Checklist
* HR Register
* Service Delivery Model
* Dignity of Risk Policy
* Support Plan
* Support Plan Audit
* Participant Survey
* Goal Attainment Audit
* Participant Service Agreement Audit
 |
| **3.2 Support planning** | *Supporting Documents* * SOP 2 - Support Plan Review Process
* Initial Assessment forms (relating to Assessment Consents)
* Register of Assessment Resources/ Protocols – you will need to develop these for your clinical groups
* Participant Files - showing above being in place

*Related Resource / Attachments Already Supplied* * Intake Form
* Service Agreement
* Support Plan
* Audits of the Support Plan
* New Participant Intake Checklist
 |
| **3.3 Service agreement with participants** | *Related Resource / Attachments Already Supplied* * Service Agreement
* New Participant Intake Checklist
* Support Plan
* Support Plan Audit - Include results if you have them.
* SOP-Support Plan Review Process
* Service Agreement Audit - Include results if you have them.
* Participant Survey
* Goal Attainment Audit - Include results if you have them.
 |
| **3.4 Responsive support provision** | *Related Resource / Attachments Already Supplied* * Human Resource Management Policy & Procedures
* Service Delivery Model
* Service Agreement
* New Participant Intake Form
* Support Plan
* Support Plan Audits – any completed ones
* Participant Consent Policy
 |
| **3.5 Transitions to or from the provider** | *Related Resource / Attachments Already Supplied:** Participant Transition-Discharge Checklist
* Support Plan
 |
| **4 Provision of Supports Standard [Environment]** |
| **4.1 Safe environment** | *Related Resource / Attachments Already Provided** New Participant Intake Checklist
* Service Delivery Model.
* Support Plan
* SOP 2 - Participant Support Plan Review
* Support Plan Audit
* Safe Practice and Environment Policy & Procedures
* Community Safety Checklist
* In-rooms safety Checklist
* NDIS Induction Checklist
* Annual Training Plan
* Management of Injured Worker Policy & Procedures
* Meeting Minutes
 |
| * 1. **Participant money and property**
 | *Related Resource / Attachments* Already Supplied* NDIS Induction Checklist
 |
| * 1. **Management of medication**
 | N/A – AHPs are not generally involved in the administration or management of any medication.  |
| **4.4 Management of waste** | *Related Resource / Attachments Already Provided** Safe Practice and Environment Policy & Procedures
* NDIS Induction Checklist
* Annual Training Plan
* Incident Management Policy & Procedures
 |