**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 |