

Disability Services

Individual Support Package

# Automated Funding Proposal Business Practice Guide

For application in:

Client Relationship Information System



and

Client Relationship Information System for Service Providers



Revised and updated

**August 2010**

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# 1. Introduction and purpose of the automated funding proposal

The allocation of an Individual Support Package is an ongoing disability service within the meaning of the *Disability Act 2006*. The Act also outlines the requirement for the provider of the ongoing service to ensure a Support Plan is in place and that it is reviewed at least every three years.

The support plan may take a whole of life view and can be produced in whatever format is preferred or appropriate for each person. Any organisations that will be providing services should be engaged in the development of the plan and any associated implementation planning and delivery.

The support plan is the person's plan and therefore it remains their property and is made available to organisations as necessary to provide services with the person's consent.

For the first time allocation of an Individual Support Package, the department must ensure that a support plan is in place. In practice, the department does this by engaging the facilitation process to document the support plan and develop an associated funding proposal.



Responsibility for undertaking subsequent support plan reviews will be in accordance with the Disability Services Planning Policy and ISP Guidelines. It is important to note, however, that each time a person's Funding Plan is reviewed, the person's support plan for the ISP must also be reviewed.

## Funding proposal

A Funding Proposal is developed as part of a person's support plan. Whereas the support plan may take a whole of life view, the Funding Proposal specifically focuses on the supports the person needs that require Disability Services funding. The Funding Proposal provides the detail, including costs, of those supports and services to be purchased with Disability funding.

The Funding Proposal is not a requirement of the Act, however, it needs to be in a consistent format.

## Why is a funding proposal needed?

The funding proposal is used for:

- consideration and approval of funding
- recording data about what the funding will be used for
- identifying the funding administration arrangement and providing information about how the funding is to be spent
- acknowledgment of the conditions and responsibilities associated with the funding allocation and the funding administration arrangement(s).

## Why is consistency important?

The use of a single, consistent process for Funding Proposals provides:

- all package recipients and facilitators with an understanding of the requirements for obtaining final approval of funding allocations regardless of which region they live in or move to
- regional financial delegates with consistent information on which to make their decisions
- funding administrators with information to implement the funding plan
- consistent data for reporting purposes.

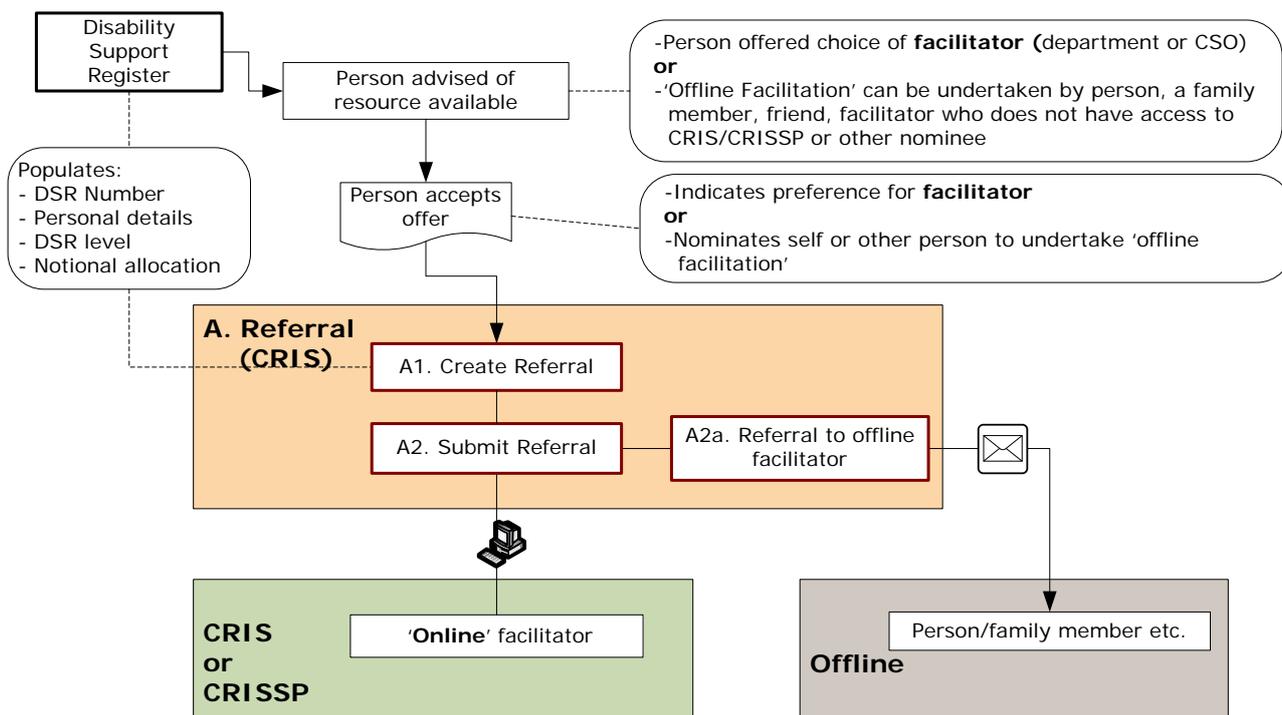
## 2. Scope and structure of document

The Individual Support Package – Funding Proposal (ISP-FP) automated process can broadly be defined as having four key stages:

- Referral**                      The referral process is used in the context of the ISP-FP as the means by which a Funding Proposal is commenced in CRIS.
- Referral may be made 'online' to a facilitator employed by either the department or a disability service provider or 'off-line' to the person for whom the funding is being allocated, or a nominated supporter.
- Online referral can be internal (that is, the facilitator is employed by the department and uses the CRIS system) or external (that is, the facilitator is employed by a disability service provider using the CRISP system).
- Development**                The development stage is where the details of the funding proposal are worked out. Regardless of whether the referral is on-line or off-line, the development of the funding proposal is directed by the person.
- Offline development means that the funding proposal will be prepared as a paper document and sent by mail to the region to be entered into the system to enable completion of the process.
- Online development enables preparation of the proposal on the system and secure transmission to the region.
- In both online and offline, the person or their nominee must sign to acknowledge the terms and conditions of receiving the funding allocation.
- Assessment**                  The assessment stage refers to the region reviewing the submitted funding proposal to ensure that:
- it complies with the Individual Support Package Guidelines - Funding Guidelines
  - is within the notional funding allocation and
  - the funding administration arrangement selected is appropriate to the person's circumstances.
- The assessment can be undertaken by an individual regional officer (for straight forward proposals) or views sought from other staff as required (for more complex proposals).
- If the region has any queries or concerns, the proposal may be referred back to the facilitator for amendment. If the proposal satisfies the above criteria, it will be recommended for approval by a regional delegate.
- Approval**                      A funding proposal must be approved by a regional officer with delegated authority for the amount of funding requested in the funding proposal.

The Business practice requirements for each of these stages are described in the following chapters.

### 3. Referral (new resource allocation)



#### Introduction

When an ongoing Individual Support Package resource is allocated through the Disability Support Register (DSR), the priority for access process is followed and an individual recommended for the support.

A formal letter of offer of the resource is made to that person. The letter includes advice that the person may receive facilitation to assist with development of their support plan and funding proposal. This letter should include advice of the regional process for selecting a facilitator either internally or externally as applicable. The person can decline the offer of facilitation if they wish to undertake the planning and funding proposal development themselves or with the assistance of a supporter or a worker at an organisation that is not using CRISSP. The letter of offer informs the person that they must provide formal consent for their personal information to be given to the facilitation organisation.

The person's acceptance of the offer should be in writing on the Acceptance pro-forma. The person **must** include advice of their preferred method of funding proposal development. If a facilitator is required, the acceptance includes a space where the name of the facilitation organisation can be entered. If the person does not have a preferred facilitation organisation, they can tick the box that advises the region to allocate one. The Acceptance pro-forma also includes a statement of the person's consent to provide the facilitator with relevant information. This is required information for the creation of the ISP-FP.

The Acceptance pro-forma also enables the person to nominate their preferred method of receiving and sending their funding proposal information where they have selected to undertake 'offline' funding proposal development.

One of the options is to send and receive the information via email. The department's Privacy Statement indicates that the department cannot ensure the security of any information transmitted online and individuals do so at their own risk. Therefore, if a person wishes to use email to transmit their information, they must indicate on the form their express consent for this to occur.

## A1. Create referral

**Responsibility:** Regional Worker

Creating a referral in CRIS is the means by which the development of an Individual Support Package Funding Proposal (ISP-FP) can be allocated to a facilitator. Referrals can be made to a facilitator employed by the department (internal) or a facilitator employed by a disability service provider (external). Referral is initially made to a facilitation team leader, who in turn, allocates the role to an individual worker.

The referral requires the identification of the facilitation method, the name of an online facilitation organisation, or if offline facilitation is being used, the name and relationship of the person undertaking the ISP-FP development.

The referral commences with identifying the person by the entry of the CRIS ID number. The system will auto populate information about the person, specify the DSR Level and description, the decision date and the Notional Allocation. The Notional Allocation is represented as the funding band associated with the DSR level. This information will be drawn from the most recent DSR of offer accepted.

In situations where this DSR is not relevant to an ISP (for example the person has more recently requested shared supported accommodation), this notional allocation can be overridden by selecting the Override DSR? button and entering the relevant information.

**Note:** More information about the override function can be found in the CRIS Disability Services CRIS Individual Support Package Funding Proposals and Funding Plans.

**Entering the correct notional allocation is critical as it must be available for use in discussions with the person in determining what specific supports are required.**

A referral can also be for 'offline facilitation' – this term relates to situations where the person and/or a supporter are to undertake the planning without the help of a facilitator.



### Timeline

The referral must be submitted and accepted as soon as practicable after receipt of the person's acceptance.



As the referral is an electronic process, regions may choose to hold discussions with each disability service provider of facilitation services prior to forwarding the letter of offer and/or making a referral to determine the agency's capacity to accept referrals. This may need to be reviewed on a periodic basis.

## A2. Submit referral

**Responsibility:** Regional Worker

The purpose of submitting a referral is to electronically forward advice to a facilitation organisation that an ISP-FP needs to be developed.

As part of the submission process, the facilitation organisation must be given access to other critical relevant information that will assist with development of the person's support plan and, from that, the ISP-FP.

At a minimum the supporting information should include a copy of the Disability Support application, but may also include case notes or other reports such as behaviour management plans and so on.

## A2a. Referral to offline facilitator

**Responsibility:** Regional Worker

By definition, the ISP-FP for an offline facilitator will not be completed within CRIS or CRISSP, but will be completed outside the system(s).

Offline facilitation can be undertaken by:

- the person (indicated by the word 'self' in the ISP-FP referral)
- a family member or other supporter
- an organisation (such as a case manager or one of the person's existing service providers) that will not be using CRISSP

When the offline facilitator is selected, a 'paper' copy of the Funding Proposal must be provided to the person who will undertake its development.

There are several versions for this purpose depending on the preference of the person who will be completing the funding proposal.

- Copies for completion by hand writing

All components of this version are in Word and can be printed off by the regions and given to the person who will complete the proposal. A large print version is also available.

- Copy for completion on Personal Computer.

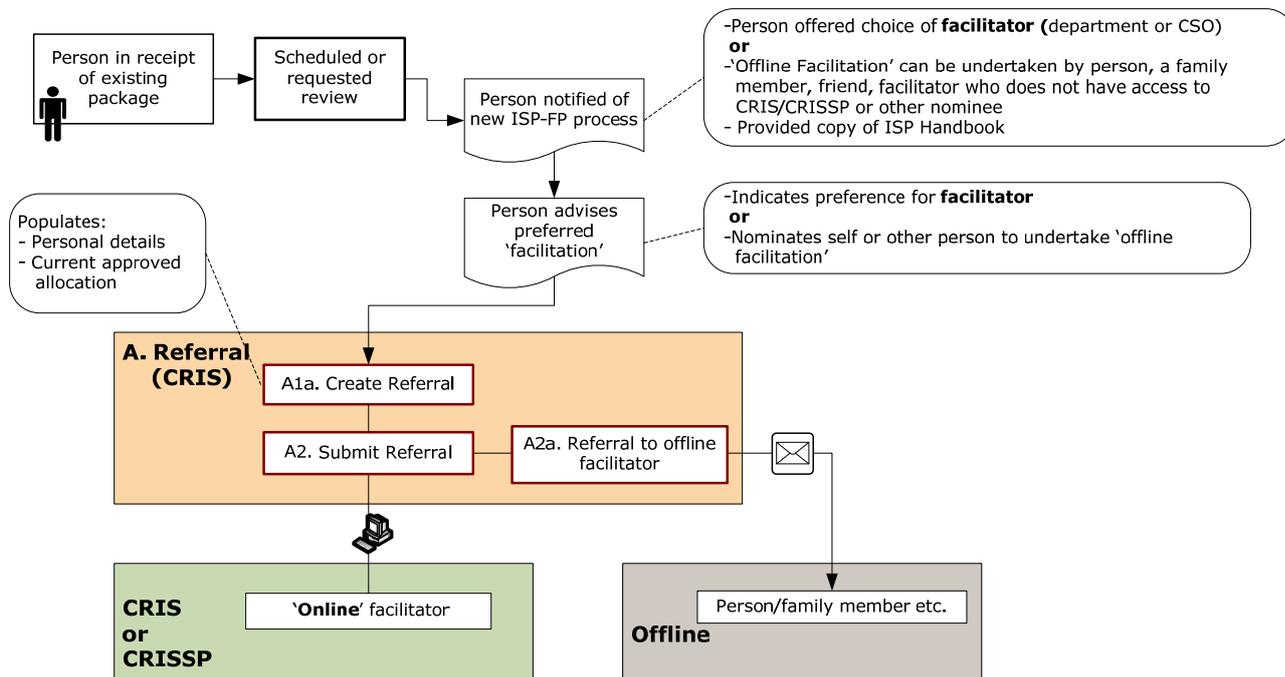
This version comes in three parts. Two parts (Parts A & C) can be completed in Microsoft Word and the other part (Part B) can be completed in Microsoft Excel as it contains some calculation capacity to assist with arriving at correct figures.

No further action is required within the ISP-FP functionality until the paper copy of the funding proposal is returned to the region.

Once the 'paper' funding proposal is completed to the satisfaction of the person, the person should sign the acknowledgement section. If a nominated person has undertaken the development of the proposal, they should sign it as well.

The completed proposal is then forwarded to the region either by hand delivery, post or email.

## 4. Referral (review of existing)



<b>A1a. Create referral for review of existing funding</b>	<b>Responsibility:</b> Regional Worker
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The process for commencing development of an ISP-FP on review of an existing individualised support package differs only slightly from creation of a new referral.

In this scenario, both the referral and the service provision record require the selection of a code of “Review Ongoing Supports”.

Where the review is for a previously approved funding plan, the ISP-FP will enable the generation of a copy plan to minimise the amount of re-typing of information.

### Presentation of notional allocation

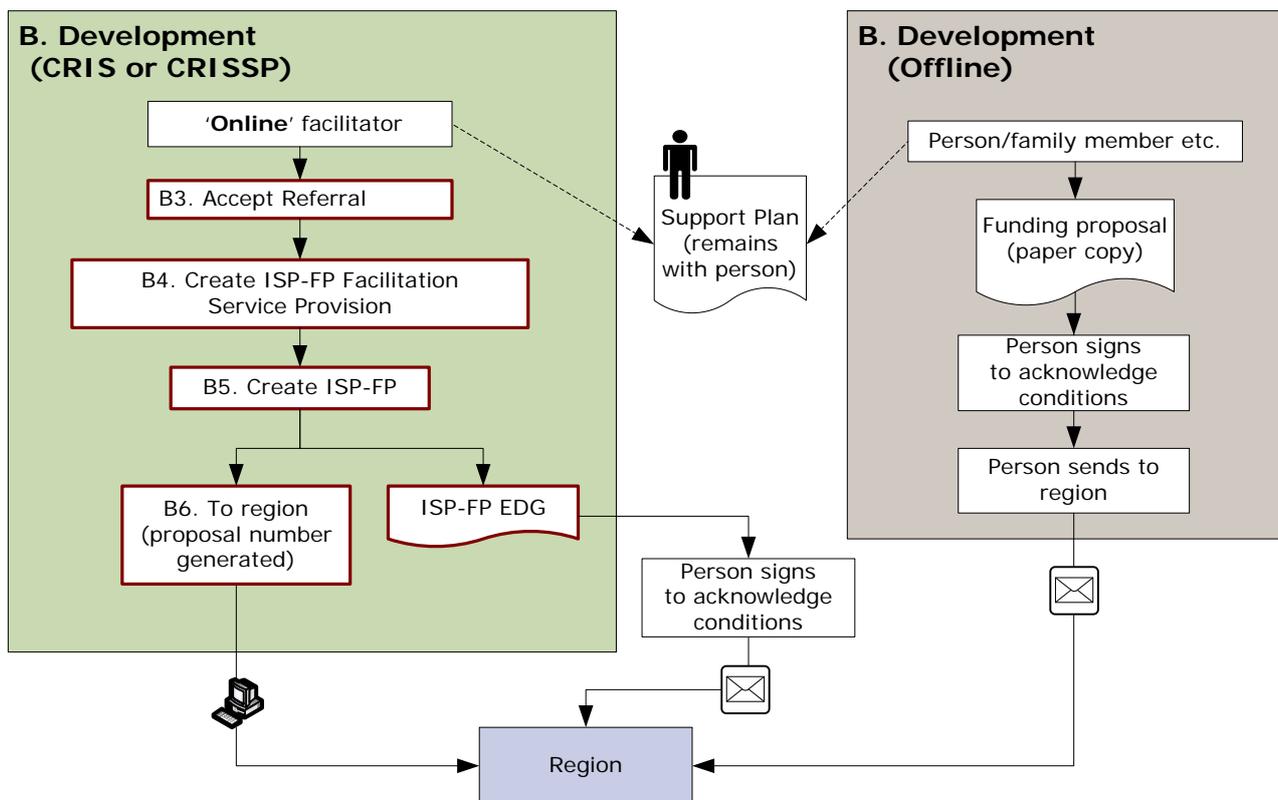
For reviews, the notional allocation amount for the facilitator and the person to work with will be based on the actual allocation that the person was previously receiving - not the DSR notional allocation band.

For example,

- i) People who have an ISP-FP previously created in CRIS or CRISSP will work within the total of their currently approved plan. This amount will be automatically generated by the copy plan function.  
This figure is editable at this point as there may have been adjustments (for example indexation) made during the course of the previous funding plan. The correct figure to apply will be obtained from information held in the Regional Individual Support Package System (RIS).
- ii) People who have an existing Individual Support Package, but have not yet developed a funding plan using the ISP-FP will have an approved funding allocation. For these situations, the system will populate a \$0.00 notional allocation which must be over-written with the correct approved allocation. This figure may also be impacted on by adjustment during the previous plan period.

Upon creation of the referral all other steps in the process are the same.

## 5. Developing the funding proposal



### B3. Accept referral

**Responsibility:** Facilitation Team Leader

On receipt of the referral, the disability service provider providing the facilitation is required to respond in a workflow that they either have 'capacity to accept', need 'more information', or 'cannot accept' the referral.

If 'capacity to accept' is selected, the Facilitation Team Leader will allocate the ISP-FP to a worker (facilitator) who will undertake the planning and facilitation role.



#### Timeline

The facilitator must make initial contact with the person within **14 days** of the person **nominating** their preferred facilitator.

### B4. Allocate ISP-FP facilitation service provision

**Responsibility:** Facilitation Team Leader

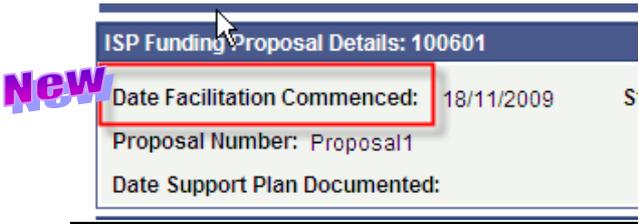
This is standard CRIS/CRISSP functionality by which the facilitator can be allocated to work with the person to develop the ISP-FP.

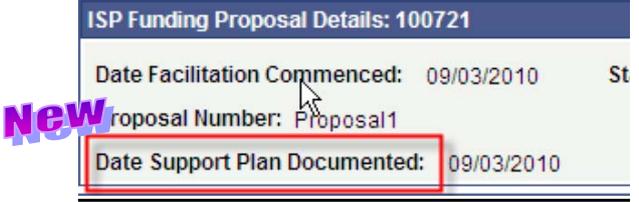
In CRISSP the facilitator links the referral and creates a CRISSP Service Provision which, in turn, enables the ISP-FP to be created.

## B5. Create ISP-FP

**Responsibility:** Facilitator

Some key fields of importance for facilitators in the ISP-FP (in order of completion in the ISP-FP) are explained in the following boxes.

<b>Date Facilitation Commenced</b>	<p>The facilitator must use a self-directed planning approach to work with the person and help them develop the most effective support plan and ISP-FP.</p> <p>The facilitator should enter the 'Date Facilitation Commenced' in the system as soon as practicable after the referral has been accepted.</p>  <p>Entering this date in the ISP-FP enables a paper copy of the funding proposal (with only limited details populated at this point) to be printed and used as the basis for discussions with the person, a nominated person if applicable, prospective service providers and so on. The printed copy will be clearly marked as <b>draft</b> and <b>cannot</b> be submitted to the region in this status.</p> <p>The draft copy may be used for some time before entering the data into the ISP-FP. As more details are entered on the ISP screens, the draft copy will be updated, enabling the proposal to be built upon until the person and facilitator agree it is ready to be submitted.</p> <div data-bbox="406 1187 1404 1440"><p> The discussions with the person and/or nominated person and subsequent development of the ISP-FP must be based on the following Disability Services publications:</p><ul style="list-style-type: none"><li>• Planning Policy and Implementation Guide</li><li>• Individual Support Package Guidelines (particularly the Funding Guidelines) and</li><li>• Individual Support Package Handbook</li></ul></div>
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<b>Date Support Plan Documented</b>	<p>As discussed in <i>Chapter 1, Introduction and purpose of the funding proposal</i>, facilitators are required to ensure that a support plan is in place. While there is no requirement for the support plan to be submitted to the department, the department does need to know that it has been documented so that it can satisfy its responsibilities under the Act.</p> <p>The Act requires a support plan to be in place within 60 days of the commencement of the ongoing support. For the ISP-FP that means 60 days from the date the referral is accepted.</p>  <p>The facilitator in CRIS or CRISSP should enter the 'Date Support Plan Documented' as soon as practicable after commencing the facilitation.</p>
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	<p>Entering this date will enable CRIS to automatically create a support plan record once the funding plan is approved.</p> <p>Facilitators do not need to make any other entries in relation to this field. Similarly, the automatic generation of the support plan record means that regions no longer have to separately create a record in relation to Individual Support packages.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">  For off-line funding proposals, the Date Support Plan Documented will be the date the off-line proposal is recorded as being received by the region. </div>
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<b>Nominated person details</b>	<p>A person may elect to nominate up to two other people, such as their parents, to be their nominated person. A nominated person can work with the person and the facilitator to develop the ISP-FP and sign it on behalf of the person or as a joint signatory.</p> <p>For the Direct Payments funding administration arrangement, the nominated person(s) may be a joint direct payment user with the person or be the direct payment user(s) on behalf of the person.</p> <p>Note that a maximum of two people can be direct payments users for a funding plan and one direct payments user must be identified as the primary direct payments user. The primary direct payments user is the primary contact in relation to direct payments.</p>
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<b>Proposed date for funding review</b>	<p>The discussion with the person and/or nominated person needs to address the 'Proposed date for review'. This date must align with the next review of the person's support plan.</p> <p>For many people the review will be in three years time (expressed as months in the ISP-FP) consistent with their preference in relation to Support Plan review. Other people may require more frequent reviews to ensure that the supports being purchased are continuing to meet the person's needs.</p> <p>The required number of months until the funding plan review must be calculated with effect from the 'Date support plan documented'.</p> <p>The intent of this change is to align the review dates for both the support plan and funding plan, so prompt text has been included to enter the number of months taking into consideration the proposed review date for the support plan.</p> <p>For support plans with a review date of 3 years (36 months) from the 'Date support plan documented', some calculation of the Funding Plan review date will be required.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>• If the 'Date support plan documented' is 1/7/2010, the maximum review date for that support plan is 1/7/2013.</li> <li>• If it is anticipated that the Funding Plan will be approved on 1/10/2010, the figure entered in the 'Proposed Review Period (months)' should be 33 months so that a Funding Plan end date of 1/7/2013 is calculated.</li> <li>• A Funding Plan review date of 1/4/2013 will automatically be entered.</li> </ul> <div style="text-align: center; margin-top: 20px;">  </div>
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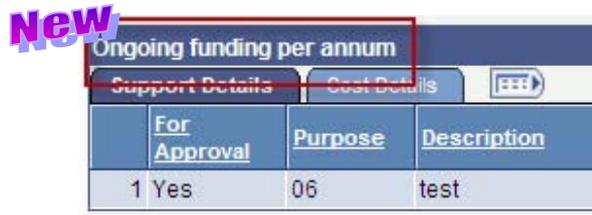
<b>Context and Goals</b>	<p>The ISP-FP will contain some information that the Facilitator needs to transcribe from the DSR application and/or support plan. This particularly relates to the 'Context' and 'Goals'.</p> <p>It is critical that this information is provided in a succinct but comprehensive manner. These fields provide the regional delegate with the background information that will assist them to understand whether the services, supports or items requested comply with the Individual Support Package Guidelines Funding Guidelines.</p>
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<b>Previous Funding Administration Arrangements</b>	<p>This information must be completed when a person is undertaking a review of their current package arrangements and wants to make a change of any sort to their funding administration arrangements.</p> <p>If there is to be a change, this field will inform the region of the intention to change funding administrator, such as a change in the direct payments users or a change from one disability service provider to another. It will also inform the region of the intention to change funding administration arrangements, such as from a disability service provider arrangement to a financial intermediary service.</p>
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<b>Funding Administration Arrangements</b>	<p>Facilitators must discuss the types of funding administration arrangements that are available and assist the person to determine which is suitable to their preferences and/or Individual Support Package contents.</p> <p>There are three funding administration arrangements:</p> <ul style="list-style-type: none"> <li>• Direct payments</li> <li>• Financial intermediary</li> <li>• Disability service provider.</li> </ul> <p>People may choose one or a combination of these arrangements.</p> <p>The ISP-FP initially provides for entering details of one funding administrator, but has capacity to add as many additional funding administrators as required by the person.</p> <p>A person may have more than one funding administration arrangement. For example, a person may have two disability service providers as administrators or a combination of both a disability service provider and a financial intermediary.</p> <p>The ISP-FP enables a separate funding schedule to be added for each funding administration arrangement that is chosen. At least one grid (that is either one-off or ongoing) in each funding schedule must be completed.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">  Refer to the Individual Support Package Guidelines for more detailed information about funding administration arrangements </div>
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<b>Funding Grid labels</b>	<p>The names of the two funding grids have been changed for this version of the ISP-FP.</p> <ul style="list-style-type: none"> <li>• The term '<b>One-off funding</b>' replaces 'Non-recurrent funding'</li> </ul> <div style="text-align: center; margin-top: 10px;">  </div>
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- The term 'Ongoing funding per annum' replaces 'Recurrent funding'.



These changes have been made to:

- more accurately describe the purpose of the funding
- provide clarity that the calculations on the ISP-FP are made on an annual basis, even though the period of the funding may be for up to three years and
- provide clarity that only ongoing funding is measured against the notional allocation.

<b>Primary Purpose Code</b>	<p>The primary purpose descriptions are used by regional assessors and delegates to assist with understanding that the types of services or supports requested are consistent with the person's goals.</p> <p>Including a code number provides a means of collating the data for reporting purposes.</p> <p>Facilitators should use the look up list to determine the code number that they believe most accurately fits the description of the service or support.</p>
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<b>Description</b>	<p>The description of the service or support should contain as much succinct information as possible. For example, a description of personal support may include the agreed times and duration of attendance by the personal support worker.</p>
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<b>Service Provider</b>	<p>The ISP-FP provides for service providers details to be entered into either the 'Registered SP' or 'Non-registered SP' fields.</p> <p>'Registered' providers are those that have a service agreement or other existing contractual arrangement with the department. If this is the case, they will be listed in the look up table in this field. Facilitators should check this look up in the first instance. By using the look up, the correct spelling of the organisation's name and address details will be automatically populated.</p> <p>If the service provider is not listed in the 'registered' look up, their details are entered in the 'non-registered' field. When doing so, particular care must be taken to ensure the correct spelling and organisation details.</p>
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<b>Proposed Support Start Date (One-off funding grid only)</b>	<p>The date entered here should be based on a reasonable estimation of when the person may make each one-off purchase listed <b>after</b> they have been advised that their funding plan has been approved.</p>
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<b>Proposed Support End Date (One-off funding grid only)</b>	<p>The date entered here should also be based on a reasonable estimation of the time it may take to make the purchase after the 'Support Start Date'.</p> <p>Even when making a purchase of a single item, it may be advisable to include a date range to allow time for shopping around and so on.</p>
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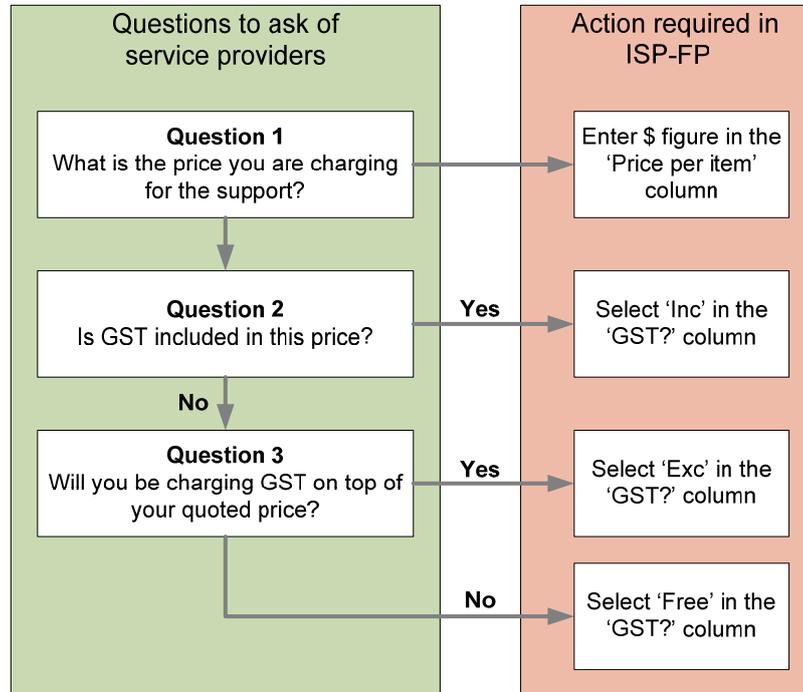
Support Start and End Dates are provided only as guidance of when one-off funding may be required. The person may find that they do not make the purchase in the period specified.

<p><b>Cost details</b></p>	<p>By being a function within CRIS/CRISSP, the ISP-FP is primarily a source of client information. It is not a financial system. There is, however, limited calculation functionality to enable people to understand the cost of their proposals and how the cost compares to their notional allocation.</p> <p>The facilitator will still need to calculate some information manually and enter the data into the relevant field.</p> <p>Having correctly entered the above data, the ISP-FP will calculate the relevant sub-totals and totals.</p> <p>The following table provides some example explanations:</p>						
	<table border="1"> <thead> <tr> <th data-bbox="399 754 539 801">Field</th> <th data-bbox="539 754 1423 801">Explanation</th> </tr> </thead> <tbody> <tr> <td data-bbox="399 801 539 1283"> <p><b>Price per item</b></p> </td> <td data-bbox="539 801 1423 1283"> <p>This is the price that is quoted by the prospective service provider. The ISP-FP does not provide an indicator of whether this is an hourly rate, sectional rate, term rate, yearly rate etc.</p> <p>The figure entered should reflect the dollar and cents amount of the respective price quoted.</p> <p><b>For example (1)</b> 1:1 Personal Support may be quoted at \$36.16 per hour - enter that figure in the 'Price per item' field.</p> <p><b>For example (2)</b> A place in a group program such as a day service may be based on an EFT (or yearly rate) of \$15,000 per annum - enter \$15,000.00 in the 'Price per item' field.</p> </td> </tr> <tr> <td data-bbox="399 1283 539 1843"> <p><b>Quantity</b></p> </td> <td data-bbox="539 1283 1423 1843"> <p>Depending on the price per item entered, some manual calculation may be required.</p> <p><b>For example (1)</b> For a 'Description' of "1:1 Personal support for one hour in the morning and one hour in the evening, Monday to Friday for 48 weeks per year", the following calculation will be required.</p> <p>2 hours per day x 5 days per week x 48 weeks per year = 480 hours.</p> <p>Enter the figure 480 in the 'Quantity' field.</p> <p><b>For example (2)</b> For a group based day service, a manual calculation <u>will not</u> be required. Enter the figure '1' in the 'Quantity' field. (If attending less than five days a week, the figure entered will be a fraction – for example, four days a week is shown as '0.8')</p> </td> </tr> </tbody> </table>	Field	Explanation	<p><b>Price per item</b></p>	<p>This is the price that is quoted by the prospective service provider. The ISP-FP does not provide an indicator of whether this is an hourly rate, sectional rate, term rate, yearly rate etc.</p> <p>The figure entered should reflect the dollar and cents amount of the respective price quoted.</p> <p><b>For example (1)</b> 1:1 Personal Support may be quoted at \$36.16 per hour - enter that figure in the 'Price per item' field.</p> <p><b>For example (2)</b> A place in a group program such as a day service may be based on an EFT (or yearly rate) of \$15,000 per annum - enter \$15,000.00 in the 'Price per item' field.</p>	<p><b>Quantity</b></p>	<p>Depending on the price per item entered, some manual calculation may be required.</p> <p><b>For example (1)</b> For a 'Description' of "1:1 Personal support for one hour in the morning and one hour in the evening, Monday to Friday for 48 weeks per year", the following calculation will be required.</p> <p>2 hours per day x 5 days per week x 48 weeks per year = 480 hours.</p> <p>Enter the figure 480 in the 'Quantity' field.</p> <p><b>For example (2)</b> For a group based day service, a manual calculation <u>will not</u> be required. Enter the figure '1' in the 'Quantity' field. (If attending less than five days a week, the figure entered will be a fraction – for example, four days a week is shown as '0.8')</p>
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<p><b>Price per item</b></p>	<p>This is the price that is quoted by the prospective service provider. The ISP-FP does not provide an indicator of whether this is an hourly rate, sectional rate, term rate, yearly rate etc.</p> <p>The figure entered should reflect the dollar and cents amount of the respective price quoted.</p> <p><b>For example (1)</b> 1:1 Personal Support may be quoted at \$36.16 per hour - enter that figure in the 'Price per item' field.</p> <p><b>For example (2)</b> A place in a group program such as a day service may be based on an EFT (or yearly rate) of \$15,000 per annum - enter \$15,000.00 in the 'Price per item' field.</p>						
<p><b>Quantity</b></p>	<p>Depending on the price per item entered, some manual calculation may be required.</p> <p><b>For example (1)</b> For a 'Description' of "1:1 Personal support for one hour in the morning and one hour in the evening, Monday to Friday for 48 weeks per year", the following calculation will be required.</p> <p>2 hours per day x 5 days per week x 48 weeks per year = 480 hours.</p> <p>Enter the figure 480 in the 'Quantity' field.</p> <p><b>For example (2)</b> For a group based day service, a manual calculation <u>will not</u> be required. Enter the figure '1' in the 'Quantity' field. (If attending less than five days a week, the figure entered will be a fraction – for example, four days a week is shown as '0.8')</p>						
	<table border="1"> <tr> <td data-bbox="443 1883 520 1962"></td> <td data-bbox="563 1872 1377 1966"> <p>All cost details <b>must be calculated on a yearly basis</b>, consistent with the notional allocation, even though the review date for the ISP-FP may be for a longer period (such as 36 months).</p> </td> </tr> </table>		<p>All cost details <b>must be calculated on a yearly basis</b>, consistent with the notional allocation, even though the review date for the ISP-FP may be for a longer period (such as 36 months).</p>				
	<p>All cost details <b>must be calculated on a yearly basis</b>, consistent with the notional allocation, even though the review date for the ISP-FP may be for a longer period (such as 36 months).</p>						

**Goods & Services Tax (GST)**

The facilitator or the person must ask the service provider about GST in relation to the price that has been quoted for each individual support.

To assist with working out which selection to make in the 'GST?' column, the following questions should be asked and action taken as required.



The service provider is legally responsible for providing GST information correctly.



Where the funding administration arrangement(s) selected is a Disability Service Provider funded through a service agreement with the department, the price for service provided by them will always be GST Free. This is because the department already pays the GST as part of its service agreement payments.

If the Disability Service Provider is to purchase supports on behalf of the person from other suppliers, GST will depend on the advice provided by the supplier.

Authority:  
One-off funding

For Approval	Purpose	Description	Price Per Item	Qty	GST?
1 Yes	01	Outreach support	\$350.00	6.00	Free
2	06	Therapy Services	\$225.00	8.00	

Click to add a new row to One-off funding Details grid

Ongoing funding per annum

For Approval	Purpose	Description	Price Per Item	Qty	GST?
Exc					
Free					
Inc					

Once the selection of 'Exc.' 'Free' or 'Inc' has been made, the ISP-FP will automatically calculate the 'GST Amount Payable', the 'GST Exclusive Cost' and the 'Total amount payable (inc. GST)'.

Price Per Item	Qty	GST?	GST Amount Payable	GST Exclusive Cost	Total amount payable (inc. GST)
\$555.00	54.00	Exc	\$2997.00	29970.00	32967.00

**Funding schedule totals**

When the required 'One-off funding' and/or 'Ongoing funding per annum' grid(s) for each funding schedule have been completed, the ISP-FP will automatically add up the totals. This will provide information about the amount of funding that needs to be forwarded to the funding administrator(s) to provide services or make purchases on behalf of the person.

1	Yes	06	test	122228
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**New** [Click to add a new row to Ongoing fundir](#)

Total one-off funding (exc GST)	\$4,545.45
Total ongoing funding per annum (exc GST)	\$29,970.00
Payment to FAA (inc GST)	\$37,967.00
Total GST for this FAA	\$3,451.55

**Disability funding required to achieve goals**

The figures in this section are automatically populated by the ISP-FP by totalling each of the funding schedules that have been completed. This gives the total amount of funding required for the person.

The fields are discussed here purely for information purposes for facilitators.

Facilitators will only need to enter information in 'If the allocation requested exceeds Notional Allocation please provide reason(s):' when this becomes applicable (as explained below).

**New**

Disability Funding Required to Achieve Goals			
DSR ID:	<a href="#">DSR1158</a>	Notional Allocation:	\$70,000.00 - \$75,000.00
Total ongoing funding requested per annum (exc GST):	\$51,004.09	Total one-off funding requested (exc GST):	\$22,045.45
Total Amount Payable (inc GST):	\$80,354.50	Total GST Payable:	\$7,304.96
If the allocation requested exceeds Notional Allocation, please provide reason(s):			

**Notional Allocation**

This figure is populated by the region during the referral process. It will be drawn from either:

- the DSR request (displayed as the funding range associated with the person's DSR level)
- a previous funded allocation (shown as a single dollar amount).

Note: The previous allocation may differ from an initial approved allocation due to adjustments that may be made over a period of time (for example as a result of indexation).

In all scenarios, the notional allocation is the **yearly** amount within which the person can plan for the ongoing supports they need.

**Total ongoing funding requested per annum (exc. GST)**

This amount is the overall total of the 'Ongoing' funding grid totals on each funding schedule page that is completed.

This is the amount that is assessed against the notional allocation for consideration as the annual funding required by the person to meet the ongoing support needs.

**Total one-off funding requested (exc. GST)**

This amount is the overall total of the 'One-off' funding grid totals on each funding schedule page that is completed.

	<p>This funding is approved in addition to the ongoing funding required and is not counted against the notional allocation.</p> <p><b>Total GST payable</b></p> <p>This amount is the overall total of the GST payable on each funding schedule page that is completed.</p> <p>This funding is paid by the region in addition to the ongoing and one-off funding required.</p> <p><b>Total amount payable (inc. GST)</b></p> <p>This is total amount the region will pay in relation to the person's Individual Support Package.</p> <p><b>If the allocation requested exceeds Notional Allocation please provide reason(s)</b></p> <p>In some instances a person's circumstances may have changed since their DSR application or during the previous period of support which may indicate more funding being required. For example, there may have been a recent and sudden deterioration of their health or family circumstance that requires additional support.</p> <p>The ISP-FP can be submitted to the region even if the total funding requested exceeds the notional allocation. The ISP-FP, however, will prompt the facilitator to enter the reason(s) why this is the case.</p> <p>If the reason is accepted by the region, the requested total will be approved.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">  <p>If the region has budget capacity the Funding Proposal may be recommended for approval at the higher total. If the region <b>does not</b> have budget capacity they may approve up to the notional allocation and request that a DSR application (for the new total requested allocation) be submitted for the additional supports or services requested.</p> </div>
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<p><b>Payment Schedule (Direct Payments only)</b></p>	<p>When a funding schedule for a funding administration arrangement of direct payments is completed, the ISP-FP will automatically generate a 'Payment Schedule.' The payment schedule has four columns:</p> <ul style="list-style-type: none"> <li>• Month—the month to which the funding relates.</li> <li>• Amount—the amount of funding for that month.</li> <li>• Payment date—the date by which the payment will be made.</li> <li>• Comments—a description of the payment (optional).</li> </ul> <p>The facilitator completes the month and the amount columns. The payment schedule defaults to include the one-off funding in the first month and divides the ongoing funding across the 12 months. The facilitator can change the default amount of funds to suit the person's needs and uses the comments column to explain the changes. Note: it is possible to have a zero payment for one or more months.</p> <p>Once completed the payment schedule is printed out, signed by the regional financial delegate and forwarded to Financial Services Branch.</p>
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<p><b>Cash limit (Direct Payments only)</b></p>	<p>This section will appear under the payment schedule only if a funding administration arrangement of direct payments has been selected. Direct payments users are able to use an agreed amount of funding in cash per month called the Cash Limit.</p>
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	<p>The standard (default) limit is \$100 per month. New fields have been added to the Payment Schedule section of the ISP component which records either the standard \$100 Cash Limit or allows identification of an alternative Cash Limit and to record the reason for any variance.</p> <p><b>Note:</b> The Cash Limit refers to the amount of cash each month that the direct payments user(s) may spend out of the total funding transferred in the direct payments payment schedule. It is not in addition to the total funding to be administered through direct payments.</p>
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<b>Reimbursement Limit (Financial Intermediary only)</b>	<p>This section will appear at the bottom of the funding schedule only when a funding administration arrangement of financial intermediary has been selected. The Reimbursement Limit and the frequency (annual or monthly) which the limit applies and the reason for the reimbursement are to be recorded.</p> <p><b>Note:</b> The Reimbursement Limit refers to the limit of reimbursements that the person can claim from the financial intermediary out of the total funding administered through the financial intermediary.</p>
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<b>B6. Submit to region</b>	<b>Responsibility:</b> Facilitator
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Once the person and/or their nominated person are happy with the funding proposal, the facilitator can electronically submit it to the region. Submitting to region enables the final Funding Proposal to be printed and signed by the person and/or nominated person(s).

This printed document will include an automatically generated proposal number (for example, Proposal1).

The ISP-FP requires that the facilitator checks the relevant buttons to indicate the acknowledgment of the person and/or the nominated person to the conditions of receiving an Individual Support Package. The facilitator must also check the button acknowledging that they have completed the facilitation process.

The current technology does not enable any form of 'electronic signature' for private persons because they cannot be users of CRIS or CRISSP. The facilitator must, therefore, print out at least one copy of the complete proposal (referred to in the chart above as ISP-FP EDG), obtain the signature of the person and/or the nominated person(s). The facilitator should also sign in the space provided and forward the signed copy to the region. It can be either hand delivered or sent by post.

	<p>It is essential that the person is only asked to sign the final proposal that becomes available after the 'Submit to Region' button has been pressed. They <u>must not</u> be asked to sign a funding proposal that has the DRAFT watermark on it.</p> <p>This will ensure that the proposal that is received for assessment by the region is exactly the same as the one person has signed.</p> <p>By signing the proposal, the person is agreeing to its being an accurate representation of the supports they need and they are acknowledging the terms and conditions of receiving a funding allocation.</p>
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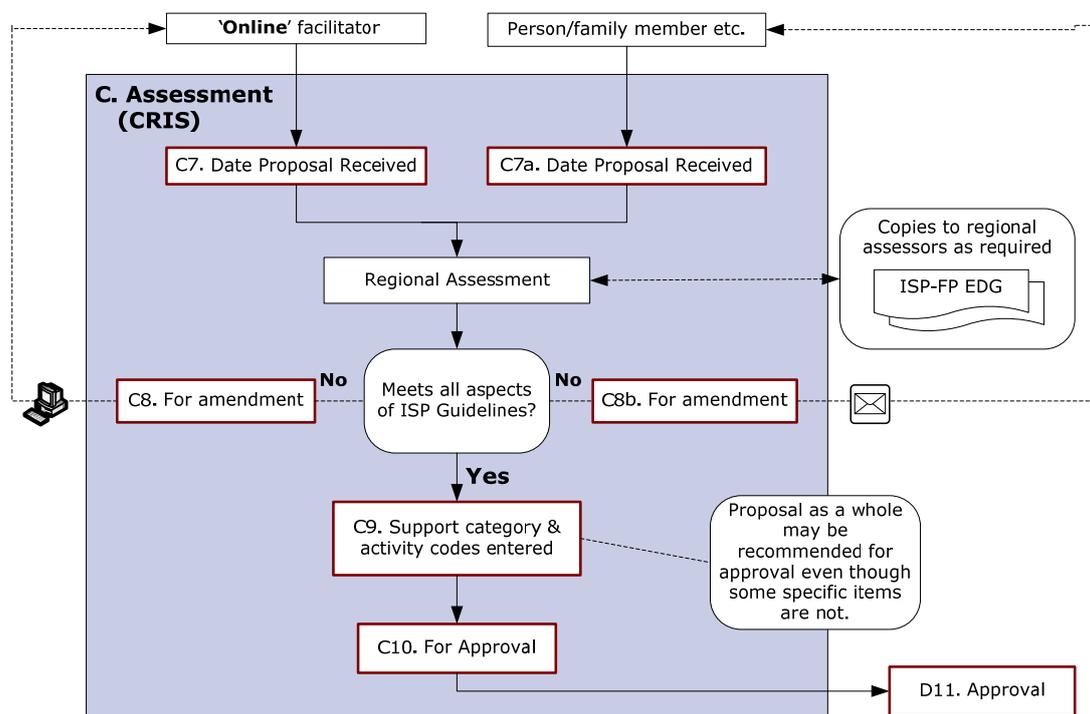
The ISP-FP contains statements that the facilitator must also acknowledge. Pressing the 'Submit to region' button is in effect the facilitator's electronic signature of acknowledgement.

The facilitator must ensure that they go back into the ISP-FP and enter the date they forwarded the signed copy in the 'Date Proposal Sent' field, **otherwise the process cannot proceed.**

The facilitator and/or the person or nominated person may wish to keep a copy of the signed document.

	<p><b>Timeline</b> The facilitator must aim to complete and return the ISP-FP to region within <b>90 days</b> of accepting the referral.</p>
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## 6. Regional assessment of the funding proposal



<b>C7. C7a</b>	<b>Date Proposal Received</b>	<b>Responsibility:</b> Regional Worker
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This is the date that the region receives the signed paper copy of the funding proposal. This date is entered for both ISP-FPs submitted by facilitators and 'paper' Funding Proposals submitted by the person or other 'off-line' facilitator.

	<b>Timeline</b> This date must be entered as soon as practicable after receipt of the paper copy.
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	For off-line proposals, the service provision and ISP-FP must be created before any further action can be taken. See Section 5, B4 and B5.
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<b>Regional Assessment</b>	<b>Responsibility:</b> ISP Co-ordinator
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Once the Date Proposal Received has been entered, the ISP-FP can be referred to a regional worker (ISP Co-ordinator) who will co-ordinate assessment of the proposal.

The ISP Co-ordinator can review and assess the proposal. This may involve an initial screening of the document on the system to ensure that it is correctly filled in.

If all details are correctly presented, the ISP Co-ordinator will make a decision as to whether they can continue the assessment on the system themselves or whether they need to obtain advice or opinion from others.

The purpose of the assessment is to determine if the ISP-FP meets the all aspects of the ISP Guidelines, that is, it is within notional allocation or a reason has been given, it complies with the ISP funding guidelines and the funding administration arrangements chosen are appropriate for the person.

The ISP Co-ordinator may need to obtain the opinion of others if the proposal is more complex or contains items that open to interpretation as to whether they meet all requirements. The ISP Co-ordinator may elect to print out copies of the ISP-FP and make them available to the relevant workers for discussion and possible suggestions.



#### Timeline

The region must advise the outcome of the assessment (that is that it will be returned for amendment or recommended for approval) within **14 days** of receipt of the signed copy.



Refer to the Individual Support Package Guidelines and associated Practice Advice for further information about assessing and approving Funding Proposals.

## C8. For amendment

**Responsibility:** ISP Co-ordinator

If there is concern about an element of the proposal, such as a support requested not being consistent with the funding guidelines, the proposal is referred back to the facilitator who completed it.

Sending a proposal back for amendment will contain advice as to what the concern is and a request that the person and/or facilitator consider alternative support responses. It may also indicate the need to review a funding administration arrangement(s) that was proposed.

A proposal sent back for amendment will clearly indicate if the region is not prepared to fund a particular support, service or item.

It is the facilitator's responsibility to work with the person to consider an alternative to the requested item that might be within the funding guidelines.

Lines in the one-off funding and ongoing funding per annum grids that have not been approved cannot be altered when back with the facilitator for amendment. Amendments can be made in one of two ways:

- adding an additional line(s) with details of alternative services or supports
- amending an existing line that has been approved (for example, to request more of a particular support to replace the support that is not approved).

Once the person and/or nominated person(s) and facilitator are happy with the ISP-FP it can be re-submitted to the region. This will automatically generate a new ISP-FP number (for example, Proposal2).

Sending a proposal back for amendment requires a new copy of the funding proposal to be printed, the appropriate acknowledgements signed and the proposal re-submitted to the region.



It is good practice for all parties to be happy with, and acknowledge that, the funding proposal that is submitted will be accepted by the region.

The facilitator must advise the person that insisting on re-submitting a non-approved item, will not result in it being approved.

If the person insists, the facilitator **must** explain that the region may approve the Funding Proposal **minus** that particular item.

The ISP-FP also now includes a column which records the date on which the proposal was referred back to the facilitator for amendment. This is to enable monitoring of the time taken to process the ISP-FP.

**C9. Administrative information entered**

**Responsibility:** Regional Worker / ISP Co-ordinator

**Support category codes**

Support category codes for items are entered into the ISP-FP at this point. These codes are used by the department for reporting purposes to the State and Commonwealth governments.

Only items that **are approved** require a support category code.

Support category codes are entered (from a defined drop down list) by a regional worker familiar with Individual Support Packages and the supports that might be purchased. This will ensure consistency within region and across regions to the greatest extent possible.

**Activity codes**

The source of funding for the majority of Individual Support Packages will be from the Disability Services Policy & Funding Plan activity code for Individual Support Packages (17081). However, where the ISP-FP is used to develop a funding plan for supports funded through another activity (for example, Day Programs, the relevant activity code (17022) will need to be selected to identify the funding source.



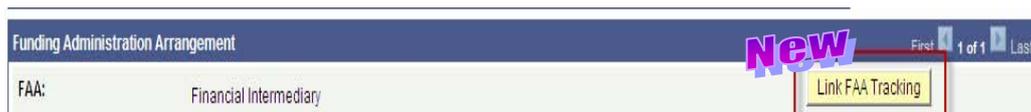
The selections available at the time of printing are:

Activity	Description
<a href="#">17010</a>	<a href="#">17010-Respite</a>
<a href="#">17016</a>	<a href="#">17016-Shared Supported Accommodation</a>
<a href="#">17022</a>	<a href="#">17022-Day Programs</a>
<a href="#">17081</a>	<a href="#">17081-Individual Support Packages</a>
<a href="#">17201</a>	<a href="#">17201-Futures for Young Adults</a>
<a href="#">17206</a>	<a href="#">17206-ISP Funding Administration</a>

**FAA Tracking Record**

When a funding proposal status is changed 'To Region' and is being assessed, a FAA tracking record (or records where more than one FAA is used) must be created in CRIS and linked to the ISP-FP prior to it being set 'For Approval'.

Departmental (internal) facilitators are able to create a FAA tracking record, however they will not be able to link the record to the ISP-FP. Only regional assessors, who are Team Leaders within the ISP-FP provider groups, are able to link the record to the ISP-FP.

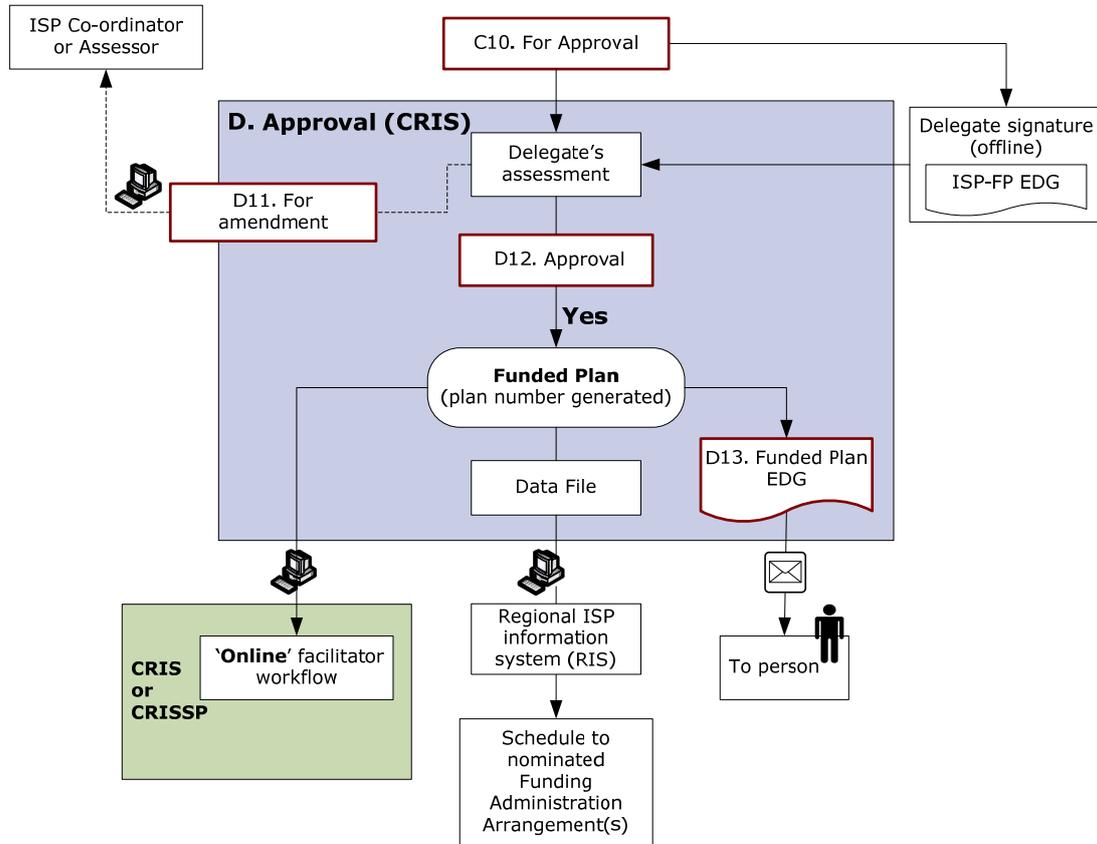


**C10. For approval**

**Responsibility:** ISP Co-ordinator

Following assessment within the region, the proposal will be referred for approval if it meets the funding guidelines, is within notional allocation and contains appropriate funding administration arrangements. As previously indicated, the recommendation relates to the funding proposal as a whole even though some items within it may not be recommended for approval.

## 7. Approval process



The allocation of government funds to either organisations or individuals is governed by specific financial legislation and practice. Within the department, the Secretary has responsibility for all funding allocations but has delegated approval for certain amounts of funding to officers at various levels.

Within regions there are different levels of delegated authority. Depending on the amount of a particular proposal, a different officer may sign the approval.

### D11. For Amendment

**Responsibility:** Delegate

When presented with a funding proposal for consideration, the financial delegate may have concern about an element of the proposal, such as a support requested not being consistent with the funding guidelines. In such cases the delegate may refer the proposal back to the ISP Co-ordinator or Assessor who has submitted it.

Regional Approval		
Provider Group:	PG0182	SMR ISP-FP
Proposal Nbr	Plan Approved	Comment
1 Proposal1	Amendment	
Accept response entered as signed by Delegate.	Amendment Yes	ing that the data financial Name: Worker Position:

In some instances the change required by the delegate may be able to be made by the ISP Co-ordinator or Assessor, however, it may need to be sent back to the facilitator for amendment in consultation with the person.

When 'Amendment' is selected, the date is recorded in a new column that appears within the Regional Approval grid. The new column is titled 'Return Date'.



Proposal Nbr	Plan Approved	Comment	Decision Date	Plan Start Date	Plan End Date	Next Review Due	Return Date
1 Proposal1	Amendment	test					12/05/2010

## D12. Approval

**Responsibility:** Regional Worker

At the present time, most delegates are not users of the CRIS system, so their approval will be sought 'offline' - that is they will sign a paper copy.



The ISP Co-ordinator who recommended the proposal will indicate in the system that this approval has been obtained.

On entering of this indication, the funding proposal becomes the person's Funded Plan.



The ISP-FP contains an option at this point for the ISP-FP to be **Not Approved**. ISP Co-ordinators are strongly advised **not to use** this option as it locks the proposal and an entirely new proposal would need to be submitted to finalise the process.

Once 'Yes' has been selected in the Plan Approved column of the Regional Approval grid, the system will automatically enter a 'Plan Start Date' of today's date. This date can be changed if it is known that the plan will not start immediately (Note, changes cannot be made after the document is saved) For example, using the screen shot below, if there is a change of FAA requiring two months notice, the Plan Start Date might be entered as 01/08/2010.

As indicated earlier the 'Plan End Date' is derived by adding the required amount of months until the Support Plan review. The 'Next Review Due' is then automatically calculated to generate a date three months prior to the Plan End Date.

This will enable referral to a facilitator and, in most instances, a new funding proposal to be submitted and approved prior to the Plan End Date.



Plan Start Date	Plan End Date	Next Review Due
01/06/2010	01/06/2012	01/03/2012

Upon approval of the Funding Plan, the Support Plan record for this ISP will be automatically created in the plan component of CRIS.



The date fields shown in the screen shot above are replicated in the Funded Plan EDG (see below) that is sent back to the person.

### D13. Funded Plan EDG

**Responsibility:** Regional Worker

Once the document has become a Funded Plan, it is available to be printed out.

At a minimum a copy should be printed and forwarded to the person and/or nominated for their information and records. The region may choose to print copies for other key parties.



The Funded Plan is generated by the data in CRIS. It does not need to be uploaded or scanned back into CRIS.

### Workflow to facilitator

**Responsibility:** Regional Worker

An online facilitator will receive notification through CRIS/CRISSP that the plan is approved and can view the document in the system. They may not require a printed copy.



The Facilitator will receive a message that the status of the proposal has been changed and they should close the facilitation service provision. This service provision **should not** be closed if the facilitator is going to have a role in implementing the approved supports. The service provision can be closed once the implementation support is finished.

### Data file

**Responsibility:** Regional Worker

All fields of information in the ISP-FP are usable data and therefore this data can be used for several purposes.

- Provision of financial data for regions so that they can manage their budget
- Provision of information to the nominated funding administration arrangement(s)

The data file is used to populate the Regional ISP System (RIS) and generate the information required.

## 8. Glossary

CRIS	Client Relationship Information System
CRISSP	Client Relationship Information System for Service Providers
the department	The Department of Human Services
DSR	Disability Support Register
EDG	Enhanced Document Generation (paper document)
Facilitation Team Leader	The Team Leader of a team that provides a facilitation service. Refers to a role in either internal (departmental) or external services that may be performed from time to time
Facilitator	<p>A worker employed by either the department or a community service organisation to work with a person with a disability to plan for the person's disability supports, including the development of an ISP-FP</p> <p>(The facilitator may also have a role in implementing and reviewing the Individual Support Package as well as providing the person with periodic assistance and advice if required).</p>
FAA tracking	<p>The FAA Tracking component has been created in CRIS to support the department to track the workflow associated with individuals choosing a funding administration arrangement(s).</p> <p>The component will provide regions with the capacity to record for ISP recipient:</p> <ul style="list-style-type: none"><li>• the funding administration arrangements used</li><li>• the steps completed in the establishment of direct payments, where relevant</li><li>• any monitoring undertaken in relation to the funding administration arrangement</li><li>• the steps involved in ending a funding administration arrangement.</li></ul>
Funding administrator	The service or person(s) responsible for administering the Individual Support Package and may include a ISP recipient and/or a nominated person, a financial intermediary or a disability service provider(s).
ISP	Individual Support Package
ISP Co-ordinator	A role performed by one or more regional staff members, usually at Team Leader or equivalent level*, in relation to assessment of ISP-FPs and recommendations for amendment or approval (* Must have a status of Team Leader in CRIS)
ISP-FP	The automated process for Individual Support Package Funding Proposal
Regional worker	A worker or workers in the region who will undertake administrative tasks within CRIS in relation to ISP-FP

support plan	As defined by the <i>Disability Act 2006</i> , a support is required when a person is in receipt of an ongoing disability services such as an Individual Support Package. It describes the person's goals and strategies, and how support from disability service provider(s) will address these goals.
supporter(s)	A term used throughout this guide to refer to family members, friends, carers and informal advocates who are working with the person to determine the content of their Individual Support Package and its implementation, and to help them achieve their goals. The term excludes paid carers and service providers.