WA NDIS Trials

Evaluation

2016

FINAL REPORT

Attachments

Stantons International
NDIS WA Trials Evaluation

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1.0 Caveats and Data Limitations

1.1 Study Delays

During the evaluation, the evaluators experienced a number of delays that have had an impact on the evaluation process.

- Variation #1: The scheduled start for stage 2 on 22nd October 2015 was delayed to 18th January 2016 to accommodate delays in response to the Agency Quantitative Survey #1.
- Variation #2: The date for the Final Report was changed from 22 August 2016 to 30 September 2016 to accommodate delays in response to the Agency Quantitative Survey #2 and other unplanned work.

The stage 2 changes reduced the time available for planned surveys, conversations, report reviews and the analysis and report preparation period.

The diagrams in *Figure 1 Stage 1 & 2 Timeline Changes* below shows the impact of the delays on Stages 1 and 2 of the study and the constraints applied to preparation of the Final Report.

The compressed time available for Participant and Provider interviews reduced the original Participant conversation program of 70 interviews to 48 in order to fit the available time. The Provider stage 2 survey was also reduced to 9. Interviews. The report analysis and preparation time was reduced from 10 to 7 weeks.

1.2 Participant Conversations

	68 Candidates			40 Candidates		
Conversations	NDIA			WA NDIIS		
	Target	Scheduled	Completed	Target	Scheduled	Completed
Week 1	4	1	1	4	2	2
Week 2	4	0	0	8	6	4
Week 3	8	4	3	8	8	6
Week 4	8	7	5	4	4	0
Total	24	12	9	24	20	12
% Candidates		18%	13%		50%	30%

The table above shows a target group of 24 Participants from each Agency was provided for. A number of Participants who agreed and were scheduled for an interview were unable to attend and the interview was not completed.

- Of the 48 Participants required for interview, only 21 interviews were completed successfully.

- The structure of the interview program was built from business model activities specific to Participant involvement with the agencies. In particular, evidence received from other sources was also used to confirm trends and Participant experiences.
- Prior to the selection of the Participants for interview, the evaluators reviewed 300 Participant Plans from each agency. In addition, each Participant Plan was reviewed understanding the complete Participant and Provider claims history. Participants were given the option to be interviewed at home or in the agency offices. All interviews were in confidence and conducted “face to face”.
- The interviews were approached to allow the Participant to express their feelings and experiences whilst using a consistent line of enquiry (across all interviews) that was also knowledgeable of the supports in their Plan and their financial and Provider claims history.
- The results from the interviews were consistent across all Participants from each trial site who contributed to the conversation program. Their contribution has helped in the refinement of the business model, observations, and evidence from other sources.

In the case of the NDIA trial site Participant interviews, although only a small sample was involved, it is concerning that all reported the same experience and level of dissatisfaction with access to assistance from NDIA. All Providers also reported dissatisfaction on similar issues with NDIA. It is considered that these are not isolated instances of the issues identified and are representative of access difficulties with NDIA.

1.3 Provider Interviews

Structured interviews with nine Providers in July 2016 [Service Provider Survey #2] of which:

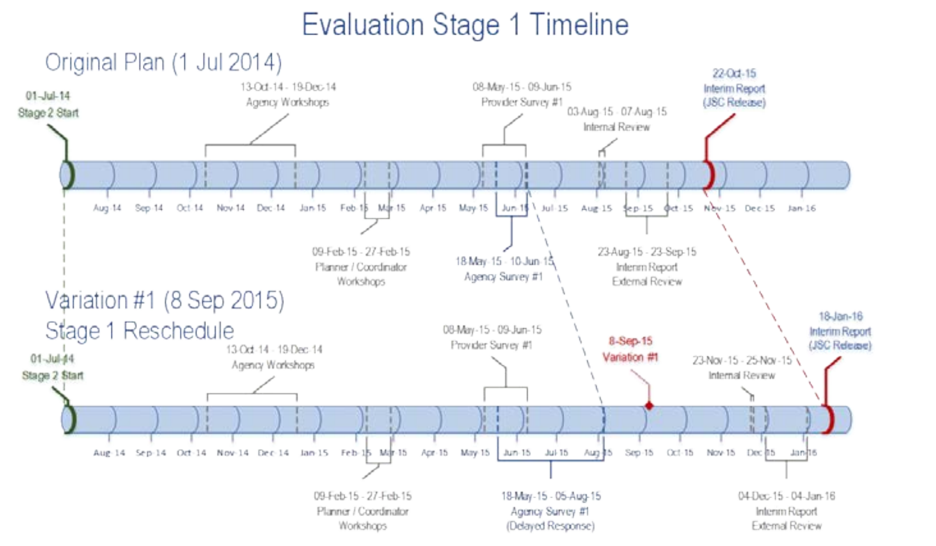
- 7 are operating in both the NDIA and WA NDIS trial sites;
- One is operating in WA NDIS trial site only; and
- One is operating in the NDIA trial site only.

These interviews used data collected from the preliminary interviews in November 2014 with four Providers and subsequent original baseline survey results in May 2015 in which there were 44 respondents with multiple responses from those Providers operating in both trial sites. Details are provided under section 2.7 Service Provider Survey #1.

The purpose of the interviews was to:

- Understand what changes had occurred;
- How the changes had impacted Provider services, experiences and outcomes; and
- Confirm Participant experiences and observations raised in the conversation process.

Interviews with the nine Providers were consistent with evaluation observations from other surveys, sources and business model processes that provided clarification and an enhanced understanding.



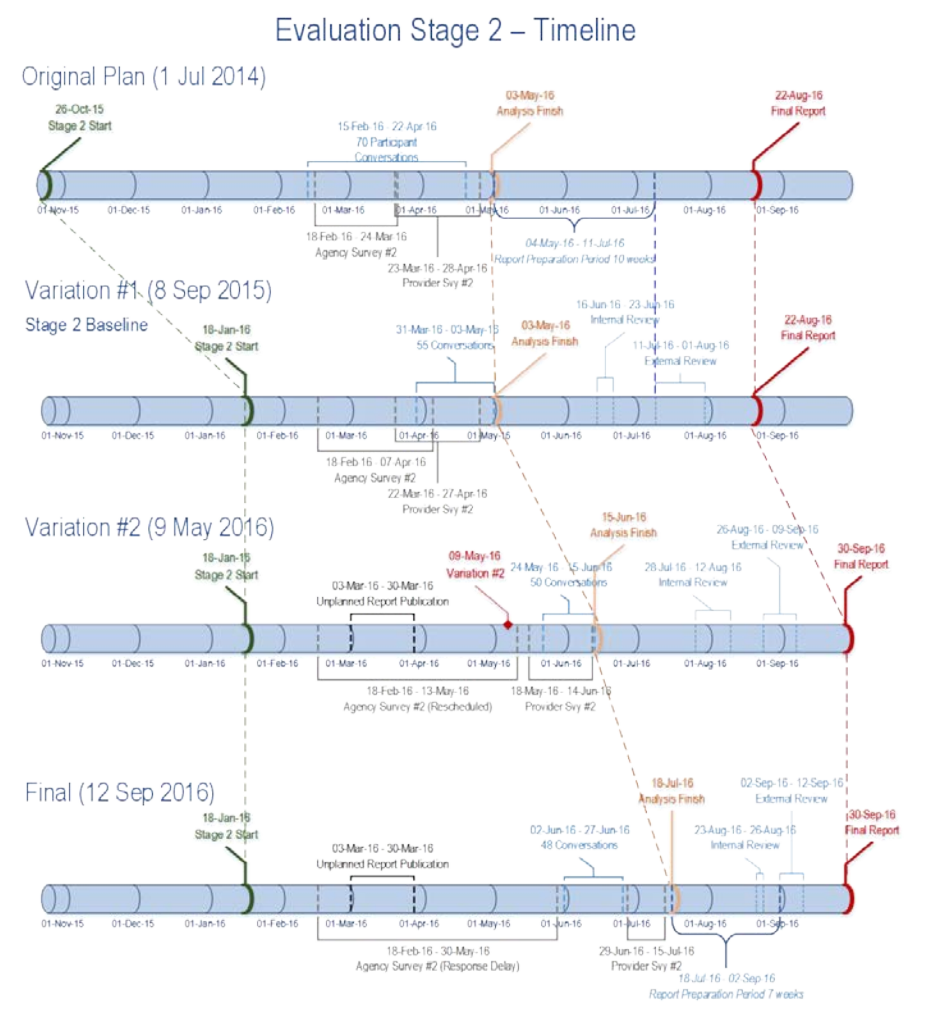


Figure 1 Stage 1 & 2 Timeline Changes

2.0 Surveys and Workshops

2.1 Sources of Information

An extensive set of reference materials has been collated and together with information from workshops and surveys has been incorporated into the data warehouse.

Each of the categories of source information includes multiple individual component sources.

	Source	Source Description	
S1	Agency Policies and Business Practice	Rules and Guidelines applicable to the formulation and operation of Participant Plans published by the agencies (including relevant Acts) Agency business process workshops were held Oct-Dec 2014 and ongoing interviews to Jul 2016.	Up to Jul 2016
S2	Agency Risk Workshops	Agency operational management risks and issues workshops	Mar 2015
S3	Agency Planner & Coordinator Workshops #1	Agency Planners and Coordinators operational staff interviews and workshop records	Feb 2015
S4	Service Provider Survey #1	Responses to the Service Provider survey in April 2015. (Initial interviews in Nov 2014)	Apr-May 2015
S5	Agency Quarterly Reports	Agency management and actuarial Quarterly Reports Sep14 to Jul16	Jun 2016
S6	Bilateral Agreements	Trial Site scheme agreements between WA State & Commonwealth Governments	Up to Jul 2016
S7	Agency Quantitative Survey #1	Responses to Agency Quantitative Survey in August 2015	May-Aug 2015
S8	External Sources	Other sources including JSC NDIS inquiries and Senate hearings held in WA and Canberra in 2015. Published articles.	Up to Jul 2016
S9	Participant Plan Survey	300 Participant Plans sampled from each trial site for Nov 2014, Feb 2015 and Nov 2015.	Feb 2016
S10	Agency Planner & Coordinator Workshops #2	Agency Planners and Coordinators operational staff interviews and workshop records	Feb 2016
S11	Agency Quality Management Workshops	Review of Agency quality management approach and practices in the trial sites	Mar 2016
S12	Financial Processes Workshops	Agency finance staff workshop on Provider and Participant financial operations	Apr 2016
S13	Agency Quantitative Survey #2	Responses to Agency Quantitative Survey #2 completed in May 2016	Feb-May 2015
S14	Participant Conversation Program	Structured interviews with selected Participants from each trial site.	Jun 2016

	Source	Source Description	
S15	Service Provider Survey #2	Structured interviews and Service Provider survey updates in July 2016.	Jul 2016

The information was collated into a database repository and associated with the detail elements of the business model. The business model was also used to identify specific information required to fully understand how the agencies were performing detail processes.

The surveys and workshops were carefully prepared to clarify points of difference and highlight different experiences and outcomes where appropriate.

2.2 Surveys

Survey ID	Survey	Start	Close	Response
SP0	Provider Preliminary Interviews	Nov14	Nov14	Preliminary interviews with a small group of Service Provider senior officers were conducted in November 2014 to research issues in preparation of the Service Provider survey.
SP1	Service Providers Survey #1	8May15	9Jun15	69 providers operating in the trial sites received surveys. 44 responded.
AQS1	Agency Quantitative Survey #1	18May15	5Aug15	The WA NDIS response was received 10 June. The NDIA response on 5 August 2015.
PPS	Participant Plan Survey	27Jan16	25Feb16	The WA NDIS response was received 19 Feb. The NDIA response on 23 Feb 2016
AQS2	Agency Quantitative Survey #2	18Feb16	30May16	The WA NDIS response was received 19 May. The NDIA response on 30 May 2016
SP2	Service Providers Survey #2	29Jun16	18Jul16	9 providers operating in the trial sites were interviewed.

2.3 Workshops

Workshop	Dates	Response
Risk Management Workshops	Mar 2015	4 attended the NDIA workshop and 6 attended the WA NDIS workshop
Planner and Coordinator Workshops #1	Feb 2015	One NDIA location: 6 attendees. Two WA NDIS locations: 19 attendees
Planner and Coordinator Workshops #2	23-29 Feb 2016	One NDIA location: 7 attendees. Three WA NDIS locations: 49 attendees
Quality Management Workshops	1-4 Mar 2016	One NDIA location: 5 attendees. One WA NDIS location: 11 attendees
Financial Process Workshops	14-19 Apr 2016	One NDIA location: 4 attendees. Two WA NDIS locations: 4 attendees

2.4 Agency Workshops

2.4.1 Risk Management Workshop #1 (S2)

Two risk management workshops were conducted in March 2015, one for each agency. Senior operational staff associated with the respective trial sites attended.

The workshops were conducted along industry standard procedures identifying the risk and effect and assessing each with a likelihood and severity to produce an impact grade of Low, Moderate or High. The documented results of the workshops were provided in confidence back to the respective manager of each agency site for review and the updated results entered into the evaluation data warehouse.

Risk Workshop	WA NDIS	NDIA
Attendees	6	4
Risk Counts		
Risks – High	10	9
Risks – Moderate	20	28
Risks – Low	10	5

A follow-up Risk Management workshop #2 originally scheduled for March 2016 was initially deferred due to study delays and eventually cancelled due to further delays and time constraints.

2.4.2 Planner and WA NDIS Coordinator Workshops #1 (S3)

Three interactive workshops were held in February 2015 to gather direct information from the persons involved in liaising directly with participants from both agencies. Due to geographic considerations, two workshops were held for the WA NDIS trial site.

Participant Liaison Workshop	Attendance
NDIA Perth Hills (Midland)	6
WA NDIS (Busselton)	11
WA NDIS (Bridgetown)	8

The workshops included discussion of the agenda items:

Participant Liaison Processes:

- Initial contact and liaison;
- Needs assessment for eligibility;

- Eligibility application;
- Plan preparation (Detail needs, preparation and costing processes);
- Plan approval;
- Plan in progress;
- Plan review;
- Exit situation.

Service Provider Processes:

- Participant Advocacy and Assistance;
- Service Provider market changes.

The proceedings from the workshops were processed into the evaluation data warehouse. They were kept confidential to the evaluation team only.

2.4.3 Planner and WA NDIS Coordinator Workshops #2 (S10)

The following workshops were held with the NDIA Planners and WA NDIS Coordinators:

- WS #M1 - MyWay: Manjimup 23 Feb 16 (4 attendees)
- WS #N1 - NDIA: Midland 25 Feb 16 (7 attendees)
- WS #M2 - MyWay: Busselton 26 Feb 16 (15 attendees)
- WS #M3 - MyWay: Kwinana-Cockburn 29 Feb 16 (30 attendees)

The brief for the workshop was provided in advance and the workshop was guided by a presentation giving examples and more details.

Detail notes were recorded and collated for evaluation.

Planner and WA NDIS Coordinator Workshops #2 - Agenda

The workshop will take 2½ hours.

The NDIS WA Trials Evaluation objectives are to:

- Compare and contrast the two scheme models
- Track changes to models and practices
- Consider implementation issues
- Evaluate process outcomes
- Assess future sustainability and rollout factors

Key Activities:

- • Completed first stage and submitted the Interim Report to the Joint Steering Committee in January 2015
- • Conduct a series of workshops covering scheme activities and management practices
- • Conduct surveys to collect additional data
- • Conduct Participant conversations
- • Final Report due in August 2016

The Workshop topics are covered in two parts:

- Part 1: Organisation — Review key procedures and changes you have seen since Feb '15
- Part 2: Participant Plan lifecycle — Review processes, changes and your experiences based on the Participant

Workshop focus

- Changes you have seen over the last year
- Further improvements you would like to see

2.4.4 Quality Management Workshops (S11)

A Quality Management workshop was held with each agency between the 1st and 4th of March 2016.

The NDIA workshop was attended by 5 officers, including 2 by video link.

11 officers attended the WA NDIS workshop.

A presentation briefing was distributed to attendees prior to the meeting outlining the approach and topics to be discussed.

Following an introduction on terms and definitions, quality management practices in the following areas were discussed

- Management Practice
- Site Implementation
- Process Changes
- Process Outcomes
- Rollout & Sustainability

For each topic, the attendees were to describe:

- Describe what happens now
- What is good about the current quality processes and the results?
- What could be better?
- What do you do with the results?
- What would you like to do in the future?

2.4.5 Financial Processes Workshops (S12)

The workshops were conducted between the 14th and 19th of April 2016.

The NDIA session was held at Midland with four persons. Two were agency officers supported by a representative Participant and a Provider person.

The WA NDIS sessions were held at their West Perth office with two operational and finance officers, and another at the Busselton Office with two local area management and finance officers.

The structure was the same for all sessions. The session was in two parts, covering Participant accounts and claim processes, then Provider accounts and claim processes.

Topics included:

- Account Setup
- Advance Payments
- Process Claims
- Exceptions
- Status Checks

2.5 Agency Quantitative Survey #1 (S7)

2.5.1 Conduct of Survey

The survey request was issued on 18 May 2015 with a due date of 10 Jun 2015. The WA NDIS response was received on 10th June and the NDIA incomplete response on 5th August 2015. Due to the delay in the NDIA response, Project Variation #1 provided for an extension of date for the Interim Report was agreed with the contract manager on 8 Sep 2015. These study changes were documented in the Quarterly reports.

Additionally, missing information in the NDIA response caused revision of the planned evaluation methodology that was incorporated into the variation.

2.5.2 Survey Structure

The request for information was structured as per the table of contents below. Sample spreadsheet layouts for the data response were included.

Contents

2.6 Agency Quantitative Survey #2 (S13)

2.6.1 Conduct of Study

The survey request was issued on 18 Feb 2018 with a due date of 24 Mar 2015. However, due to other factors outside the control of the study, and to provide for further clarification on some aspects of the information, this was subsequently modified to 2 May 2016.

The WA NDIS response was received on 19 May and the NDIA response on 30th May 2016.

Due to the delay in the responses and other factors, a second project variation extending the date for the Final Report to 30 Sep 2016 was agreed with the contract manager on 9 May 2016. These study changes were documented in the Quarterly reports.

2.6.2 Survey Structure

The information requested in this survey focussed on specific areas relevant to the Final Report and comprises a reduced set of information compared to the first survey.

In accordance with the approved methodology for the evaluation and the comparative nature of the analysis, a full response was required from both the WA NDIS and NDIA scheme agencies operating the trial sites. Where either Agency did not provide any of the information items requested, that section of the analysis would be excluded on the basis that a valid comparison could not be made. The Evaluators did seek to obtain the missing information from alternate sources to minimise any compromise in the findings of the Evaluation.

This document describes the required information in the following groups:

- Participant Plan Information Summary Data
- Agency Planner/Coordinator FTEs
- Service Provider cluster registrations

Each group contained a brief description of the required information and a sample table of how it should be provided. The responses were to be provided in attached Spreadsheets set up to resemble the sample tables provided in this document. There was a separate Spreadsheet workbook provided for each group.

2.7 Service Provider Survey #1 (S4)

2.7.1 Preliminary Interviews

Preliminary interviews with a small group of Service Provider senior officers were conducted in November 2014 to research issues and support preparation of the Service Provider survey.

2.7.2 Survey and Responses

The survey was issued on 8 May 2015 and the last response received on 9 June 2015.

Service Provider Survey	Total	WA NDIS Only	NDIA Only	Both Sites
Total Suppliers Surveyed	69	13	37	19
Total Suppliers Responded	44	9	20	15
Surveys Received				
WA NDIS	20	9		11
NDIA	34		20	14

2.7.3 Provider Briefing Note

Scope of the NDIS Trials in WA [preamble used in the survey]

The NDIA model will operate in the Perth Hills area for people with disability living in the local government areas (LGAs) of Kalamunda, Mundaring and Swan.

The WA NDIS model will operate in the Lower South West region for people with disability living in the LGAs of Augusta-Margaret River, Boyup Brook, Bridgetown-Greenbushes, Busselton, Donnybrook, Balingup, Manjimup and Nannup (for the whole trial period 2014-2016) as well as the Kwinana and Cockburn LGAs (for 2015-16 only).

Objectives of the Evaluation

- Compare and contrast the two trial site models.
- Identify any implementation issues for each model which will require attention during the two year trial (formative perspective).
- Monitor and track modifications that are made to both models during the trial period and determine the reasons for the changes.

- Provide information on the processes and outcomes of each model to the extent possible within the available timeframe.
- Identify and discuss the implications of the evaluation findings for the future of the disability reform agenda in Western Australia and nationally.

Evaluation Focus

Evaluate the extent to which the individual Trials achieve:

- A sustainable and effective service model.
- A positive experience for individuals.
- Positive outcomes for people with disability, their families and carers.
- Explicit identification of future implications for disability reform in Western Australia.

Evaluation Methods

- A series of qualitative interviews with service users to assess their experience and outcomes over time within each model.
- Observation and analysis of planning and funding processes in each trial site.
- Analysis of policy and procedural documents.
- Interviews with planners and Local Area Coordinators/WA NDIS Coordinators in each trial site.
- Surveys or interviews with disability service organisations and mainstream service organisations in each trial site.
- Interviews with stakeholders and senior policy makers.

The methods include development of comprehensive models of both trials (current state) and an optimised future state model with relevant metrics for comparative outcome analysis. Alternative scenarios will be developed with representative case studies supporting observations and illustrating future options and implications.

2.7.4 Survey Structure

Each section comprised multiple questions, each with multiple choice answers or rating sliders and provision for comments.

1		INTRODUCTION
	1.1	Study Context
	1.2	Responses
	1.3	Structure of Survey
	1.4	Style of the Survey
	1.5	Confidentiality
	1.6	Follow up by Evaluation team with selected Service Providers
	1.7	Further Information
2		ORGANISATION DETAILS
	2.1	Contacts
	2.2	Organisation Information
3		FINANCIALS AND BUSINESS DEVELOPMENT
	3.1	Financial Operations
	3.2	Company Assets & Infrastructure (overheads)
	3.3	Service Payment Methods and Processes
	3.4	Resource Requirements for Administration
	3.5	Trial Participation Risk Assessment
	3.6	Recruitment & Training
	3.7	Operational Scheduling and Resource Utilisation
	3.8	Business Development and Marketing
4		AGENCY INTERACTION WITH SERVICE PROVIDER SECTOR
	4.1	Issue Resolution Processes (with Agency)
	4.2	Registration / Endorsement
	4.3	Forecast expectations for the scope and quantity of services in the Trial area
	4.4	Service Provider Response to Meet Local Demand
	4.5	Reporting on Self-Managed Participants
	4.6	The Agency engages you to provide services to a (new) Participant
	4.7	Unregistered Service Providers involved with Participant supports
5		SERVICE PROVIDER INTERACTION WITH PARTICIPANT
	5.1	Changes to your service procedures due to Trial participation
	5.2	Provision of Services for Participants with Challenging Behaviours and Complex Needs

2.8 Service Provider Survey #2 (S15)

2.8.1 Summary of Responses

A total of 9 Providers were selected based on the level of activity and nature of their services derived for the Agency Quantitative Surveys, Plan analysis and other source materials.

The interviews were conducted between the 8th and 14th of July 2016

2.8.2 Survey Structure

The survey was an interactive session with the Provider. They were provided a list of topics as shown in the table below. The evaluators had an expanded list with provision for recording individual assessments and comments.

1	YOUR BUSINESS
1.1	B1: Business Development, Marketing and Community
1.1.1	The scheme payment-for-services model and delivery of your services
1.1.2	Marketing channels into the Trial sites
1.1.3	Business activities that have changed during participation in the Trial
1.1.4	Involved in community activities in the Trial site?
1.1.5	Factors influencing your organisation’s selection as a nominated Service Provider to a Participant.
1.2	B2: Changes in Administration, Resources, IT
1.2.1	The new claim procedures
1.2.2	Modified IT systems to work with the agency
1.2.3	FTE needs for claims processing
1.2.4	Human Resource strategy changes since participating in the Trial
1.2.5	Disability Support Worker
2	WORKING WITH THE AGENCIES
2.1	A1: Agency Engagement, Issue Response and Resolution
2.1.1	Support from the Agency for your commitment to providing services in the Trial Site
2.1.2	Participant Service related communications with the Agency
2.1.3	Financial Service related communications with the Agency
2.1.4	General business process changes communications with the Agency
2.1.5	Agency communication methods
2.1.6	Enquiries with the agency
2.1.7	Support from your allocated point of contact with the Agency
2.2	A2: Portal Access, Claim Processing and Useability
2.2.1	Portal claim payments
2.2.2	Efficiency of the portal claims processes
2.2.3	Portal claim payments
2.2.4	Your experience with the portal claim process

2.2.5	Participant Account access issues
2.3	A3: Agency Registration and Compliance
2.3.1	Complying with your audit and reporting responsibilities
2.3.2	Communicating with the Agency on Service Registration related
3	PARTICIPANT ENGAGEMENT AND SERVICES
3.1	P1: Participant Start-Up, Plans and Agreements
3.1.1	Access to Participant Plans associated with Self- Managed Participants
3.1.2	Processes or information resources required for a new Participant
3.1.3	New Organisation Managed or Self Directed Participants
3.1.4	Factors affecting your Services to the Participant
3.1.5	Processes or information resources required for a new Participant
3.2	P2: Participant Activity Monitoring
3.2.1	Agency feedback you receive about your services to Participants
3.2.2	Reporting requirements
3.3	P3: Participant Expectations, Reporting and Unplanned Events
3.3.1	Changes in Participant expectations
3.3.2	Agreement with the agency for off-plan episodic events
3.3.3	Claim processes with the Agency for off-plan expenses

The results were collated and a summary is shown below.

			Score is the number of times the rating is given											
Response Summary			NDIA				MyWay				Trend			
+2 Much better; +1 better; -1 worse; -2 Much worse			+2	+1	-1	-2	+2	+1	-1	-2	+2	+1	-1	-2
	Grand Totals		0	21	164	139	4	24	109	24	0	14	208	41
		675	0%	3%	24%	21%	1%	4%	16%	4%	0%	2%	31%	6%
1	Your Business	198	0	0	59	48	2	4	46	15	0	8	80	32
1.1	B1: Business Development, Marketing and Community		0	0	34	23	2	2	29	9	0	3	44	16
1.2	B2: Changes in Administration, Resources, IT		0	0	25	25	0	2	17	6	0	5	36	16
2	Working with the Agencies	333	0	19	74	71	2	19	36	5	0	4	84	5
2.1	A1: Agency Engagement, Issue Response and Resolution		0	19	57	46	2	19	31	2	0	3	55	4
2.2	A2: Portal Access, Claim Processing and Useability		0	0	17	25	0	0	0	1	0	1	24	0
2.3	A3: Agency Registration and Compliance		0	0	0	0	0	0	5	2	0	0	5	1
3	Participant Engagement and Services	144	0	2	31	20	0	1	27	4	0	2	44	4
3.1	P1: Participant Start-Up, Plans and Agreements		0	1	10	3	0	0	10	3	0	1	13	0
3.2	P2: Participant Activity Monitoring		0	1	3	2	0	1	1	0	0	0	8	0
3.3	P3: Participant Expectations, Reporting and Unplanned Events		0	0	18	15	0	0	16	1	0	1	23	4

A total of 675 subject responses were recorded. The results were also used to prepare the charts shown in the main document.

2.9 Participant Plan Survey (S9)

2.9.1 Sample Selection

The evaluation team reviewed a sample of Participant Plans from each scheme agency.

- The sample Plans were to be provided with a **summary table** that included:
  - Participant unique identification (name or number)
  - Plan identification number
  - Date Approved.
- Three **sample periods** starting on dates:
  - 1st November 2014
  - 1st February 2015
  - 1st November 2015
- For each sample period, the **first 100 Plans** with an approval date starting from the beginning of the sample period.
- The Plans were either an initial (new) Plan or the result of an adjustment or review that was completed and approved in the sample period.

2.9.2 Plan Survey Response

Each sample Participant Plan was to be provided complete in all details including annotations and comments and any changes that may have been made after the approval of the Participant Plan.

In order to meet the data privacy requirements, the evaluators complied with the (previously) agreed data confidentiality arrangements and Data Disclosure Deed. (These arrangements do not require that the Participant Plan be anonymised.)

Each Participant Plan in the sample response was marked with a unique identifier.

- Each Plan included a unique Participant identification number.
- Each Plan included the Town/Suburb and Postcode for the Participant.
- The Participant identifier was used subsequently by the evaluation team to:
  - Identify a Participant as a candidate for the Participant Conversation program
  - Identify other Plans for the same Participant.
- Each Plan was then collated with data received in the AQS #2 survey which identified the (anonymous) Participant and Provider portal claims history.

2.9.3 Participant Conversation Program

- The evaluation team used the Participant identification on selected Plans to identify candidates for the Participant Conversation program.
- The list of candidate Participants was provided to the respective agency. The respective agency was then asked to contact the candidate Participants to seek their permission to participate in the evaluation Participant Conversation program.

- The agency advised the evaluation team of those Participants agreeing to contribute to the conversation program.
- The evaluation team anticipated that approximately 25 Participants from each agency would be part of the Participant Conversation program.
- The Participant Conversation program was scheduled for April 2016. (Subsequently deferred to June 2016)

Suggestions from the respective agencies were encouraged as to alternative arrangements for the Participant Conversation program that will also comply with the evaluation timeline.

2.10 Participant Conversation Program (S14)

2.10.1 Approach

The participant conversation programme was completed over the 4 week period 2nd to 27th June 2016.

The program start was, delayed due to late receival of agency survey data required for preparation of the conversation materials and candidate selection criteria.

Provision was made for 24 conversations for each trial site agency to fit in the available time for the program.

Each agency was provided with a list of candidate Participants selected on the basis of findings from the Plan Survey and Agency Quantitative Surveys. The agencies then approached the individuals within their respective trial sites. If the Participant was willing and available to participate in the program, they were allocated to times in the program schedule accordingly.

Initially, each agency was provided with an initial batch of candidates from which the target 24 conversations were to be selected. Each agency requested additional candidates to allow for the acceptance rate that they experienced. The final result was, a total of 68 candidates were provided to NDIA and 40 candidates to WA NDIS.

The final status of the conversation program is shown in the table below.

	68 Candidates			40 Candidates		
Conversations	NDIA			WA NDIIS		
	Target	Scheduled	Completed	Target	Scheduled	Completed
Week 1	4	1	1	4	2	2
Week 2	4	0	0	8	6	4
Week 3	8	4	3	8	8	6
Week 4	8	7	5	4	4	0
Total	24	12	9	24	20	12
% Candidates		18%	13%		50%	30%

Allowing for last minute cancellations by the Participants, 21 conversations were completed.

- Of the 68 candidates provided to NDIA, 9 Participants were interviewed (13%).
- Of the 40 candidates provided to WA NDIS, 12 Participants were interviewed (30%).

2.10.2 Structured Conversation

All conversations have been conducted in private either at the local office of the agency or at the Participant's home. The one evaluator conducted all conversations in order to maintain a fully consistent interaction at all times.

Detail background on each Participant was prepared for each conversation using their Plan history and claim activity so that the evaluator was familiar with the Participant's relationships with Providers and the agency and their Plans.

The conversations were structured to cover a range of topics to clarify and elaborate on their experiences and outcomes with the agency, Providers and their community. The outline of the structure is shown below.

1		GROUP A – PLAN STEPS 1 & 2
	1.1	Plan Start-Up
	1.2	Draft Life Goals
	1.3	Draft Non-Funded Services
	1.4	Draft Funded Services
	1.5	Endorse Plan
2		GROUP B – PLAN ACTIVATION
	2.1	Identify Provider
	2.2	Engage SD/OM Provider
	2.3	Engage SM Provider
	2.4	Engage Informal & Mainstream support
3		GROUP C – OPERATION
	3.1	Commence SP Services (SD/OM)
	3.2	Change Registered Provider (SD/OM)
	3.3	Change Plan Service
	3.4	Assess Service Quality/Value (SP)
	3.5	Coordination Support Services
	3.6	Provide Ad Hoc Services (SM)
	3.7	Support Unfunded Services
4		GROUP D – REVIEW AND OUTCOME
	4.1	Initiate Plan Update
	4.2	Endorsement of Plan Adjustment
	4.3	Assess Operational Experiences

Each section of the conversation structure contains 4 to 8 questions with multiple choice answers that were collated for the evaluation.

3.0 Case Studies

The case studies were prepared accessing the relevant sources in support of the case study topic. Multiple sources were referenced to "triangulate" and corroborate the observations used in each case.

Comments throughout the main document include a reference to the "CSnn" number in the table.

Case No.	Topic	Sources	Story Board
CS01	Plan Development Inaccuracies	◆ Service Provider Survey 1 ◆ Service Provider Conversations ◆ Participant Conversations	Instances where Planner/Coordinators have made "assessments" about the needs of a Participant in their Plan. These "assessments" have later been found to be inaccurate and inappropriate by Participant's and Providers.
CS02	Plan limitations to change Service Provider	◆ Participant Conversations ◆ Service Provider interviews ◆ Planner Coordinator Workshops ◆ Agency Interviews	Examines the flexibility of the Plan operation process to allow for change in circumstance. In particular, change of Service Provider due to problems between the Participant and Provider relationship.
CS03	Plan Development and the 3 way negotiation process.	◆ Agency ◆ Participant Conversations ◆ Service Provider Survey ◆ Service Provider Interviews	A case study that examines the effectiveness of negotiation between the Participant and family, Provider and Agency. With the complex needs of the Participant and services not being available in the town; how a collaborative approach developed facilities and support staff in special needs for the Participant.
CS04	Plan Development and transition to the trial site.	◆ Participant Conversations ◆ Service Provider survey ◆ Service Provider Interviews	Examples of Participant issues in transition where Participants had experienced financial hardship due to lack of support between transition and receiving a new plan. Participants accepted a plan to find it did not meet their expectation.

Case No.	Topic	Sources	Story Board
CS05	Plan Operation and Participant views on Self-management.	♦ Participant Conversations ♦ Planner and Coordinator Workshop	Evidenced by statements and experiences of Participants regarding Self-management. Experiences by Participants cover transition between Agencies, level of understanding, difficulties, issues and impact on their lives and future intentions at Plan review.
CS06	Plan Activation and service "value" issues.	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ AQS 2 ♦ Plan Review ♦ Planner and Coordinator Workshops	Examines where the Participant had been receiving services by a Provider for a number of years and transitioned. The instances where monies are claimed by Providers for services that the family say are excessive and unnecessary.
CS07	Delays in activation and comment on Self-management.	♦ Participant Conversation ♦ Service Provider Interviews ♦ Plan Survey ♦ AQS 2	Accounts of Planner/Coordinator influencing the Participant to Self-manage their Plan. Dissatisfaction by Participants because they were not aware of the difficulties. In particular, delayed activation due to the funding in the Plan not being sufficient to meet viability requirements of the Provider.
CS08	Plan Endorsement and Activation	♦ Participant Conversations ♦ Service Provider Interviews ♦ Plan Survey ♦ AQS 2	Examines the situation where a support was removed in a Participants Plan and the Provider could not continue the service because the service became unviable. The outcome of the decision to remove the support resulted in reduced support hours to the Participant by a new Provider. It highlights the service agreement between the Participant and Provider and how it relates to the Plan.
CS09	Plan Operation	♦ Participant Conversations ♦ Plan Survey ♦ AQS 2 ♦ Planner and Coordinator Workshops	Examines the situation where a support was removed in a Participants Plan to be funded under Medicare. Participant has limited capacity to pay the Medicare gap and has to choose which mainstream supports are most needed. With changing medical needs the support has not been addressed in favour of other priority needs.

Case No.	Topic	Sources	Story Board
CS10	Plan Operation	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ Plan Survey ♦ AQS 2	Issues surrounding the management and control of Participant portal accounts. Instances where Participants have received updated versions of plans and where third parties with the agency negotiate changed needs.
CS011	Supported Accommodation Funding Sustainability	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ AQS 1 ♦ AQS 2 ♦ Agency published information	Group Homes (Supported Accommodation) Case Study examines the risks associated with Participant funding in a group home environment and the impact on sustainability for the WA sector.
CS12	Inadequate training and understanding of Self-management by Participants	♦ Participant Conversations ♦ Planner and Coordinator workshops ♦ Service Provider Survey ♦ Service Provider Interviews	Examines the responses surrounding Participant risk in Self-management and the degree of understanding Participants have in the employment of support workers.
CS13	Service Provider/Participant experience in getting response on outstanding claims, outstanding amounts and ageing	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ AQS 1 ♦ AQS 2 ♦ Published Articles	Examines the experiences of Participants and Providers in dealings with the portal for claims and account information.
CS14	Support Coordination	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ AQS2 ♦ Planner workshops	Examines the relationship between the Participant and delivery of support coordination. In addition, the extent of its use and impact.
CS15	Communication	♦ Participant Conversations ♦ Service Provider Surveys ♦ Service Provider Interviews	Examines the experiences of Participants and Providers in dealings with the Agencies on general issues that are non-financial in nature.
CS16	Experience with delayed activation due to lack of communication.	♦ Participant Conversations ♦ Service Provider Survey 1 ♦ Service Provider Survey 2	The case study highlights how lack of communication delayed activation of the Plan and affected a family who were self-funding and experiencing financial hardship.

Case No.	Topic	Sources	Story Board
CS17	Making contact with an Agency person	♦ Participant Conversations ♦ Service Provider Interviews ♦ Service Provider Survey 1	Examination of experiences from both Participants and Providers on the ease of access to contact appropriate Agency staff such as Coordinators, Planners and finance persons.
CS18	Plan Operation	♦ Participant Conversations ♦ Service Provider Interviews	Instance where issues with plan extension and loss of supports are due to service account expiry
CS19	Participant request ignored	♦ Participant Conversations	An example where a family requested that a support be removed because it would have a negative effect on the Participant. It was not implemented.
CS20	Relationships	♦ Participant Conversations ♦ Service Provider Survey ♦ Service Provider Interviews ♦ AQS2 ♦ Plan Review	Examine instances where relationships breakdown and the impact it has on the Participant. It examines the importance of relationship in context of Participants and Providers.

4.0 Interim Report

4.1 Interim Report Release

The Interim Report was released via the contract manager to the JSC on 18 January 2015.

- NDIS WA Trials Interim Report Part 1 - Summary v1.2 General
- NDIS WA Trials Interim Report Part 2 - Report v1 2 General
- NDIS WA Trials Interim Report Part 3 - Appendices v1.2 General

Subsequently, a separate document was prepared for publication and released on 29 March 2016

- NDIS WA Trials Evaluation Interim Report Final 29Mar16

4.2 Interim Report Findings

Key findings for the Interim Report are summarised below.

The findings are numbered according to the Interim Report section and the finding within that section.

	Interim Report Findings
3.1	**Significant business activity differences exist between the two models.** The business modelling process identified substantial differences between trial site activities relating to rules, guidelines and practices supporting all aspects of preparation and operation of a Participant Plan. Of the total of 50 activities identified in the business model, 38 activities (76%) were determined to have medium or major differences between the two models.

	Interim Report Findings
3.2	**The process of transition of a Plan from preparation into operation differs significantly between the models.** There are major differences in Plan approval criteria and methods of service activation between the models. Progression from preparing into operating a Plan involves endorsement of the Plan by the participant, approval by the trial site management and activation of the Plan with the respective service providers. Effective commencement of the operation of a Plan is influenced by the endorsement, approval and activation differences between the models.
3.3	**Observations continually indicated that in practice the two stages of Participant Plan preparation and operation are often disconnected.** No evidence was observed of feedback from Plan quality assessments or Plan outcome and participant satisfaction surveys being used to improve the Plan preparation process. The observed lack of feedback procedures indicated that in practice, the two stages of Participant Plan preparation and operation are often disconnected. It is desirable that an incentive is present to produce high quality Plans through quality assurance procedures for the overall effectiveness of trial site operation, accountability, Plan outcomes and a sustainable model.
3.4	**The cost of Participant Plan preparation is quarantined from the cost of support services that are described in the Participant Plan.** All the costs associated with the trials are set out in the bilateral agreement (Schedule G of the Intergovernmental Agreement and the National Partnership Agreement). The trial site operations and administration costs of the NDIS (which include the cost of Participant Plan preparation) are quarantined from the cost of support services that are described in the Participant Plan.

	Interim Report Findings
4.1	**Time pressures to complete and approve Plans were a key factor at the time of the baseline workshops.** Risks associated with pressure to put productivity over Plan quality were raised at both NDIA and WA NDIS Risk Management workshops in March 2015. Time pressures were also cited at NDIS Public Hearings held in the Perth Hills on 9th April 2015. Initial workshops conducted with the NDIA Planners in February 2015 revealed that the practice was for Participant Plans to be prepared in 14 days and for contact between the NDIA Planner and participant to cease after Plan approval. Both trial sites, and in particular NDIA have made efforts to address these observed issues. This issue is subject to trial site implementation factors and is not part of the compare and contrast methodology of this evaluation. However, it is related to Plan quality that is a core factor in sustainability of the models.
4.2	**Key differences exist between the models regarding service provider engagement at points in the lifecycle of a Plan.** The models differ significantly in the extent of engagement with Service Providers: • WA NDIS provide an "Organisation Managed" mechanism for engagement of a service provider under a formal agreement with DSC for delivery of services to a participant; • WA NDIS provide for significantly greater involvement of Service Providers input during preparation of a Plan; and • The NDIA model has less formal involvement with Service Providers in the preparation of Participant Plans.
4.3	**The engagement with the participant, their family and their Plan differs substantially between the models.** The WA NDIS model provides a Coordinator for the participant and family from the time of eligibility request through all stages of the lifecycle. The principle is to foster an ongoing relationship between the participant, the family and a designated Coordinator over the participant's life journey. In the NDIA model, the principle is that support is provided by an NDIA Planner or other staff on a stage by stage basis over the Plan lifecycle. This practice means that an ongoing relationship is not developed between the participant, the family and a designated NDIA Planner

	Interim Report Findings
4.4	**Processes and monitoring of self-management of Plans (by participants) require improvement.** Both trial sites gave evidence in the workshops that issues with self-management needed attention, such as delays in activation of Plans and progress reporting. There are improvement opportunities in the processes and monitoring of self-managed strategies and services where the agreement is between the participant and a service provider who may be registered or non-registered. Trial site processes and participant experiences for self-managed Plans will be further surveyed for the Final Report.
4.5	**Access to mainstream information is causing delays.** Both trial sites gave evidence in the workshops that access to mainstream information during Plan preparation introduces delays and compromises the completeness of Participant Plans. The Disability Services Commission and the National Disability Insurance Agency both acknowledge the issue and are working on improving the relationship and flow of information. Examples of mainstream dependencies include the Mental Health Commission, Department of Health and the Department of Education.
4.6	**The policies and practices of the two models differ substantially in their level of engagement with the disability services sector.** DSC facilitates the relationship with service providers through the procurement and registration processes for the service provider panel and through industry forums and CEO roundtables. NDIA require service providers to also register for specific services in the NDIA Perth Hills trial site. The DSC engagement approach benefits both WA NDIS and NDIA as a local source of qualified providers for the trial sites. The NDIA uses a national coordinated approach for development of the disability services sector. This approach focusses on national peak body relationships with limited direct engagement with the local (WA) services sector. The sustainability of effective services delivery for both trial sites in WA is currently dependent on the sector engagement policies and practices of the DSC.

	Interim Report Findings
5.1	**Three different competencies have been identified for preparation of a Participant Plan applicable to both models.** The competencies required to prepare a Plan require strengths in: • Participant relationship development and understanding the needs and situation of the individual; • Strategy formulation for mainstream, community and service provider supports; and • A sound grasp of the extent of local services available, delivery and scheduling requirements and costing. The trial site resourcing and training strategies for Plan preparation warrant review together with the quality assurance processes for the Plan preparation steps.
5.2	**Planning the strategies necessary to best achieve a participant's life plan goals is likely the most demanding step in preparation of a Plan.** Strategy planning is a complex combination of understanding the participant goals and aspirations and the broad range of supports from in-kind, family, mainstream, community and the local disability services sector. The number of strategies in a Plan averages around five and can often exceed ten. Participant self-management options for access to both registered and non-registered Service Providers is also a key consideration and affected by location. Planning for the combination of strategies and sources of support for the Plan is likely to be the single most significant step in preparing a plan in terms of successfully achieving the life plan goals and cost effectiveness of operating the plan. The challenges of strategy planning were endorsed at workshops involving Planners and Coordinators.
5.3	**Provision for transport for access to participant services is constrained.** Planning for transport services takes into account whether a participant can travel to a service provider to receive services or whether the service provider will need to travel to the participant's home. Transport may be provided via service providers, taxi services, community or family and may require compensation. Anecdotal evidence at this stage suggests that participant access to services defined in their Plan is compromised due to inadequate provision for transport and travel allowances. This was a commonly reported factor in workshops held with both trial sites.

5.0 Plan Development Process

5.1 Plan Preparation Approach

The Participant Plan is a fundamental differentiator between the models.

An incentive to produce high quality Plans is essential to overall trial site operational effectiveness and accountability emphasises the importance of quality assurance applied to all stages of the lifecycle).

Other than the initial Eligibility Stage, the five stages in the lifecycle of participant engagement are all driven by the Plan, either in preparing it or using it as the definitive guide for the scope, delivery and funding of supports to the participant.

5.2 Plan Preparation Steps

Whilst the person preparing the Plan may be assisted by other office staff and consult with their peers and seek advice elsewhere, essentially a NDIA Planner or WA NDIS Coordinator is expected to perform or guide all the tasks necessary from beginning to end across all Plan preparation steps.

The Plan preparation processes are supported by "needs assessment tools" that were under development for each trial site. At the time of the investigation, these were undergoing significant change and have been excluded from both stages of the study.

The three steps in Plan preparation require competencies that range across the following skills:

- participant relationship development and understanding the needs and situation of the individual;
- strategy formulation for mainstream, community and service provider supports; and
- a sound grasp of the extent of local services available, delivery and scheduling requirements and costing.

The trial site operator resourcing strategies for Plan preparation warrant review together with the quality assurance processes for the Plan development steps.

Figure 2 Plan Development Overview provides a view of the three steps involved in preparing a Participant Plan. An improvement in Plan quality requires better performance in all three steps, not just one or two of them.

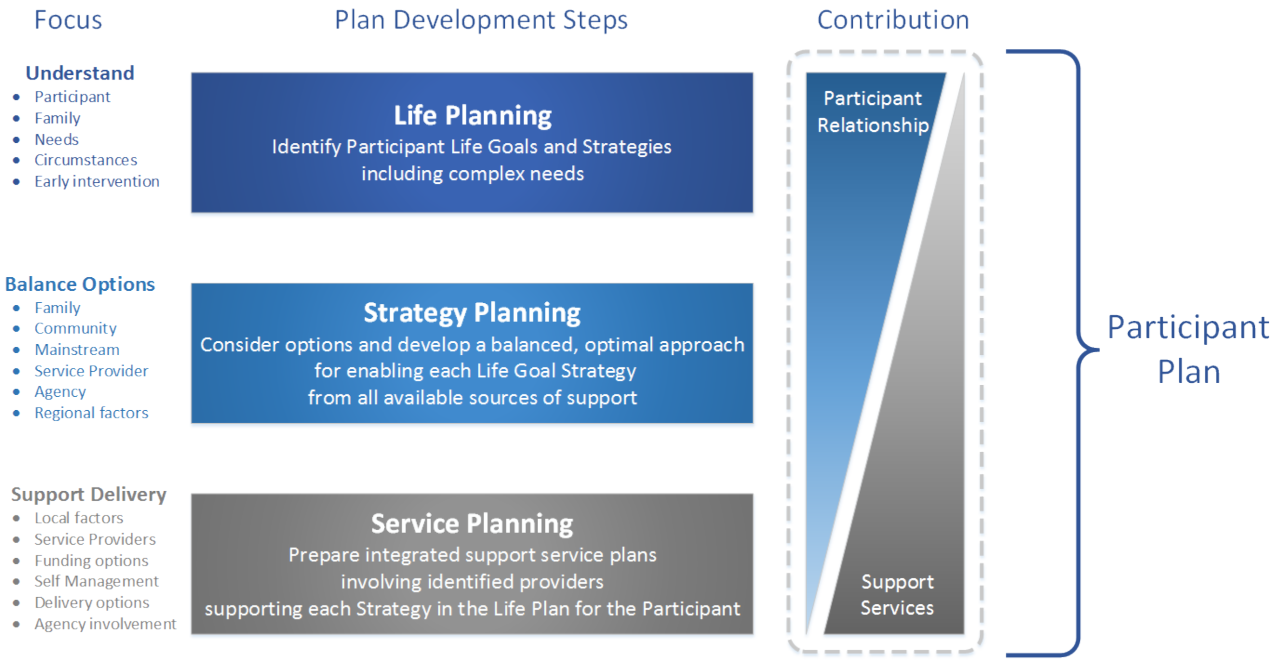


Figure 2 Plan Development Overview

Life Planning Requirements

The development of the Life Planning competencies is a specialist endeavour centred on interpersonal skills augmented by understanding the range of disabilities presented by the individual participant.

Each model has a range of policies that apply to the relationship between participants and their families and immediate support providers. The full range and type of supports currently in use and available may influence the scope and extent of the life planning options for the participant and are also considered.

Strategy Planning Requirements

Optimisation of the available strategies for achieving the life plan goals is a complex task requiring detailed knowledge of the range of services and supports available to the participant.

In most cases, the Strategy Planning will require close interaction with the Life Planning step, because the interaction between supports for separate strategies may involve several parties.

Planning for the combination of strategies and sources of support for the Plan is likely to be the single most significant step in preparing a plan in terms of successfully achieving the life plan goals and cost effectiveness of operating the plan. Attendees at workshops involving NDIA Planners and WA NDIS Coordinators have endorsed the challenges faced in strategy planning.

Strategy planning is a complex combination of knowing the participant goals and aspirations, and the broad range of supports from in-kind, family, mainstream, community and the local disability services sector. Flow-on impact for self-management of these complex Plans and provision for access to non-registered local Service Providers has been identified as an issue.

Service Planning Requirements

Once the strategies are planned, the remaining step is to schedule and quantify all the supports identified in the Plan.

Where providers of supports are identified, it is necessary to confirm their ability as well as the availability of the required services including community and mainstream supports.

Where the providers are not identified in the Plan, the participant has the choice of either registered or non-registered services.[1] This situation requires additional attention to the alternative reimbursement and monitoring methods for these self-managed services.

Services planning includes consideration of a number of factors:

- local factors;
- service providers (registered and non-registered);
- funding options;
- self-management;
- delivery options; and
- trial site involvement.

Provision of transport services and fare compensation for access to participant services is constrained. Planning for transport services takes into account whether a participant can travel to a service provider to receive services or whether the service provider will need to travel to the participant's home. Alternatively, services where the Participant needs support to access community activities and requires transport to do so.

Evidence (based on case studies) at this stage suggests that participant access to services defined in their Plan is compromised due to inadequate provision for transport and travel allowances. This was a commonly reported factor at workshops for both trial sites and the Service Provider Survey. Transport may be provided via service providers, taxi services, community or family. Alternatives for the service provider to travel and be compensated are all part of the challenges to be resolved.

Neither model includes mechanisms for possible rationalisation of transport requirements across multiple participants.

[1] Where a direct payment method to the Service Provider is specified, the Service Provider needs to be registered in order to access the portal to lodge claim for payment.

6.0 Methodology Approach

A fundamental premise of this evaluation is that it is not sufficient to only observe and record the differences between the scheme trial sites. The evaluation needs to identify wherever possible the cause of these differences, trace these to specific processes and business rules and to identify approaches that will provide for improved efficiency and effectiveness and opportunities for better Participant outcomes.

A "Plan Centred" approach has been adopted.

The evaluation is focussed on the Plan lifecycle stages involved in:

- Participant Plan **Preparation;** and
- Participant Plan **Operation.**
- The overall evaluation methodology includes:
- Information source analysis;
- Business process analysis;
- Agency and sector analysis;
- Roles and responsibilities comparison;
- Plan preparation and operation activity comparison;
- Plan assessment criteria Identification.

Multiple independent sources of information (see 2.1 Sources of Information) give rigour to analysis and a high level of confidence in the findings. Information from all sources has been gathered into a data warehouse that supports cross referencing and analysis of policies and practices with linkage of observations and source references.

6.1 Business Process Rating

The method of assessing activity difference in terms of acceptability of the current practices and also comparison between the trial models.

A summary of the assessments is provided in Figure 3 Plan – Activity Rating. However, more description and interpretation are provided in the main document.

Plan - Activity Stage Rating Summary

	Count Activities	Activity Rating MyWay	Activity Rating NDIA		Comparative Difference Stage 1	Comparative Difference Stage 2
Plan Stage: General Non-Plan	23	19 / 4 / 0	12 / 10 / 1	Count Medium:	8	10
				Count Major:	6	0
Plan Stage: Assess Eligibility	3	3 / 0 / 0	2 / 0 / 1	Count Medium:	1	0
				Count Major:	1	1
Plan Stage: Develop Plan	17	13 / 4 / 0	5 / 7 / 3	Count Medium:	2	7
				Count Major:	5	6
Plan Stage: Endorse Plan	17	14 / 3 / 0	5 / 6 / 6	Count Medium:	2	7
				Count Major:	6	7
Plan Stage: Activate Plan	23	18 / 4 / 0	8 / 8 / 6	Count Medium:	5	10
				Count Major:	8	9
Plan Stage: Operate Plan	38	30 / 7 / 0	17 / 13 / 7	Count Medium:	6	16
				Count Major:	10	10
Plan Stage: Review Plan	16	11 / 3 / 2	4 / 8 / 4	Count Medium:	2	5
				Count Major:	4	9
Overall Summary	137	108 / 25 / 2	53 / 52 / 28	Count Medium:	26	55
				Count Major:	40	42

Figure 3 Plan – Activity Rating

6.2 Process Model

6.2.1 *Business Model Comparison of Policy and Process*

The use of a cross-function business model enables the policies and practices in the two schemes to be directly compared. All process activities performed by each responsibility and how they are connected to related activities performed by other roles and responsibilities are analysed and recorded. The model follows the exchange of information in a workflow that connects a sequence of activities, passing process responsibility from one role to another as the organisation conducts its many forms of business.

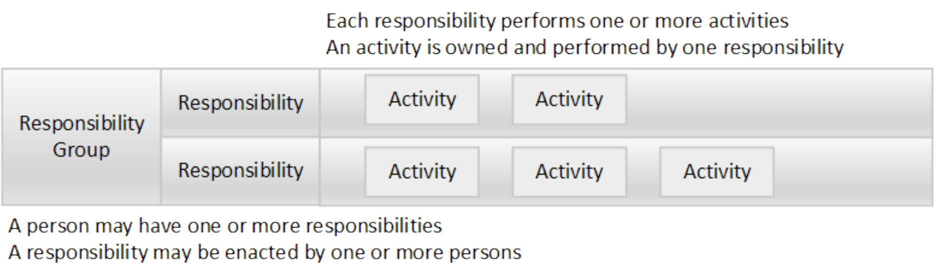


Figure 4 Business Model Basics

For any stage of the individual plan, the cross-function business model traces the contributing processes, roles and information from activity to activity according to the individual workflows and business rules. In this way, the dependencies, bottlenecks and process effectiveness can be assessed for all stages (workflows) of the plan development and implementation.

In this evaluation, the business model allows for analysis of the ***cause*** for observed differences between the schemes arising from different rules, guidelines and the ways the processes are performed by respective roles within each agency.

6.2.2 Responsibility Groups

Each responsibility group may have one or more responsibilities. Each responsibility performs a number of activities covering all stages of the plan lifecycle. (Each activity is owned and performed by one responsibility)

A total of 20 different responsibilities were identified and arranged into 8 responsibility groups

The following table provides a description of each of the individual responsibilities[2].

Responsibility Group	Responsibility	Description
Assessor	SP Registration Assessor	Responsible for assessing SP registration applications for a region and service categories
	Client Service Quality Assessor	Responsible for assessing the quality and performance of services and supports provided to a Participant
	SP Services Category Assessor	Responsible for assessing service provider qualifications and accreditations for provision of service categories to Participants
Industry Regulator	Industry Regulation	Responsible for issuing rules and guidelines applicable to management and delivery of disability services
Participant	Participant	Responsible for contributing to a Participant plan, receiving support and working towards plan goals
Participant Support	Participant Supports Coordinator	Responsible for assisting a Participant schedule, select and engage required fee based services listed in the Plan
	Participant Liaison	Responsible for ongoing Participant liaison covering Participant needs, plan progress, advice, supports negotiation and non-funded supports
Agency Policy	Scheme Owner	Responsible for overall rules and conduct of the scheme by its agents in various regions and sites
	Agency Participant Complaint Panel	Responsible for receiving, assessing and organising responses and actions for Participant complaints
	Scheme Agency	Responsible for operation of the scheme in various regions and localities.

[2] Detail contents and activities for Responsibility Groups are in **Error! Reference source not found.**

Responsibility Group	Responsibility	Description
Agency Operations	Agency Local Area Administrator	Responsible for management and administration of resources and activities for a locality
	Agency Local Participant Planner	Responsible for preparing new and revised Participant draft plans
	Agency Participant Plan Approver	Responsible for assessing draft Participant plans for eligibility and finalising approved Participant plans
	Agency Regional Manager	Responsible for managing the operations of agency localities within a region
	Agency Participant Access	Responsible for supporting initial contact with Participant and eligibility and describing plan requirements
Accounting Services	Fund Source	Responsible for providing funds either to the agency or direct to DSO or Participant and tracking funds utilisation
	Participant Accounts Processor	Responsible for processing Participant accounts for funds and expense claim from Participant and Service Provider (Agency, Participant, Other)
Provider Services	Services Delivery Agent	Responsible for providing chargeable and non-chargeable services and supports for a Participant on request from a Participant or support agent
	Non-funded Supports Provider	Responsible for providing supports to Participant identified in the Participant Plan that are not funded
	Services Provider Administration	Responsible for administration of a Service Provider that is registered for delivery of a range of services to Participants

6.2.3 Activity – Plan Stage Relationships

The activities were associated with the processes in each Plan lifecycle stage. Some were not Plan specific activities and were allocated to a general category.

Each business activity was assessed according to differences between the scheme processes:

- Common — The Activity was performed in a similar manner in both Schemes.
- Minor — The Activity was performed with minor differences considered to not be significant for this evaluation.
- Medium — The Activity is performed in a significantly different way in the two schemes. This may include policy differences or operationally different business practices or both.
- Major — The Activity represents a major difference in the way the schemes operate. The Activity may be performed in one scheme but is not relevant to the other scheme due to differences in scheme policy and operating

practices. The Activity may also be performed by different roles (responsibilities) in the two schemes, effectively creating a workflow difference between the two schemes.

Using the business activity comparison assessment, the following table shows the number of activities in each Plan stage with the degree of difference between trial models.

Plan Stage	Common	Major	Medium	Minor
General Non-Plan	3		10	10
Assess Eligibility	1	1		1
Develop Plan	1	6	7	3
Endorse Plan	1	7	7	2
Activate Plan	1	9	10	3
Operate Plan	2	10	16	10
Review Plan	1	9	5	1
	10	**42**	**55**	**30**

6.3 Information Gathering Approach

Information gathering involved four basic methods:

- Document surveys and research;
- Agency processes based on current policies and guidelines;
- Workshops with agency management and operational staff;
- Surveys of Service Providers and the Agencies.

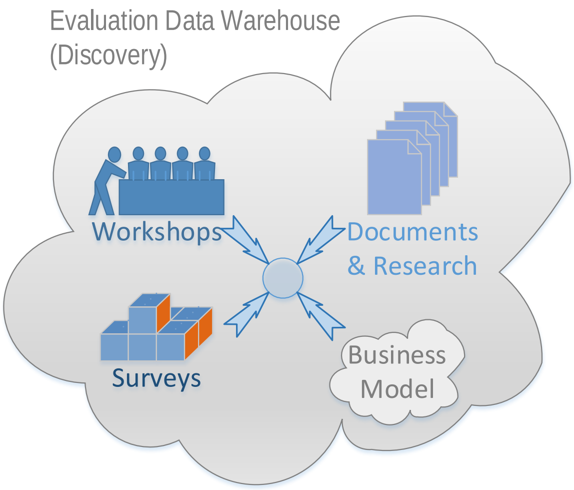


Figure 5 Evaluation Data Warehouse