

NDIS Incident Management and Reportable Incidents Policy

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Owned by the Incidents Officer:
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Made in response to the National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018 (the **Rules**).

Plain English summary: What is this all about?

Sometimes, bad things can happen and people get hurt. Accidents and other bad things can happen even when we've tried hard to make things safe for everyone we work with.

If adverse things happen to you when we are working with you, our senior staff will work with you to try to make things better. We will also try to learn from any adverse things that happen to you by:

- looking into what happened;
- speaking with you, our staff; and other people affected;
- making changes to what we do to make it less likely that bad things will happen again to you, or to anyone else; and
- keeping good records about what happened, your views, and what we did together to try to make things better for you and others.

We work hard to make sure you are safe with us. If something very serious happens when we are working with you - like a big accident or if someone breaks the law and hurts you - our senior staff will look into it urgently and will also tell the NDIS Commissioner so the NDIA can look into what happened and help you.

If a bad thing happens to you when you are working with us, you can speak to Angela Brown, our "Incidents Officer".

You can:

- come in and meet with us;
- send us an email or text;
- call us on the phone;
- communicate with your preferred augmentative and alternative communication device or method; or
- have a friend or carer contact us for you.

If a bad thing happens while we are working together, we will work with you to get to the bottom of what happened. We will work hard to try to help you.

You will **not** get into any trouble for contacting us about a bad thing that has happened to you. Contacting us about an adverse thing will **not** affect your services - except if we need to make changes to help make you feel safer.

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Why is this Policy so long?

The rest of this document is very long and complicated! The NDIS Rules say that:

- we need to think very hard about what we will do if a bad thing happens to someone we are working with;
- we have to have this Policy to write down what we will do if a bad thing happens; and
- we have to have lots of rules about what happens if something very bad happens, to make sure the NDIA knows about it.

It is our job to make sure you understand this Policy.

If a bad thing happens to you while we are working together, we will work together to try to make things better.

Policy

Unless the context requires otherwise, capitalised terms that are not defined in this Policy have the meanings given to such terms in the Rules.

Policy Status

This Policy documents our incident management system for the purposes of the Rules, and as required by the Rules.

Purpose

As a registered NDIS provider, we must have an incident management system to help:

- identify, record and manage **incidents**; and
- notify, investigate and respond to **reportable incidents** (more serious incidents); and
- identify systemic issues and drive improvements in the quality of the supports we deliver.

The NDIS Quality and Safeguards Commissioner (**Commissioner**) oversees notifications of reportable incidents and our responses to these incidents. This oversight, combined with our compliance with this Policy, can reduce preventable deaths, serious injuries and other serious incidents through early intervention and capacity-building.

What is an “incident”?

For the purpose of this policy, “incidents” include acts, omissions, events or circumstances that:

- (a) occur in connection with providing supports or services to a person with disability; and
- (b) have, or could have, caused harm to the person with disability.

This policy also covers incidents that consist of acts by a person with disability that:

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- (a) occur in connection with providing our supports or services to the person with disability; and
- (b) have caused serious harm, or a risk of serious harm, to another person.

The policy also covers incidents that are *alleged* by any person to have occurred in connection with us providing supports or services to a person with disability.

Incident Management System Procedures

All of our staff (including, without limitation, directors, managers, employees, volunteers and contractors) (collectively, **Staff**) must follow this Policy and the following procedures to identify, manage and resolve incidents,

(a) To whom must incidents be reported?

The **Incident Officer**.

If the Incident Officer is not available for any reason, the incident should be reported directly to the Directors.

(b) Incident Reports: How are incidents identified, recorded and reported?

(i) If, at any time, a Staff member becomes aware of an incident (including, for the avoidance of doubt, any alleged incident), he or she must:

- notify the Incidents Officer as soon as practicable, and in any event within one business day of becoming aware of the incident; and
- complete Part A of the "Incident Notification" in the form set out in Appendix 1.

(ii) The requirement of Staff to notify the Incident Officer about an incident is **mandatory** and does not depend on whether the people involved make a formal complaint or allegation. Failure to notify the Incident Officer about an incident within the expected timeframe will be treated seriously, and may result in disciplinary action against the Staff member(s) involved.

(iii) Upon receipt of an Incident Notification, the Incident Officer will take action. The specific action taken by the Incident Officer will depend on all the facts and circumstances surrounding the incident, including the seriousness of the incident. In the normal course, the Incident Officer will:

- communicate promptly with the Staff member(s) who made the notification;
- use reasonable efforts to communicate with the people affected, including (if relevant) the person or people with disability who are affected or involved;
- investigate the incident, including the causes of the incident, its effect, and any operational issues that may have contributed to the incident occurring;
- assess each incident according to the incident Investigation principles set out below (the **Incident Investigation Principles**);

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- take the appropriate action. This may include a range of responses depending on the facts and circumstances, including no further action, an apology, or attempts to remedy or mitigate the effects of the incident;
- report in writing on the key outcomes of the investigation to the Directors. The Incident Officer may also make recommendations to senior management with a view to reducing the occurrence of similar incidents in the future; and
- complete the Incident Notification for the incident and file it in the Incidents Register (as defined below).

Incident Investigation Principles

All incidents must be assessed by the Incident Officer. In assessing an incident, the Incident Officer must consider the following factors:

- (a) the views of persons with disability affected by the incident;
- (b) whether the incident could have been prevented;
- (c) how well the incident was managed and resolved;
- (d) what, if any, remedial action needs to be undertaken to prevent further similar incidents from occurring, or to minimise their impact; and
- (e) whether other persons or bodies need to be notified of the incident.

Support and Assistance

As a provider, we will provide reasonable support and assistance to persons with disability affected by an incident. As part of this process, we will include information about access to advocates such as independent advocates, to ensure their health, safety and wellbeing.

Involvement of person with a disability

We are committed to ensuring that persons with disability affected by an incident are involved in the management and resolution of the incident.

This policy must be provided to all clients and others

The Incident Officer (or his/her delegate) must provide copies of this Policy, in an accessible form, to the following persons:

- (i) persons with disability receiving supports or services from us at the point that the person is “onboarded” as a client;
- (iii) the family members, carers, independent advocates and significant others of persons with disability receiving supports or services from us at the point that the person with disability is “onboarded” as a client; and
- (ii) each person employed or otherwise engaged by us at the point the person joins us as a Staff member.

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The Incident Officer (and/or delegate) must assist each of the people referred to immediately above so that they understand how the system operates.

Participants and/or their support network will receive communication on incident management as part of the “onboarding” process. An individual Service Agreement will be developed with each participant. A Service Agreement safeguards the provider and the participant through the course of their engagement. It is good practice that Service Agreements are available in the participant's preferred mode of communication and highlight the matters of which participants need to be aware of before entering the agreement. Our Service Agreement notifies participants and/or their support network that we have an NDIS Incident Management and Reportable Incidents System Policy and Procedures (the Policy) which is available for viewing on our website, or in their preferred mode of communication on request. This understanding is verified by having a written and signed Service Agreement in place with each participant. Each participant is issued with a copy of their negotiated Service Agreement.

“Reportable incident reports” - for serious incidents

In this section “key personnel” means our Directors.

The Rules define “reportable incident”. In simplified terms, “reportable incident” means serious incidents, like:

- (a) the death of a person with disability; or
- (b) serious injury of a person with disability; or
- (c) abuse or neglect of a person with disability; or
- (d) unlawful sexual or physical contact with, or assault of, a person with disability; or
- (e) sexual misconduct committed against, or in the presence of, a person with disability, including grooming of the person for sexual activity; or
- (f) the use of a restrictive practice in relation to a person with disability, other than where the use is in accordance with an authorisation (however described) of a State or Territory in relation to the person.

If an incident (including an alleged incident) is a **reportable incident** (as defined in the Rules), the Incident Officer must notify the Commissioner as a high priority, within the very tight timelines set out in the Rules.

If a reportable incident occurs (including the receipt of an allegation of a reportable incident), the Incident Officer and each of our key personnel must take all reasonable steps to ensure that the reportable incident is notified to the Commissioner:

- within the required timeframes; and
- in mode and forms required by the Rules.

If a member of Staff becomes aware that a reportable incident has occurred in connection with the provision of our supports or services, the Staff member **must** notify the following people as soon as possible:

- (a) the key personnel;
- (b) their immediate supervisor or manager; and

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(c) the Incident Officer.

The Incident Officer is primarily responsible for reporting all reportable incidents to the Commissioner in accordance with the Rules but all Staff must do all reasonable things to assist the Incident Officer to comply with the Rules.

If a reportable incident occurs, the Incident Officer must notify the Commissioner of the following information within the periods set out in the Rules. The time lines are very tight: most are within 24 hours or 5 days of the relevant event, depending on the circumstances.

If a reportable incident occurs, the Incident Officer must notify the Commissioner in the form required by the Rules. Among other things, the notification must include:

- (a) our name and contact details;
- (b) a description of the reportable incident;
- (c) unless the person with disability has died - a description of the impact on, or harm caused to, the person with disability;
- (d) the immediate actions taken in response to the reportable incident, including actions taken to ensure the health, safety and wellbeing of persons with disability affected by the incident and whether the incident has been reported to police or any other body;
- (e) the name and contact details of the person making the notification;
- (f) if known - the time, date and place at which the reportable incident occurred;
- (g) the names and contact details of the persons involved in the reportable incident; and
- (h) any other information required by the Commissioner.

The Incident Officer should give notice to the Commissioner in both written form and by telephone and, in any event, as required by the Rules.

There are some - very narrow - exceptions to these notification rules. For example, we may not be required to obtain, or notify the Commissioner of, certain information if obtaining the information would, or could reasonably be expected to:

- (a) prejudice the conduct of a criminal investigation; or
- (b) expose a person with disability to a risk of harm.

It is essential for the Incident Officer, in consultation with the key personnel, to seek urgent legal advice if unsure whether he or she is under an obligation to provide the Commissioner with particular information about a reportable incident.

Keeping the Commissioner updated on significant new information about reportable incidents

If, after a reportable incident occurs, any member of Staff becomes aware of significant new information in relation to the reportable incident after we have made an initial report, and the significant new information:

- (i) is or relates to a change in the kind of reportable incident; or

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(ii) is a further reportable incident,

the Staff member must immediately notify his/her supervisor, the Incident Officer and the key personnel. We must notify the Commissioner of the significant new information as soon as reasonably practicable after becoming aware of the information and must give such notification in writing as set out in the Rules.

Final report requests

The Commissioner may require written reports from us about reportable incidents. If the Commissioner requires such a report, we must abide by the direction in compliance with the Rules. The Incident Officer will oversee this process, but all staff must do everything reasonable to support us to comply with the rules.

Commissioner action

The Commissioner may take a number of actions pursuant to the Rules in respect of a reportable incident. The Incident Officer and the key personnel are responsible for ensuring that we satisfy our obligations under the Rules. Again, we may need to seek legal advice in respect of our rights and obligations under the Rules in this situation.

Record Keeping

The Incident officer will oversee the keeping of records to improve accountability, promote transparent decision-making and ensure best practice. Good record keeping is also essential for the NDIS Commission to provide oversight and recommendations to us about our management, assessment and investigation of incidents.

The storage of information and records is a critical part of the incident management process. The records will be stored appropriately, acted on, underpin our assessment and inform our practice improvement. This is outlined further in the Figure 1 below:

Figure 1: Expectations for our recordkeeping

Expectation	
Store	Store information and records relating to investigations of an allegation against an employee in a safe and secure place.
Act	Act on all reports including the development of risk reduction plans and documenting the outcomes achieved.

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Reflect	Reflect on whether a strategy was effective or ineffective and reflect the learning in other practice.
Monitor	Monitor the documented risk reduction action plans in an incident register or other tracking document.

All information regarding incidents, including reportable incidents, will be recorded and stored in an incident register. The Incident Officer will be responsible for collecting information regarding the circumstances of an incident and recording this information in the incident register, along with corrective/prevention actions for continuous improvement. Incident data analysis will be undertaken to learn from patterns of client incidents in order to safeguard the safety and wellbeing of individual clients, as well as improve the quality of services and the service system.

The incident register will record:

- A description of the incident, including the impact on, or harm caused to, any person with disability.
- Whether the incident is a reportable incident.
- If known, the time, date and place at which the incident occurred or if not known, the time, date and place at which the incident was first identified.
- The names and contact details of the persons involved in the incident and witnesses to it.
- The actions taken in response to the incident, including action taken to support or assist a person with disability impacted by an incident.
- If an investigation is undertaken by the provider in relation to the incident- the details and outcomes of the investigation.
- The name, position and contact details of the person making the record of the incident.
- The nature of the supports or services being provided.
- The seriousness of the incident (including where it is not a reportable incident, but is beyond a simple or minor incident).
- Whether it is part of a pattern of incidents.
- Identified corrective/prevention actions for continuous improvement.

Incident records must be kept for statistical purposes

All incident reports, reportable incident reports and other documents relating to incidents or reportable incidents must be kept for at least 7 years from the day the record is made, and may be retained for longer than 7 years if required by law. No information relating to an incident or reportable incident should be destroyed or disposed of without the prior written approval of the Incident Officer.

The Incident Officer must collect statistical and other information relating to incidents to enable us to:

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- (a) review issues raised by the occurrence of incidents; and
- (b) identify and address systemic issues; and
- (c) report information relating to complaints to the Commissioner, if requested to do so by the Commissioner.

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The Incident Officer must collect statistical and other information relating to incidents to enable us to:

- (a) review issues raised by the occurrence of incidents; and
- (b) identify and address systemic issues; and
- (c) report information relating to complaints to the Commissioner, if requested to do so by the Commissioner.

Procedural fairness

This Incident Management System requires that people are afforded procedural fairness when an incident or reportable incident is dealt with by the provider in accordance with the Rules.

All staff responsible for compliance and for completing mandatory training

The Incident Officer has the primary role and responsibility to oversee this Policy and to identify, manage and resolve incidents and to work with staff to prevent incidents from occurring. All staff must abide by this policy. The Incident Officer reports to the key personnel, who retain ultimate responsibility for overseeing compliance with this Policy.

Each person employed or otherwise engaged by us must comply with this Policy. Each person employed or otherwise engaged by us must complete training in the use of, and compliance with, this Policy and the rules.

Review of this Policy

Periodically, and at least annually, the key personnel and the Incident Officer must review the incident management system to ensure its effectiveness.

Appendix 1: Form of Incident Report to be filed, when completed in the Incident Register, and forming part of the incident management System

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PART A - To be completed by the Staff members with actual knowledge of the Incident:

1. If known, the time, date and place at which the incident occurred:
2. If the time, date and/or place of the incident is not known, the time and date on which the incident was first identified by us:
3. Description of the incident, including the impact on, or harm caused to, any person with disability affected by the incident:
4. The names and contact details of the persons involved in the incident:
5. The names and contact details of any witnesses to the incident:

PART B - To be completed by the Incident Officer after communicating with the Staff, and any person with disability and other person affected

6. Is the incident a reportable incident?
7. Details of the assessment undertaken in accordance with the Incident Investigation Principles:
8. Actions taken in response to the incident, including actions taken to support or assist persons with disability affected by the incident:
9. Any consultations undertaken with the persons with disability affected by the incident:
10. Whether persons with disability affected by the incident have been provided with any reports or findings regarding the incident:
11. If an investigation was undertaken by the provider in relation to the incident - the details and outcomes of the investigation:
12. Incident Officer: the name and contact details of the person making the record of the incident.

Appendix 2:

Link to quick reference guide about the NDIS form that must be filled out by the Incident Officer, with support from Staff with actual knowledge of the reportable incident:

<https://www.ndiscommission.gov.au/sites/default/files/documents/2019-07/quick-reference-guide-immediate-notificationfinal-july-2019.pdf>

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Minimum contents of Reportable Incident Report

No.	Information required	Response
1	A description of the alleged incident	
2	Is it a Reportable Incident (as defined in the Rules): Incidents involving a person with disability that must be reported include those that result in: <ul style="list-style-type: none"> a. death; or b. serious injury; or c. abuse or neglect; or d. unlawful sexual or physical contact with, or assault of; or e. sexual misconduct committed against or in the presence of; or f. The use of unauthorised restrictive practice. 	
3	Seriousness of incident (including where it is not reportable, but is beyond a simple or minor incident)	
4	If known - the time, date and place at which the incident is alleged to have occurred	
5	The names and contact details of the persons involved in the alleged incident	

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6	The names and contact details of any witnesses to the alleged incident	
7	Details of the assessment undertaken in accordance with the requirements of subsection 10(3) of the Rules	
8	The actions taken in response to the alleged incident, including actions taken to support or assist persons with disability affected by the incident	
9	Any consultations undertaken with the persons with disability affected by the alleged incident	
10	Whether persons with disability affected by the incident have been provided with any reports or findings regarding the alleged incident	
11	If an investigation is undertaken by the provider in relation to the alleged incident - the details and outcomes of the investigation	
12	Incident Officer: The name and contact details of the person making the record of the alleged incident	

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