

# Incident Management - NDIS

<b>Document Type:</b>	Policy	<b>Department:</b>	Quality, Risk and Strategy
<b>Date of Last Review:</b>	11.01.2021	<b>Due for Review:</b>	11.01.2024

## 1. Purpose

The purpose of this policy is to:

1. Reduce adverse outcomes for clients, employees, volunteers, visitors and contractors through a systemic approach to incident management.
2. Ensure that incident reporting and management are core components of Samarinda's Risk Management Framework.
3. Improve safety through effective incident management systems; and
4. Inform all stakeholders of their responsibility in providing timely and effective incident management.

## 2. Scope

This policy applies to all employees, volunteers, visitors and contractors collectively referred to as stakeholders.

## 3. Definitions

**Harm** means injury, suffering, impairment and/or death. This can also include plant or property damage.

**Incident** means an event or circumstance which could have, or did lead to unintended and / or unnecessary harm to a person, and / or a complaint, loss or damage. Incidents include acts, omissions, events or circumstances that have, or could have, caused harm to a person.

**Incident Management** means the identification, reporting, management and analysis of incidents, hazards and / or near misses. Health and Safety incidents or hazards should be reported in accordance with the Health and Safety Policy.

**Procedural Fairness** (also known as natural justice) means fairness in the procedures followed when arriving at a decision. Procedural fairness is concerned with the procedures used by a decision maker, rather than the actual outcome reached. It requires a fair and proper procedure be used when making a decision.

**Reportable Incidents** are certain incidents that happen, or are alleged to have happened, in connection with the provision of supports of services by registered NDIS providers, known as reportable incidents. These incidents include:

- The death of a person with disability;
- Serious injury or harm of a person with disability;
- Abuse or neglect of a person with disability;
- Unlawful sexual or physical contact or assault of a person with disability;
- Sexual misconduct committed against or in the presence of a person with disability, including the grooming of the person for sexual activity; or
- The unauthorised use of restrictive practices in relation to an NDIS client.

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## 4. Policy

### 4.1 Proactive Identification and Response

Samarinda will take every practicable step to provide and maintain a safe and healthy work and support environment for all clients and stakeholders. This depends upon an efficient and effective identification and response to incidents. Incidents must be reported and investigated in the spirit of no blame, using procedural fairness, and action taken to prevent a recurrence.

The incident management system is part of Samarinda's risk management framework. Incident reporting is relevant to all areas of Samarinda's operations and is the responsibility of all stakeholders.

Incident identification and reporting shall be timely so that Samarinda:

- Delivers services and supports in a safe manner;
- Is compliant with all legislation and funding requirements relating to incident management; and
- Can maintain statistical data on incident management.

Samarinda will support a transparent approach when reporting and responding to incidents. This includes the process of open discussion and ongoing communication with clients, staff, management and where relevant, Board members. In the process of discussion and management of incidents, Samarinda will maintain client and staff rights to confidentiality and privacy unless required by legislation.

### 4.2 Incident Management Principles

Incident Management at Samarinda is based on the following principles:

1. **Obligation to Act** – Clearly defined roles and responsibilities in the incident management process that are acknowledged and understood by stakeholders.
2. **Just Culture**- Stakeholders acknowledge and report incidents without fear, blame or retribution and are treated fairly in an open, honest and respectful manner.
3. **Prioritisation of Action**- Actions to assist the investigation of incidents are prioritised to initiate the timely and effective review of high impact incidents.
4. **Emphasis on Learning**- There is a focus on learning from incidents to create a safety learning culture; and
5. **Open disclosure**- There is a commitment to providing an environment where any person involved in an incident, including a client, receives the information they need to understand what happened and has the opportunity to ask questions.

### 4.3 Reportable Incidents

As a registered NDIS provider, Samarinda must report to the NDIS Commission serious incidents (including allegations) arising from service delivery. Samarinda will delegate responsibility to a designated position for the reporting all reportable incidents to the NDIS Commission and establish timeframes for reportable incident management.

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#### **4.4 Including Clients in Incident Management**

To ensure appropriate involvement of clients in incident management the following will occur:

- Clients will be provided with information about how Samarinda manages incidents and how they will be supported in the event of an incident.
- A collaborative approach will be taken to incident management so that clients and / or their nominees are involved in the management and resolution of any incident that the client is involved in.
- The client and / or their nominee will be provided with information about the outcome of an incident.

#### **4.5 Incident Management Records**

Samarinda will maintain an accurate, centralised register of all service-related incidents that occur in the provision of supports and services. This register will enable:

- Incident status and management to be monitored;
- Identification of trends to inform organisational risk management and lessons for practice.

Incident related records will be stored and retained in accordance with legislative requirements.

#### **4.6 Incident Management Training**

Staff will receive training on incident reporting and management when they commence working with the organisation. Refresher training must be completed every two years.

### **5. Custodian**

Quality, Risk & Strategy Manager.

### **6. Related Documents**

Incident Management - NDIS Policy  
 Incident Response and Reporting - NDIS Procedure  
 Incident Investigation and Closure – NDIS Procedure  
 Risk Management Framework

NDIS Practice Standards:

C2.2 Risk Management  
 C2.3 Quality Management  
 C2.6 Incident Management

### **7. References**

Australian Commission on Safety and Quality in Health Care. 2005, *Glossary*, last viewed 3<sup>rd</sup> July 2019, <https://www.health.gov.au/internet/publications/publishing.nsf/Content/mental-pubs-n-safety-toc~mental-pubs-n-safety-4#1L>



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Australian Government. 2018, *National Disability Insurance Scheme (Incident Management and Reportable Incident) Rules 2018*, last viewed 6<sup>th</sup> January 2021, <https://www.legislation.gov.au/Details/F2018L00633>

NDIS Quality and Safeguards Commission. 2018, *National Practice Standards and Quality Indicators 2020*, last viewed 29<sup>th</sup> December 2020, <https://www.ndiscommission.gov.au/sites/default/files/documents/2019-12/ndis-practice-standards-and-quality-indicators.pdf>

NDIS Quality and Safeguards Commission. 2018, *Incident Management Systems: Detailed Guidance for Registered NDIS Providers, June 2019*, last viewed 29<sup>th</sup> December 2020, <https://www.ndiscommission.gov.au/sites/default/files/documents/2019-06/detailed-guidance-incident-management-systems-detailed-guidance-regi.pdf>

Stawell Regional Health. 2017, *Incident Management*, last viewed 3<sup>rd</sup> July 2019, <https://app.prompt.org.au/search>