

Incident Response and Reporting - NDIS

Document Type:	Procedure	Department:	Quality, Risk and Strategy
Date of Last Review:	11.01.2021	Due for Review:	11.01.2023

1. Purpose

The purpose of this procedure is to outline the process to be followed when an incident occurs in Samarinda's NDIS services and supports.

2. Scope

This procedure applies to all Samarinda NDIS staff, volunteers and contractors.

3. Definitions

Advocate means a person who publicly supports another person. An advocate can be a relative, carer, friend, neighbour or from an advocacy service. An advocate is someone who:

- Acts on a client's instructions.
- Supports and encourages the client.
- Speaks on the client's behalf to promote the client's ideas and interests.

Harm means an event or circumstance which could have or did lead to unintended and / or unnecessary harm to a person and or complaint, loss or 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. Incident under the NDIS (Incident Management and Reportable Incidents) Rules 2018 means:

- Acts, omissions, events or circumstances that occur in connection with providing NDIS supports or services to a person with disability and have, or could have, caused harm to the person with disability.
- Acts by a person with a disability that occur in connection with providing NDIS supports and / or service to the person with disability and which have caused serious harm, or a risk of serious harm, to another person. Another person may include a person with disability, a worker or a member of the general public.

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.

Direct Line Supervisors are those positions that have supervisory and leadership responsibility for employees. This might include for example the Program Coordinator or Team Leader.

Nominee is someone of significance to the client who assists them for example in decision making and formal processes such as the negotiation of a Service Agreement. A nominee may be family, kin, legal guardian, an advocate or other person of significance to the client.

Incident Response and Reporting - NDIS

Document Type:	Procedure	Department:	Quality, Risk and Strategy
Date of Last Review:	11.01.2021	Due for Review:	11.01.2023

Reportable Incidents are certain incidents that happen, or are alleged to have happened, in connection with the provision of supports and / or 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.

4. Procedure

4.1 Incident Management System Information

Samarinda will make the incident management system available in the following ways:

Staff	<ul style="list-style-type: none"> • Inclusion of information about the incident management system and how to identify and report an incident in staff induction and orientation. • Access to policies, procedures and templates to define responsibilities and guide actions for the management of incidents. • Direct line supervisor or on-call availability to assist with incident identification, response and reporting. • Access to appropriate documentation such as incident forms, the incident register, etc.
People with a disability receiving services from Samarinda	<ul style="list-style-type: none"> • Information included in the client handbook and explained at intake and / or commencement. • Policy available on the Samarinda website. • Further information available on request.
Family members, carers and significant others	<ul style="list-style-type: none"> • Information included in the client handbook and explained at intake and / or commencement. • Policy available on the Samarinda website. • Further information available on request.
Independent advocates	<ul style="list-style-type: none"> • Policy available on the Samarinda website. • Further information available on request.

4.2 Immediate Response to an Incident

If a staff member observes an incident, or where a client informs a staff member of an incident, staff should ensure that anyone involved in the incident receives appropriate assistance including:

1. Providing appropriate medical attention or first aid;
2. Activating emergency procedures;

Incident Response and Reporting - NDIS

Document Type:	Procedure	Department:	Quality, Risk and Strategy
Date of Last Review:	11.01.2021	Due for Review:	11.01.2023

3. Notifying the direct line supervisor of the incident; and
4. Ensuring those involved in the incident and other people in the area are safe.

Staff should preserve relevant evidence including physical and documentary evidence (e.g. take photos, record descriptions of the injuries) which may be critical to an investigation by Samarinda or the police.

As soon as possible after the incident the direct line supervisor or their delegate should:

1. Ensure any immediate risk has been removed or mitigated.
2. Notify the client's nominee, advocate or relevant family or support network.
3. Support the client involved in the incident by:
 - Assessing their environment to ensure their safety and to prevent any recurrence;
 - Discussing with the client and their nominee how they can be involved in the management and resolution of the incident.
 - Informing them that they can have access to an advocate; and
 - Linking them to an advocate if they do not already have one and would like an advocate to support them.
4. Where an incident involves an allegation of abuse, neglect, exploitation or discrimination, the Safeguarding from Abuse Policy and associated procedures must be followed.
5. Refer staff impacted by the incident to Samarinda's Employee Assistance Program where appropriate.

4.1 Reporting an Incident

Where an incident involves a client, the staff member must verbally report the incident immediately to the direct line supervisor. If the incident is determined to be a reportable incident, the Reportable Incident Procedure must also be followed.

Where there is an incident involving clients, employees, visitors and contractors an Incident Report Form must be completed. If the incident involves more than one client a separate incident report should be completed for each client.

A direct line supervisor may assist a staff member to complete an incident report or direct a staff member to the Health and Safety Policy and associated reporting where relevant.

All incident report forms must:

1. Be legible if handwritten.
2. Only contain facts, not impressions.
3. Include a description of the incident.
4. Record the impact on, or harm caused to, any person with disability.
5. Include:

Incident Response and Reporting - NDIS

Document Type:	Procedure	Department:	Quality, Risk and Strategy
Date of Last Review:	11.01.2021	Due for Review:	11.01.2023

- 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 any witnesses to it; and
 - The name and contact details of the person making the record of the incident or alleged incident.
6. Note any consultation undertaken with the impacted person, including for example:
 - The details of the discussions (questions, answers, advice);
 - The name of the person making the contact; and
 - The date of the contact / correspondence.
 7. Have all sections completed.
 8. Be completed as soon as possible and no longer than 24 hours after the incident.

4.3 Incident Report Follow Up

The Community Services Manager will undertake or delegate the following actions:

1. Undertake an initial risk assessment following identification of the incident or receipt of an allegation:
 - Identifying risks;
 - Determining arrangements for managing those risks; and
 - Deciding any actions in relation to the person with disability or involved workers (e.g. change in duties, support or counselling).
2. Review the incident and determine if it is reportable.
3. If the incident is a reportable incident, follow the Reportable Incident Procedure including informing the CEO.
4. Note whether there is a need to notify the police about a suspected criminal offence or a child protection agency if the incident relates to a child or young person, and the outcome of any reports made.
5. Note any consultation undertaken with the impacted person.
6. Note the details of the discussions (questions, answers, advice);
 - Note the name of the person making the contact; and
 - Note the date of the contact/correspondence.
7. Determine whether an investigation is required and if so initiate the investigation.
8. Ensure the incident is logged in the incident register.
9. Endorse any follow up actions, including where relevant the development of a risk mitigation plan, and / or the requirement for corrective actions, and record actions in the incident report and / register.
10. Evaluate the impact of any follow up actions in the progress notes.
11. Resolve the incident no later than seven days after the incident occurred. If the incident is unable to be resolved within seven days a progress note must be created.
12. Monitor follow up, evaluating the impact of follow up and the resolution of the incident.

Incident Response and Reporting - NDIS

Document Type:	Procedure	Department:	Quality, Risk and Strategy
Date of Last Review:	11.01.2021	Due for Review:	11.01.2023

13. Ensure the incident has been managed to the point of closure and that it has been recorded as closed on the incident register.

For reportable incidents refer to the Notification of Reportable Incident Procedure – noting there are set timeframes that must be adhered to for reportable incidents.

For investigation and / or closure of an incident, refer to the Incident Investigation and Closure - NDIS Procedure.

5. Custodian

Quality, Risk and Strategy Manager

6. Related Documents

Incident Management - NDIS Policy
Incident Investigation and Closure - NDIS Procedure
Reportable Incidents – NDIS Procedure

NDIS Practice Standards:

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

7. References

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

NDIS Quality and Safeguards Commission. 2018, *National Practice Standards and Quality Indicators 2020*, last viewed 29th 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 29th December 2020, <https://www.ndiscommission.gov.au/sites/default/files/documents/2019-06/detailed-guidance-incident-management-systems-detailed-guidance-regi.pdf>

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