REAL LIVING OPTIONS
ASSOCIATION INC.
"Supporting a lifestyle for people with a disability"

Incident Management (including Reportable Incidents)

POLICY NUMBER: NDIS GOV 17

INTENT

Real Living Options Association Inc. will comply with the National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018.

It is the objective of the Organisation to maintain an incident management system that covers incidents that consist of acts, omissions, events or circumstances that:

- Occur in connection with the provision of supports or services to a person with a disability
- Has, or could have caused harm or serious injury to a person with a disability.

DEFINITION

An **incident** is defined as an act, omission, event or circumstance and may mean any of the following:

- 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 a disability.
- Acts by a person with disability that occur in connection with providing NDIS supports or services to the person with a disability and which have caused serious harm, or a risk of serious harm, to another person.

Reportable incidents are serious incidents or alleged incidents which result in harm to an NDIS Participant and occur in connection with NDIS supports and services. Specific types of reportable incidents include:

- The death of a person with disability.
- Serious injury of a person with disability.
- Abuse or neglect of a person with disability.
- Unlawful sexual or physical contact with, or assault of, a person with disability (excluding, in the case of unlawful physical assault, contact with, and impact on, the person who is negligible).
- Sexual misconduct committed against, or in the presence of, a person with disability, including grooming of the person for sexual activity.

POLICY STATEMENTS

Real Living Options Association Inc. recognises that many of the Participants using Real Living Options Association Inc. services are at risk of incidents and accidents. Real Living Options Association Inc.'s Reportable Incident, Accident and Emergency Policy and Procedure seeks to:

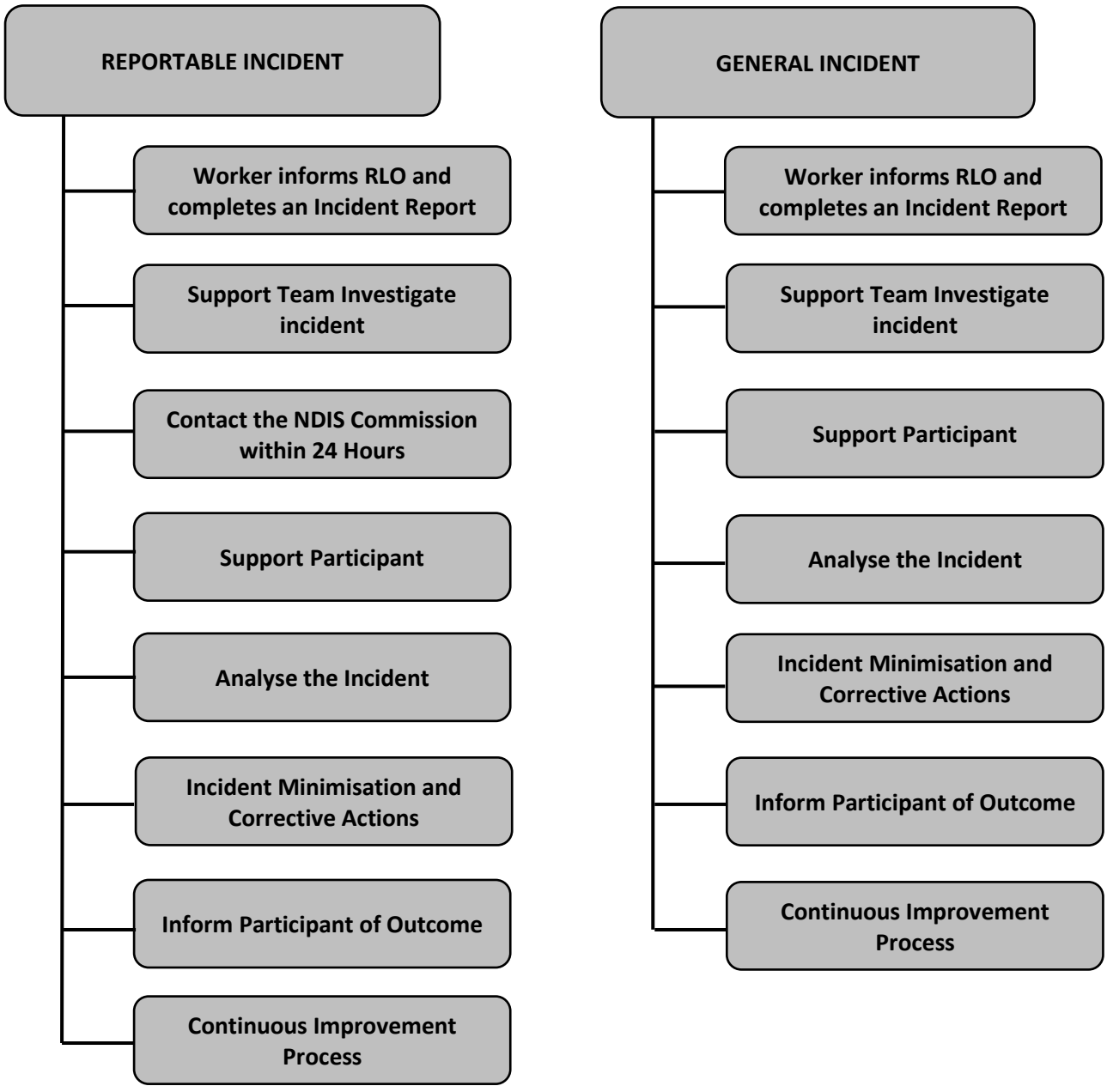
- Minimise risk and prevent future incidents through the development of appropriate Participant-centred plans, Staff training, assessment and review;

- Ensure that there is immediate management of an incident, accident or emergency and that each of these events are prioritised, managed and investigated appropriately; and
- Identify opportunities to improve the quality of Participant supports by ensuring that the incident system is planned and coordinated and is linked to the quality and risk management systems.

Participants will be provided information in Easy Read format, as required.

PROCEDURES

Incident Management Procedure



Incident Management (including Reportable Incidents)

Real Living Options Association Inc. will establish a procedure that identifies, manages and resolves incidents, as follows:

Step 1. Worker Informs RLO and Completes an Incident Report

1. Support Worker to report the incident to the Support Team.
2. Support Worker completes an Incident Report that identifies and records details relating to the incident, i.e. people, place, time and date.

Step 2. Support Team Investigate Incident

1. The Support Manager, in consultation with the Service Manager will determine, from the information provided, if the incident is classified as a reportable incident by the NDIS Quality and Safeguards Commissioner or a different type of incident:
    a. A reportable incident must comply with the reportable incident reporting process.
    b. Real Living Options Association Inc. will comply with the National Disability Insurance Scheme (Incident Management and Reportable) Rules 2018.
    c. A general incident is an accident with non-reportable injuries.
2. The Support Manager or their delegate will review details of the incident, including
    a. People involved
    b. Location
    c. Circumstances
    d. Outcome, e.g. injury.
3. The Support Manager or their delegate will investigate the incident/accident in accordance with the process outlined in the Incident Investigation Form to determine the:
    a. Immediate reasons for the event
    b. Underlying reasons for the event
    c. Immediate actions required to fix the cause of the event
    d. Preventative actions required for the future.
4. Any information learned from incidents/accidents will be incorporated into the continuous improvement cycle to enable prevention of the incident/accident in the future.
    a. The analysis and investigation of each incident will vary based on the seriousness of the incident.

Step 2 (a) Contact the NDIS Commission within 24 Hours

If applicable, report the incident to the Quality and Safeguards Commission.

Step 3. Support Participant

1. The Support Manager will ensure as far as practicable that the affected Participant is supported and assisted by:

a. Informing them that they have access to an advocate. If the Participant does not have an advocate the Support Manager can assist in accessing an independent advocate
b. Reviewing their health status to assist and support
c. Assessing the environment to ensure their safety and to prevent any recurrence
d. Ensuring their wellbeing and assisting in developing the Participant's confidence and competence, so they do not lose any function/s.

2. The Support Manager or their delegate will review the incident with the Participant.
    a. Real Living Options Association Inc. will collaborate with the person/s involved to manage and resolve the incident.

Step 4. Analyse incident

1. As part of the continuous improvement process, the information gained from an incident is used to amend or implement new practices, which includes:
    a. When an investigation by a registered NDIS provider is necessary to establish the cause/s of an incident, its effect, any operational issues that may have contributed to the incident occurring and the nature of the investigation
    b. If an incident requires the implementation of corrective action, an appropriate plan will be developed to adjust practices according to the nature of the action required.
2. The Support Manager or their delegate will undertake the analytical process to:
    a. determine the cause of the incident
    b. ascertain if the incident was an operational issue
    c. consider the Participant's perspective, including:
        i. Whether the incident was preventable
        ii. How the incident was managed and reviewed
        iii. Determining any remedial action required to minimise future impacts and prevent recurrence
    d. identify why the incident occurred, e.g. environmental factors, Participant's health
    e. ascertain if current strategies or processes require review and improvement
    f. devise new strategies or procedures, if required
    g. plan Staff training of any new strategies
    h. implement new strategies
    i. evaluate the success of new strategies.

All Incident Investigation Forms must be closed out by the Service Manager.

Step 5 - Incident Minimisation and Corrective Action

1. Real Living Options Association Inc. will risk-assess all Participants in conjunction with our 'Risk Management Policy and Procedure'.

2. Incident, accident, emergency minimisation and procedures are taught during Staff orientation and in regular ongoing training sessions.
3. Risks will be identified, and control mechanisms agreed upon with Participants.
4. Real Living Options Association Inc. will consult with Participants, and relevant stakeholders, to design specific risk control mechanisms to reduce risk to Participants and their environment.
5. Effectiveness of mechanisms will be evaluated via:
    a. Participant review processes; including support plan review
    b. Participant feedback
    c. Case conferencing
6. Internal and external risk audits
7. Reviews of policies and procedures.

Corrective actions

On completion of the incident analysis procedure, any corrective action will be implemented. Each corrective action identified will be evaluated to ascertain the effectiveness of the action, as per the 'Continuous Improvement Policy and Procedure', i.e. plan, do, check, act.

Step 6. Inform Participants of Outcome

Real Living Options Association Inc. will inform Participants, or their advocate, of the outcome/s of the incident; either in writing or verbally dependent on the Participant and the situation. Collaborative practice will be undertaken to ensure the Participant and their advocate are involved in the management and resolution of the incident.

Step 7. Continuous Improvement and Staff Training

Real Living Options Association Inc. recognises the importance of prevention to ensure the safety of both Staff and the Participant. The Service orientation process includes training in work health and safety practices, including manual handling, infection control, safe environments, risk and hazard reduction.

Upon commencing employment with Real Living Options Association Inc., all Staff are trained in organisational incident management processes, including how to report an incident and who to report an incident to, i.e. (Support Manager). To provide further guidance, access to all of the policies and procedures is provided to Staff at this time.

REPORTABLE INCIDENTS

The Service Manager is responsible for ensuring all Reportable Incidents are reported to the NDIS Quality and Safeguards Commission. Reportable incidents are serious incidents, or allegations, which result in harm to any NDIS Participant.

Real Living Options Association Inc., as a registered provider, is required to report serious incidents (including allegations) arising from the organisation's service provision to the NDIS Quality and Safeguards Commission. Reportable incidents, involving NDIS Participants, include:

- Death

- Serious injury
- All forms of abuse or neglect
- Unlawful sexual or physical contact or assault
- Sexual misconduct committed against, or in the presence of, an NDIS Participant including grooming for sexual activity
- Unauthorised use of a restrictive practice.

Reportable incident procedure

1. Staff must immediately notify the Support Manager or Support Facilitator.
2. The Support Manager or Support Facilitator will follow the process outlined in this policy.
3. The Service Manager or their delegate will notify the NDIS Quality and Safeguards Commission within 24 hours of becoming aware of a reportable incident, via the NDIS Commission Portal: https://www.NDIScommission.gov.au/providers/NDIS-commission-portal

Assessment of the incident by the Service Manager, or their delegate, will involve:

- Assessing the incident's impact on the NDIS Participant
- Analysing and identifying if the incident could have been prevented
- Reviewing management of the incident
- Determining what, if any, changes are required to prevent further similar events occurring
- Recording all incidents and responsive actions taken, to prevent recurrence.

Documents

- All reportable incident reports and registers must be maintained for seven (7) years.
- This policy is to be reviewed as required or when legislation changes occur.
- All Participants, families and advocates are informed of this policy.
- All Staff will be trained in the procedures outlined in this policy. Training details are recorded in Staff personnel files.

DELEGATIONS

Management Committee

- Ensure the Policy on Incident Management Is in line with all current relevant legislation.

Service Manager

- Ensure as far as practicable that the procedures of the Incident Management Policy are adhered to by all staff.
- Ensure as far as practicable that all reportable incidents that are reported to the Service are reported to the NDIS Quality and Safeguards Commission.
- Responsible for overseeing any continuous improvements identified as a result of an incident.

- Ensure as far as practicable that all Participants or Representative/Nominee and staff are informed of this policy.
- Responsible for reporting all incidents to the Management Committee on a monthly basis.
- Responsible for insuring as far as practicable all staff are informed of their obligations relating to reporting incidents to Service.

Support Manager

- Responsible for advising the Service Manager of any reported incidents and following directions as delegated.
- Ensure as far as practicable that all reported incidents are followed up in line with the Policy on Incident Management.
- Responsible for delegating incident follow up as required and appropriate.

Support Facilitator

- Responsible for advising the Support Manager and/or Service Manager of any reported incidents and following directions as delegated.

All staff

- Responsible for reporting all incidents to the Service.

RELATED DOCUMENTATION

Continuous Improvement Policy and Procedure
Incident Report
Incident Investigation Form
Participant Orientation Checklist
Risk Assessment Form
Risk Management Plan
Risk Management Policy and Procedure
All WHS Policies

REFERENCES

National Disability Insurance Scheme Act 2013 (NDIS ACT)
NDIS (Incident Management and Reportable Incidents) Rules (2018)
NDIS Practice Standards and Quality Indicators 2018
Privacy Act (1988)
Work Health and Safety Act (2011)

AMENDMENTS/REVIEWS

Amended 22.03.12: Amended 20.01.17: Amended 30.04.19