



INCIDENT MANAGEMENT SYSTEM

This Incident Management System is designed to meet the standards and criteria set out in the *National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018* (the Rules).

Definition

An incident is defined as an act, omission, event or circumstance. It 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 disability
- Acts by a person with disability that occur in connection with providing NDIS supports or services to the person with disability and which have caused serious harm, or a risk of serious harm, to another person
- Reportable incidents that have or are alleged to have occurred in connection with providing NDIS supports or services to a person with disability.

NDIS General Principles

With respect to the rights of people with disability, we:

- Realise their potential for physical, social, emotional and intellectual development.
- Be supported to participate in and contribute to social and economic life to the extent of their ability.
- Be supported to exercise choice including in relation to taking reasonable risks in pursuit of their goals and the planning and delivery of their supports.
- Be respected for their worth and dignity and to live free from abuse, neglect and exploitation.
- Be able to determine their own best interests including the right to exercise choice and control and to engage as equal partners in decisions that will affect their lives to the full extent of their capacity.
- Have their privacy and dignity respected.
- Have the role of families, carers and other significant persons in their lives acknowledged and respected.

- Have access to advocates and supports which promote innovation, quality, continuous improvement, contemporary best practice and effectiveness.

Reportable Incidents

Wicked Plan Management will notify NDIS Commission about reportable incidents.

An incident is reportable when:

1. The incident is defined as a reportable incident in section 73Z(4) of the Act and section 16 of the NDIS (Incident Management and Reportable Incidents) Rules 2018.
2. The incident occurred or was alleged to have occurred in connection with the provision of supports or services we were providing.

Subsection 73Z(4) of the NDIS Act states that reportable incident means:

- 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.

This list must be read with section 16 of the Rules, which says that:

- unlawful physical contact with a person with disability is not a reportable incident if the contact with, and impact on, the person with disability is negligible,
- the use of a restrictive practice in relation to a person with disability where the use is not in accordance with an authorisation (however described) of a State or Territory is not a reportable incident if the use is in accordance with a behaviour support plan for the person and the State or Territory in which the practice is used does not have an authorisation process in relation to the use of the practice, and
- the use of a restrictive practice in relation to a person with disability where the use is in accordance with an authorisation (however described) of a State or Territory is a reportable incident if the use is not in accordance with a behaviour support plan for the person.

Key Principles

Wicked Plan Management subscribes to the NDIS Quality Safeguards Commission Principles for good incident management and resolution, as stated below.

Principle	Description
Centred on people with disability	Management of an incident is respectful of, and responsive to, a person with disability's preferences, needs and values while supporting the person's safety and wellbeing.
Outcome focussed	Management of an incident should reveal the factors which contributed to the incident occurring and seek to prevent incidents from reoccurring.
Clear, simple and consistent	The process for dealing with incidents is easy to understand, accessible and consistently applied.
Accountable	Providers are responsible for appropriately managing the response to incidents. Everyone involved in the management of an incident understands their role and responsibilities and will be accountable for decisions or actions taken in regard to an incident.
Continual improvement	The incident management process facilitates the ongoing identification of issues and implementation of changes to improve the quality and safety of NDIS supports and services.
Proportionate	The nature of any investigation or actions following an incident will be proportionate to the harm caused and any risk of future harm to a person with disability.

Procedure

Wicked Plan Management is a small, privately owned and operated company in the service of providing financial plan management services and support coordination. As such, our Incident Management System reflects the size and nature of our business. Our system is designed to be proportionate to the types of incidents that may occur in our day to day dealings with customers.

Should an incident occur staff should:

- Immediately refer the incident to the General Manager
- Implement procedures in accordance with the Complaint Policy
- Register all relevant details with the Incident Management System as per the following Table and Incident Form.

Procedure	Description
How incidents are identified, recorded and reported	<ul style="list-style-type: none"> • Describe the incident. • How the incident was identified (worker observation, person with disability informing of an incident). • The method and manner of recording an incident. • The timeframes for internal reports. • How incidents will be reported internally (in writing, on an internal form or orally).
What incidents must be reported	<ul style="list-style-type: none"> • Guidance around when Police or emergency services should be notified. • Guidance around notifying guardians, family or carers. • Who must be notified internally when an incident occurs (for example, supervisors, managers or key personnel).
The person who is responsible for notification of reportable incidents to the NDIS Commission	<ul style="list-style-type: none"> • Specify the person/s responsible for notifying the NDIS Commission of reportable incidents.
How we will support, assist and involve the impacted person of an incident to ensure their health, safety and wellbeing	<ul style="list-style-type: none"> • How we will provide support and assistance to a person with disability affected by an incident, to ensure the person's health, safety and wellbeing. • How a person with disability affected by an incident will be involved in the management and resolution of the incident.
When an assessment or investigation into an incident is required	<ul style="list-style-type: none"> • Whether the incident could have been prevented • How well the incident was managed and resolved • What, if any, regulatory action needs to be undertaken to prevent further similar incidents from occurring. • What, if any, regulatory action needs to be undertaken to minimise the impact of an incident. • Whether other persons or bodies need to be notified of the incident.
When corrective action is required and the nature of that action	<ul style="list-style-type: none"> • Detail any investigations, its effect and any operational issues that may have contributed to the incident, and the nature of that investigation. • Corrective action taken to address identified systemic issues and drive improvements in the quality of service and supports. • Improve prevention methods. • Minimise the impact on people with disability.

INCIDENT FORM

Employee Name	Position	Date	
Name of reporting person If not the participant	Ph	Email	
Date of Incident	Place of Incident	Date Reported	
Participant Name	Ph	Email	
Provide a brief description of the incident			<ul style="list-style-type: none"> • What happened • The impact on, or harm caused to the participant or worker • Whether the incident is reportable, if known • The names and contact details of the persons involved in the incident and any witnesses to it
NOTIFICATION			<ul style="list-style-type: none"> • Indicate who has been advised of the incident.
General Manager	YES/NO	Mandatory	<ul style="list-style-type: none"> • The GM and Business Owner are the authorised persons for all complaints management
Support person/family/guardian	YES/NO	Mandatory	<ul style="list-style-type: none"> • Must be nominated by the participant
Police or other emergency authorities	YES/NO	As required	<ul style="list-style-type: none"> • Reportable criminal offence or allegation, life threatening situations
NDIS Quality and Safeguards Commission	YES/NO	As required	<ul style="list-style-type: none"> • Reportable criminal offence or allegation of a serious nature
Other			<ul style="list-style-type: none"> • Provide details

CONTACT DETAILS		
Name of support person/family/guardian	Ph	Email
Police	Ph	Email
NDIS Quality and Safeguards Commission	Ph	Email
Other	Ph	Email
INITIAL RESPONSE		
Assistance and support offered to participant	<ul style="list-style-type: none"> Describe the process to be used Does the participant require an advocate? Is the participant informed? Do they understand about the investigation and complaints handling process? 	
Investigation launched	Internal/External/ Both	
Name of investigator	Ph	Email
Name of Investigator	Ph	
INVESTIGATION AND ASSESSMENT		
Aims and process	Date	<ul style="list-style-type: none"> Establish the cause of the incident Determine its impact Identify operational issues that may have contributed to its occurrence


Detail interviews	Date	<ul style="list-style-type: none"> • Provide details of interviews, including questions and answers
Describe conclusions/outcomes	Date	<ul style="list-style-type: none"> • Note findings • Identify • Develop proposed actions, options, resolutions
Consultation	Date	<ul style="list-style-type: none"> • Who is to be consulted? • Note the details of the discussions – questions, advice and outcome • Note the name of the person making the contact • Note the date of the correspondence
Describe actions/options/resolutions to be undertaken with/for the participant	Date	<ul style="list-style-type: none"> • Actions to be taken by agreement with the participant
Describe actions to be undertaken with/for the worker	Date	<ul style="list-style-type: none"> • Actions to be taken in relation to the worker
Notification of resolutions	Date	<ul style="list-style-type: none"> • Notify all those engaged in the process (where appropriate) of the agreed outcomes and resolutions
INTERNAL ACTIONS		
Identify internal risks and mitigation	Date	<ul style="list-style-type: none"> • Revise the Risk Management Plan as required
Review policies and procedures	Date	<ul style="list-style-type: none"> • Revise as required
Notify all staff of changes to policies and procedures	Date	<ul style="list-style-type: none"> • Provide staff training as required

MONITORING		
Monitor complaints and collect data	Ongoing	<ul style="list-style-type: none"> Track complaints to ensure quality standards are met and adherence to continuous improvement

Records Checklist

RECORDS	
All allegations and statements are recorded	
Information and records relating to an allegation or incident are securely retained within the Incident management System	
Access to records is limited to the General Manager and Business Owner	
Information is kept for a minimum of 7 years from the date the record is made	
All files relating to an incident are kept together to ensure records are readily retrievable	
CORRESPONDENCE WITH THE PARTICIPANT	
All correspondence is dated and retained	
Any statements made by the impacted person to deny or correct remarks, statements or claims should be recorded	
Date all statements and enter the dates mailed or delivered to the person with disability	
If there has been a reply from the person with disability or their representative, attach to the record and date	
If there is no reply or response from the person with disability, this should also be recorded	

CORRESPONDENCE WITH THE WORKER	
All correspondence is dated and retained	
Any statements made by the impacted person to deny or correct remarks, statements or claims should be recorded	
Records of a worker who is the subject of a serious allegation are kept within the Incident Management System and not shared to their personnel file, to prevent breaches of privacy or confidentiality	
MEETINGS	
Meetings should be recorded including date, time, meeting attendees, notes on what was said	

Name	Signed	Date
Jaime Thomson		20/07/2020