

**Policy Name: Incident Management**

### 1.0 Policy Statement

Peckys Limited is committed to maintaining safe and high quality supports to all clients. Peckys Limited ensure the safety of its staff and clients by ensuring incidents are acknowledged, responded to, well-managed and learned from.

### 2.0 Purpose

This policy complies with the NDIS (Incident Management and Reportable Incidents) Rules 2018. It outlines the Incident Management System used to record, respond and report where harm, or the risk of harm, is caused to a client in connection with the services provided by Peckys Limited. This harm could be caused by any person, including staff, a member of the public or another person with disability.

### 3.0 Definitions

Incident: An incident is defined as an act, omission, event or circumstance that has, or could have, caused harm to a person. It may be committed by a member of staff or a person with disability.

Harm: Harm is the result of an incident and can include physical, emotional or psychological impacts such as physical injuries, emotional impacts such as fear, or poor self-esteem, and psychological impacts such as depression or impacts on a person's learning and development.

Reportable incident: A reportable incident is defined by the NDIS Quality and Safeguards Commission (the Commission) as incident that results in, or is **alleged** to result in;

- Death of an NDIS participant;
- Serious injury of an NDIS participant;
- Abuse or neglect of an NDIS participant;
- Unlawful sexual or physical contact with, or assault of, an NDIS participant;
- Use of an unauthorised Restrictive Practice.

### Document References

- Work Health and Safety Act (2011)
- NDIS (Incident Management and Reportable Incidents) Rules (2018)
- NDIS Practice Standards and Quality Indicators 2018
- NSW Disability Inclusion Act and Regulation (2014)



**SECTION: Service Provision**  
**REF. NO: Section 3**  
**POLICY NO: 3.19**

- Privacy Act (1988)

### **Forms**

- Incident Report
- Client risk assessments
- Reportable Incident
- Induction
- Orientation checklist

## **1.0 Procedure**

Peckys Limited has procedures that identify, manage and resolve incidents. Incidents can be reported by staff, a client or a member of the public.

## **2.0 Incident Management Principles**

Peckys Limited staff will always respond to incidents and accidents by ensuring that they protect themselves first and respond to the incident or accident within their training and qualifications.

- 2.1 All Peckys Limited staff who provide direct care are required to hold a current First Aid Certificate as part of their condition of employment.
- 2.2 Staff are required to contact their Supervisor when an incident occurs. The CEO must be notified as soon as possible if it is a Reportable Incident.
- 2.3 Staff will ensure they communicate with the client and appropriate health and management personnel in an emergency.
- 2.4 The CEO or their delegate may seek expert advice and engage experts/consultants or specialists where a major incident is occurring or has occurred.
- 2.5 Peckys Limited will support a transparent approach when responding to an incident that places the client/staff member central to the response. This includes the process of open discussion and ongoing communication with the client and staff member.
- 2.6 Peckys Limited will create a “fair workplace culture” where it is safe to report incidents and where a systems approach to incidents and investigation is used.
- 2.7 Peckys Limited will maintain client and staff's right to confidentiality and privacy.

## **3.0 Reporting an Incident**

An incident, or allegation of an incident, may be made by any person, including staff, clients, or members of the public.

- 3.1 When an incident occurs, the health and wellbeing of persons involved is assessed immediately. Appropriate emergency aid will be applied included calling emergency services if necessary.
- 3.2 If emergency services are called either during the time Peckys Limited is providing support, or in the 24 hours after receiving support from Peckys Limited, the

Manager and CEO must be notified immediately to assess whether it is a Reportable Incident.

- 3.3 Once the incident is stable, an Incident Report form will be completed and provided to the line manager. Staff must complete a report within 24 hours of the incident or notification of an incident.
- 3.4 In the event of an injury, the client's support person or family must be notified.
- 3.5 Any incident will be escalated if not resolved to the satisfaction of the client and/or their person responsible within seven days. The process for escalation is that evidence is first reviewed by the Manager, who will determine whether an investigation is required.
- 3.6 An incident may require notification to the relevant authorities.
- 3.7 Incident Reports are provided by Coordinators to the Manager for review on a monthly basis. The CEO reviews all Incident Reports for Peckys Limited on a monthly basis.

#### **4.0 Reportable Incidents**

A Reportable Incident must be notified to the Manager and CEO immediately.

- 4.1 The CEO or their delegate must enter details in the Commission's portal within 24 hours of receiving notification of the incident.
- 4.2 The CEO or their delegate will undertake further investigation to complete the Commission's 5-day Notification of a reportable incident.
- 4.3 The investigation will gather and analyse information including (but not limited to):
- The person reporting the incident;
  - The person/s involved in the incident;
  - Gathering information about any witnesses and documenting their account;
  - A review of any client or activity risk assessment;
  - A review of any medical information held about the client.
- 4.4 If the Reportable Incident is the unauthorised use of a Restricted Practice, the notification to the Commission must occur within five days of the first use of the practice.
- 4.5 The CEO must provide further supporting information and answers to questions as requested by the investigating officer of the Commission.

## **5.0 Incident Investigations**

Each incident's investigation and analysis will vary according to the seriousness of the incident.

5.1 The Incident Report provides for an investigation that determines:

- The immediate reasons for the event;
- The basic reasons for the event;
- Immediate actions required to address the reasons for the event;
- Preventive actions required for the future.

Analysis of any incident will include:

- Determining the cause of the incident;
- Ascertaining if the incident was an operational issue;
- Reasoning for why this may have occurred e.g. environmental factors, client's health;
- Ascertain if strategies or processes need review and improvement;
- Devising new strategies or processes;
- Plan for staff training in these new strategies;
- Implementing new strategies;
- Review of new strategies, and
- Consideration of views of the client.

5.2 In the case of a Reportable Incident, a staff member may be contacted on a non-work day so that timely information can be obtained for the investigation.

5.3 Corrective actions must be implemented and evaluated as soon as possible to check for effectiveness.

5.4 Peckys Limited will incorporate any learning from the incident into the Continuous Improvement cycle to enable prevention of the incident or accident in the future.

5.5 All Incident Forms must be closed out by the CEO and one other staff member.

5.6 All Incident Forms are recorded centrally.

## **6.0 Support and assist the participant affected by an incident**

Peckys Limited staff will:

- Collaborate with the person to manage and resolve the incident, whilst making sure their wellbeing is supported;

- Inform clients that they have access to an advocate. If the client does not
- have an advocate then the CEO or their delegate can assist them to access an independent advocate;
- Review their health and environment to ensure their safety and to prevent any recurrence.

6.1 The CEO or their delegate will review the incident with the participant.

6.2 Peckys Limited will inform clients or their advocate about the outcome of the incident in writing or verbally; dependent on the client and the situation.

## **7.0 Staff training**

Peckys Limited recognises the importance of prevention to ensure the safety of both employee and participant.

7.1 The Induction and Site Orientation includes training in work health and safety comprising manual handling, safe environments, risk and hazard reduction.

7.2 Upon commencement, staff are trained in organisational processes including how to report an incident and to whom this is to be reported. Staff have access to policies and procedures at all times.