

# Risk Incidents and Complaints Management



## Incident, Complaint, Feedback and Continuous Quality Improvement Record Form

### Instructions:



This form is for use by all staff to assist in recording details and ensure follow-up occurs with participant involvement included at required stages. It is to be completed as soon as possible after the incident, complaint, feedback and lodged with someone in your service with complaint/incident handling responsibilities.

This form includes providing information to participants about how incidents that involved them have been managed. It also provides you with a way to demonstrate that you are following the NDIS Commission and Complaints Management and Resolution Rules 2018.

Insert your logo and staff instructions on how to use including the name of person responsible for handling complaints and incidents.



# Incident, Complaint, Feedback and Continuous Quality Improvement Record Form

## What to record?

### **Incidents that must be recorded include:**

- Those that have or could have, caused harm to a participant
- Acts by a participant that happened in connection with (see Incidents resources) providing supports that caused serious harm or risk of harm, to another person, and
- Reportable incidents (see below) that are alleged to have occurred in connection with the provision of NDIS supports (see Incidents resources for examples)
- Consider copying into participants progress notes/file.

### **Complaints that must be recorded include:**

- Those that seek a resolution/action
- Any participant expression of anything that is perceived to be unfair or makes them unhappy with your service
- Anonymous complaints that allege concerns for participant safety and/or dissatisfaction with a support or service.

### **Suggestions from staff and participants about improvements to your supports**

- You encourage staff to be on the lookout for how and where improvements, efficiencies innovation in your supports can be made
- You have ways to demonstrate their input is valued and acknowledged, such as in staff meetings, during performance reviews and statements in job roles.

### **Worker Health and Safety near miss or hazard reports**

**Staff can lodge a worker Health and safety report to ensure you are aware of any potential risks or manage any actual events**



**Report Number:**

**Type of report**

Incident/accident

WHS/Near miss

Complaint

Opportunity for improvement suggestion

**Intake details:**

Report date:

Incident/alleged incident/complaint/feedback Location/OFI

Date:

Time:

Report prepared by staff member handling the matter  
(staff name and contact details)

Signature

Participant name (if relevant)

People present e.g. witness (names and contact details)

What happened (brief description) and any impact/injuries to the participant



What did the participant affected by the incident/complaint want to happen (solutions)

Action taken/solution chosen in response to incident /complaint

**Reportable incident? (See list below)**

Is this a reportable incident (to NDIS Commission)      Yes      No      (see over for list)

If yes, reported to (name of internal manager):

**Investigation/response**

You have a way to determine when a full investigation required. (refer to Incidents Management Policy and Procedure Checklist)

If this is indicated it must be reported to (name of internal manager):

**Outcomes**

Participant indicates satisfaction with the outcome of the complaint incident      Yes      No

Comments

Participant indicates satisfaction with complaint incident handling      Yes      No

Comments

Feedback on the complainant's experience of the complaint/incident handling process.

Satisfied?      Yes      No



Areas for improvement?

What strategies for improvement for the service, avoiding reoccurrence have been identified immediate and long term?

Person responsible for and date these are implemented

Recorded on register/or elsewhere?

Outcome (e.g. action plan, referral to manager, referral to external and date)

## Reportable incidents

Reportable incidents in relation to a participant include:

- Death of a participant
- Serious injury of a participant
- Abuse or neglect of a participant
- Unlawful sexual or physical contact with, or assault of, a participant
- Sexual misconduct committed against, or in the presence of, a participant, including grooming of the participant for sexual activity
- Unauthorised use of restrictive practices.