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| Critical Client Incident Management |
| ***Practice advice for Victorian approved National Disability Insurance Scheme providers of disability services*****March 2017** |

**NDIS monitoring agreements in SAMS2 – questions and answers for DHHS staff**

# Purpose

This practice advice has been developed for Victorian approved National Disability Insurance Scheme (NDIS) providers of disability services in scope of the *Disability Act 2006* (Disability Act). This advice provides an overview of disability service providers’ incident response and reporting obligations to the Department of Health and Human Services (the department).

This advice relates to the [Human Services Critical Client Incident Management Instruction Technical Update 2014](http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/human-services), <<http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/human-services>>.

Please note that different Incident Report forms are used for:

* Victorian approved NDIS providers delivering [psychosocial supports to people with a psychiatric disability; and existing providers of Home and Community Care (HACC)](http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/health), <<http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/health>>, services
* Victorian approved providers of [early childhood supports](http://www.education.vic.gov.au/childhood/providers/needs/Pages/ecispublications.aspx#link19), <<http://www.education.vic.gov.au/childhood/providers/needs/Pages/ecispublications.aspx#link19>> (0-6 years).

# Critical client incident management

Incident reporting supports the provision of high quality services to clients through the full and frank reporting of adverse events and subsequent analysis and actions. The key reason for reporting incidents is to learn from them and try to prevent their recurrence.

The [*Critical client incident management instruction technical update 2014*](http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/human-services),<<http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting/human-services>>, focuses incident management and reporting on the most important incidents affecting clients and encourages responsibility and commitment from staff and management to improve outcomes for clients.

In any incident, the most important first step is to make sure clients and staff are safe. After that, an incident report must be completed. The report includes immediate actions that have been taken and planned follow-up actions.

# Frequently asked questions

### *Are registered disability service providers that are funded by the National Disability Insurance Agency required to report client incidents?*

Yes. Victorian approved NDIS providers delivering disability services funded by the NDIA (and registered under the Disability Act) are required to report critical incidents that involve, or impact, upon clients and must comply with the *Critical Client Incident Management Instruction Technical Update 2014*. NDIS registered providers delivering the following NDIS registration groups are required to report Category One and Category Two client incidents:

* Management of funding for supports (plan management)
* Assistance with coordinating or managing life stages transition and supports
* Support coordination
* Daily tasks/Shared Living
* Daily personal activities
* High intensity Daily personal Activities
* Specialised positive behaviour support
* Development of daily living and life Skills (Development -life skills)
* Participation in Community, Social and Civic activity (Participate community)
* Group and Centre based Activities

### *When is a Client Incident Report Required?*

A Client Incident Report is required for all critical incidents that involve or impact upon a client while a staff member is with the client and when the client is at your premises. If your service provides 24-hour care (residential care or custodial services), a report is required for all critical incidents involving clients regardless of the location.

The *Critical client incident management summary guide and categorisation table: 2011 (updated December 2012)* provides an overview of the instruction requirements. This guide includes the incident type categorisation table which provides high level examples of Category One and Category Two incidents to assist staff when selecting an incident type and category.

### *How do I report an incident?*

Critical client incidents are reported using the Client Incident Report form. The form can be found on the department’s Funded Agency Channel.

Completed Client Incident Reports may be submitted to the department using the web based Client Incident Submission form on the Funded Agency Channel. Alternatively, completed Client Incident Reports may be faxed to the department on 1300 734 633.

### *Who completes the client incident report form?*

The most senior staff member who witnessed the incident, or the staff member who was first told about the incident, must report the incident by completing parts 1 to 4 on the Client Incident Report form. Parts 1 – 4 of the form ask for information about who is reporting the incident, where the incident happened (if known), who was involved and a factual description of what happened.

A senior manager, chief executive officer or delegate then completes part 5 of the form. The manager must make sure all the details have been completed, provide a brief summary of the incident and outline the actions taken, or will be taken, to support the client. This may include contacting family/friends, reporting the incident to police, accessing counselling support and/or conducting a formal investigation.

For more information, refer to the information sheets *Client Incident Report and Victorian approved National Disability Insurance Scheme providers- How to complete; and How to write an effective client incident report* on the Funded Agency Channel.

### *What happens when there is disagreement about the content of an incident report?*

Once a Client Incident Report has been completed, the incident description must not be changed or altered in any way or for any reason. If another witness or individual disagrees with the content of the report, the alternative views must be put in writing as a file note and attached to the completed Client Incident Report.

### *Where do incident reports need to be filed?*

Victorian approved NDIS providers are required to file copies of all incident reports (completed to part 5) relating to a client in the client’s file. Completed Client Incident Reports must be stored securely. All Client Incident Reports are to be accessible to staff (who have a business purpose for doing so) and Community Visitors at all times.

### *Who are Community Visitors and why do they need to see incident reports?*

Community Visitors are volunteers empowered by law to visit Victorian accommodation facilities for people with a disability or mental illness at any time, unannounced. They monitor and report on the adequacy of services provided, in the interests of residents and patients.

The Disability Act provides a Community Visitor, when visiting a residential service, with the power to inspect any document relating to any resident (except medical records) and any records required to be kept by or under the Act. This includes client incident reports.

Victorian approved NDIS providers of residential services are required to comply with the Disability Act as a condition of their NDIS registration.

### *What happens to an incident report after it is received by the department?*

Once a Client Incident Report is received by the department, it is given a unique identifying number and some details are entered into a database. Critical incident data is systematically analysed and information from the data is used to inform policy development, training and practice improvements.

Service providers must also maintain a critical client incident register or database and conduct regular review and analysis of the information for trends and learnings.

## Further information

Further information may be accessed from The Department of Health and Human Services  [Funded Agency Channel](http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting), <http://www.dhs.vic.gov.au/funded-agency-channel/about-service-agreements/incident-reporting>.

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