

A photograph of a woman with dark hair, wearing a blue shirt, leaning over a young child with dark hair and bangs. The child is wearing a white ribbed sweater and is laughing joyfully. They are playing with colorful wooden blocks on a table. A large olive-green rounded rectangle is overlaid on the left side of the image, containing the title text.

Client Policy Handbook

Contents

Introduction.....	3
Privacy & Confidentiality Policy.....	4
Right to Access an Advocate Policy.....	10
Culture, Diversity, Values & Beliefs Policy.....	12
Violence, Abuse, Neglect, Exploitation & Discrimination Policy.....	13
Participant Money & Property Management Policy.....	14
Conflict of Interest Policy.....	15
Incident Management Policy.....	16
Feedback & Complaints Policy.....	23
Feedback Form.....	28
Provider Contact Details.....	29



Introduction

The OTFC Group aims to uphold the rights of people with disability, including the right to dignity and respect, to live free from abuse, exploitation, and violence, to be given the same opportunities as people who do not have disabilities and to have choice and control in the support services they receive. This is underpinned by Australia's commitment to the United Nations Convention on the Rights of Persons with Disabilities.

Being a provider in the Disability sector means the OTFC Group must abide by a set of criteria that upholds the same principles that guide the National Disability Insurance Agency (who we are also registered with). The NDIA has a Participant Service Charter which is based on five principles: Transparent, Responsive, Respectful, Empowering, and Connected.

Critical to our success as an allied health provider is to ensure our purpose aligns with this Charter and is what you can expect from us and other community organisations. We are focused on ensuring how we serve our clients is in line with our purpose. Our promise is to support you in working toward your goals. We want you to have greater independence and be part of more inclusive communities. We want to support you to make your own decisions to the greatest extent possible and we want to support and promote your voice where possible.

This handbook is a snapshot of the policies that are critical to providing exceptional care and service to those who access our services and keep the OTFC Group accountable to the people who sit at the centre of our family – YOU! We ask you to read through and acknowledge these policies and welcome any feedback you may have.

PRIVACY & CONFIDENTIALITY POLICY

The OTFC Group is committed to implementing a system to ensure each participant will receive quality services and supports that respect and protect their dignity and right to privacy by complying with the '[NDIS Quality and Safeguarding Framework](#)' requirements, [The Australian Privacy Principles](#) and the [Privacy Amendment \(Public Health Contact Information\) Bill 2020](#)

The OTFC Group will ensure that:

- It meets its legal and ethical obligations as an employer and service provider in relation to protecting the privacy of clients and organisational personnel
- Clients are provided with information about their rights regarding privacy and confidentiality
- Clients and organisational personnel are provided with privacy and confidentiality when they are being interviewed or discussing matters of a personal or sensitive nature
- All staff, leadership and volunteers understand and are inducted and proficient in what is required in meeting these obligations
- Clients are advised of confidentiality policies using the language, mode of communications and terms that are most likely to be understood. Our company will attempt to locate interpreters and use easy access materials such as those on NDIA website
- In the case of divorced or separated parents, we will only deal with the fee-paying party who engaged our services in the first instance. We will only share information relating to the assessment and treatment of the child/young person with the other parent and/or carer's if we have the consent of the initial party or are legally obliged to disclose specified information under Court Order

To ensure privacy for the Participant when discussing sensitive or personal matters, The OTFC GROUP will only collect personal information which is necessary for the quality of provision of services and supports and given voluntarily to the Provider.

At The OTFC GROUP we will protect and uphold the dignity and right to privacy of the Participant for all personal and confidential information.

The OTFC GROUP will ensure each participant understands and acknowledges what type of personal information, including recorded material in audio and/or visual format, will be collected and for what reason.

We will provide an interpreter if required for communication with the participant and respect to work with participant's interpreter or representatives.

All personal and confidential information will only be collected, used, retained, and disclosed to other parties such as their advocate by obtaining the Participant's consent.

We will inform the participant in what circumstances the information could be disclosed, including that the information could be provided without their consent if required or authorised by law.

PRIVACY & CONFIDENTIALITY POLICY

The OTFC GROUP ensures the information is appropriately prevented from misuse, loss, remove, change, unauthorised access, and disclosure to or use by any other person or organisation.

Kinds of personal information collected and held

In performing its functions, the OTFC Group collects and holds the following kinds of personal information (which will vary depending on the context of the collection):

- name, address, and contact details (e.g., phone, email and fax) of client and caregivers
- photographs, video recordings and audio recordings
- Referring Partner (teacher, GP, Paediatrician etc)
- Information about your personal circumstances (e.g., marital status, age, gender, occupation, accommodation, and relevant information about your family)
- Information about your identity (e.g., date of birth, country of birth)
- Information about your occupation (school or employment)
- Information about your background (the languages you speak and your English proficiency)
- Government identifiers (e.g., NDIS Number, Medicare, and Private Health Insurance Details)
- Information about assistance provided to you under the NDIS

On occasions, the OTFC Group may collect or hold some sensitive information about you, including information about:

- Your racial or ethnic origin
- Other Health concerns (including information about your medical history and any disability or injury you may have);
- Information about any Behaviour Support Plans or Regulated Restrictive Practice in place
- Information about any cultural or religious beliefs OTFC needs to abide by upon your visit
- Information about the supports or services you receive, including supports or services you receive or have received under the NDIS and information about the people who provide those supports or services to you

When will OTFC Group collect personal information?

The OTFC Group will usually gather personal information about children, young people, and their families:

- When a caregiver books a child in for an initial assessment
- At the time of an Initial Assessment
- During the provision of therapeutic services
- When a child, parent or family uses the OTFC Group website (e.g., when they fill out an online form, enter a competition or subscribe to an online newsletter)

PRIVACY & CONFIDENTIALITY POLICY

Purposes for which OTFC Group collects personal information?

The OTFC Group collects personal information to conduct its business, to provide and market its services and to meet its legal obligations. The OTFC Group will not use your personal data for any purpose that you have not agreed to.

The OTFC Group collects and holds personal information for a variety of different purposes relating to its functions and activities including:

- Performing its primary function of providing therapeutic and assessment services to the community
- Performing its employment and personnel functions in relation to its staff and contractors
- Performing its legislative and administrative functions
- Policy development, research, and evaluation
- Complaints handling
- Management of correspondence with the public
- To process Medicare, NDIS and private health fund claims
- To supply information to medical practitioners and other allied health professionals who provide critical follow up treatment and ongoing care
- To conduct research and development
- To conduct service planning
- To communicate offers and special events

How the OTFC Group collects and holds personal information

The OTFC Group collects personal information through a variety of different methods including:

- Paper-based forms
- Electronic forms (including online forms)
- Face to face meetings
- Telephone communications
- Email communications
- Communications by fax
- Third party sites such as Seesaw, HelloSign and JotForm
- The OTFC Group website; and
- The OTFC Groups social media websites and accounts. OTFC Group collects personal information from the web site www.occupationaltherapychildren.com.au through receiving subscription applications and emails. They also use third parties to analyse traffic at that web site, which may involve the use of cookies
- In some circumstances the OTFC Group may be provided with personal information about an individual from a third party – for example, a report provided by a medical professional or a referral from another professional.

PRIVACY & CONFIDENTIALITY POLICY

The OTFC Group holds personal information in a range of paper-based and electronic records. Storage of personal information (and the disposal of information when no longer required) is managed in accordance with the Australian Government records management regime, including the [Archives Act 1983](#), Records Authorities and General Disposal Authorities. This ensures that we hold your personal information securely as well as dispose of it correctly when we no longer require it.

About whom does OTFC Group collect personal information?

The type of information OTFC Group may collect, and hold includes (but is not limited to) personal information about:

- Clients
- Caregivers and other family members
- Potential clients
- Employees, prospective employees, and contractors
- Student
- Volunteers
- Contractors
- Business associates
- Suppliers and their employees, and
- Other people who encounter a member of the OTFC Group

OTFC may disclose your personal information to:

- Other members of the OTFC Group
- Legal practitioners, courts, tribunals, and regulatory authorities, and
- Anyone else to whom you authorise us to disclose it as per the Privacy Permission Form

Dealing with personal information

In dealing with personal information, The OTFC Group staff will:

- Ensure privacy for clients, staff, or management when they are being interviewed or discussing matters of a personal or sensitive nature
- Only collect and store personal information that is necessary for the functioning of the organisation and its activities
- Use fair and lawful ways to collect personal information
- Collect personal information only by consent from an individual
- Ensure that people know what sort of personal information is held, what purposes it is held for and how it is collected, used, disclosed and who will have access to it
- Ensure that personal information collected or disclosed is accurate, complete and up-to-date, and provide access to any individual to review information or correct wrong information about themselves

PRIVACY & CONFIDENTIALITY POLICY

- Take reasonable steps to protect all personal information from misuse and loss and from unauthorised access, modification, or disclosure
- Destroy or permanently de-identify personal information no longer needed and/or after legal requirements for retaining documents have expired
- Ensure that clients understand and agree to what personal information will be collected and why
- Clients will be informed why any recordings occur – audio and/or visual format. These must be agreed to in writing

What are our obligations when information is given "in confidence?"

When information is given "in confidence " about a client by a person other than the client (that is a request that it not be communicated to the client to whom it relates) staff must:

- In the client's record, record only information if it is relevant to the provision of health services to, or the care of, the client in a separate note template
- Take reasonable steps to ensure that the information is accurate and not misleading; and
- Take reasonable steps to record that the information is given in confidence and it is to remain confidential

What strategies can we take to maintain personal privacy/confidentiality?

- Only access information if it is relevant to your work
- Do not divulge, copy, release, sell, loan, review, alter or destroy any personal information unless it is part of your job. If it is part of your job to do any of these tasks, staff are to follow the correct OTFC Group procedure (such as putting confidential papers in appropriate security bins)
- Verbal information must be protected. All staff need to be mindful of where they carry out discussion of client care. Conversations regarding clients must not be conducted in the presence of, or be heard by, unauthorised persons
- Client and staff information (e.g., addresses or diagnosis) must never be discussed with friends or relatives without the appropriate consent
- Client information should only be discussed between clinical staff involved in the care and treatment of the client
- Confidentiality of information may be breached when communicating personal information. Staff should be aware of and follow the correct procedure when using the fax, phone, email addresses to communicate personal information
- Staff should be aware of situations involving young persons, whereby the client may not want information of their condition relayed to their parent/guardian
- All personal information for clients and staff is protected according to the OTFC Group guidelines. In certain circumstances clients or staff may request additional measures to protect their personal information
- Nothing in this procedure shall prevent an employee from supplying appropriate information to the Union/Professional Body in relation to probable, threatened or actual grievance or industrial dispute.

PRIVACY & CONFIDENTIALITY POLICY

The highest standards of confidentiality are expected within the OTFC Group. Any violations of the confidentiality procedure will be addressed through the CEO and could result in disciplinary action.

Each participant can request to have access to the collected information by contacting us via email, mail or phone using the details provided in the 'Provider Contact Details' section of this Client Handbook at any time to correct their information and withdraw or amend their prior consent.

How to make a complaint

If you think the OTFC Group may have breached your privacy rights, you may contact us using the details provided in the 'Feedback and Complaints Policy'.

The OTFC Group will respond to your complaint or request promptly if you provide your contact details.

RIGHT TO ACCESS AN ADVOCATE POLICY

At The OTFC Group we respect the client's right to access and engage an advocate of their choice to negotiate on their behalf.

One of the purposes of the NDIS is to provide funding for reasonable and necessary supports to enable eligible individuals to:

- make decisions that will affect their lives, to the extent of their ability
- achieve their goals, objectives, and aspirations
- maximise their independence
- increase their social and economic participation
- develop their capacity to take part in the community actively*

* National Disability Insurance Scheme Act 2013

Advocacy for people with disability can be defined as speaking, acting, or writing with minimal conflict of interest, on behalf of the interests of a disadvantaged person or group, to promote, protect and defend the welfare of and justice for either the person or group by:

- Acting in a partisan manner (i.e., being on their side and no one else's);
- Being primarily concerned with their fundamental needs
- Remaining loyal and accountable to them in a way that is empathic and vigorous (whilst respecting the rights of others); and
- always ensuring the duty of care. **

** National Disability Advocacy Program (NDAP)

A client or their family members may use an advocate:

- during the assessment and planning as well as review process
- once an incident including violence, abuse, neglect, exploitation, or discrimination occurs
- to provide feedback or make a complaint
- for any communication between the Client and OTFC GROUP

We will allow sufficient time to the client to consider and review their options and seek advice at any time. The benefits and risks of the options will be advised.

We will provide the information in written or verbal to the client about the use of an advocate (including an independent advocate), and access to an advocate is facilitated where allegations of violence, abuse, neglect, exploitation or discrimination have been made, as well as information on how to give feedback or make a complaint.

At The OTFC Group we aim to create a supportive environment for any person who provides feedback and/or makes complaints.

RIGHT TO ACCESS AN ADVOCATE POLICY

We will support the client where they request for any assistance, by providing the information on the type of individual advocacy.

A confirmation will be obtained from the client / client's representative to authorise the advocate to act on behalf of the participant.

The National Disability Insurance Scheme Act 2013 defines an independent advocate, in relation to a person with a disability, to mean a person who:

- is independent of the Agency, the Commission and any NDIS providers providing supports or services to the person with a disability
- provides independent advocacy for the person with a disability, to assist the person with a disability to exercise choice and control and to have their voice heard in matters that affect them
- acts at the direction of the person with a disability, reflecting the person with a disability's expressed wishes, will, preferences and rights
- is free of relevant conflicts of interest

The Act acknowledges the important role of advocates (including independent advocates) and other representatives of persons with disability and requires registered NDIS providers to cooperate with and facilitate arrangements for advocates (including independent advocates) and other representatives of persons with disability who are affected by complaints or incidents and who wish to be independently supported in that process by an advocate or other representative.

For further information on disability advocacy and finding a disability advocate, see: the [Disability Advocacy Finder](#).

CULTURE, DIVERSITY, VALUES & BELIEFS POLICY

OTFC Group is committed to providing quality services and supports to each participant that respect their culture, diversity, values, and beliefs in line with the Cultural & Linguistic Diversity (CALD) Strategy 2018-2022.

The Cultural & Linguistic Diversity (CALD) Strategy 2018 is the NDIA's public statement of commitment to working alongside people with disability from CALD backgrounds to achieve access to, and outcomes from, their NDIS Plan on an equal basis with the broader population.

More than a quarter of Australians (26 per cent) were born overseas, and of these, two-thirds were born in non-English speaking countries. Historically, Australians from culturally diverse backgrounds have been underrepresented in the disability sector.

The NDIA recognises that people with disability from a CALD background can face additional challenges in terms of inclusion in their communities, and this extends to their ability to access the NDIS and supports.

At the OTFC GROUP the participant's right to practice their culture, values and beliefs while accessing supports is supported.

Our staff are inducted to recognise and respect diverse backgrounds and allow participants to practice their culture, values and beliefs while accessing supports.

Participant needs, support requirements, strengths, goals, culture, diversity, values and beliefs specified by the participant, including the inputs from their family/support network, are identified during the Initial Assessment Process and documented in the parent rating scale.

Participant's preferences such as language, culture or other specific criteria will be considered and actioned where possible.

VIOLENCE, ABUSE, NEGLECT, EXPLOITATION & DISCRIMINATION POLICY

The OTFC Group is committed to providing quality services and supports that are free from violence, abuse, neglect, exploitation, or discrimination and have established a process to actively prevent these incidents where possible for all their participants.

The OTFC Group recognises the right of the participant to feel safe and to live in an environment where they are protected from violence, abuse, neglect, exploitation, or discrimination.

The OTFC Group is committed to respecting human rights and believes that all people should be treated with dignity and respect. They seek to prevent or mitigate any negative human rights impacts in connection with our operations or activities and maximise any potential positive impacts where we are present. All workers are required to comply with this Policy.

As a part of our commitment to respect human rights, OTFC GROUP will:

- work to align our business activities and practices with the UN Guiding Principles on Business and Human Rights
- treat our employees fairly and without discrimination, and promote diversity in the workplace
- respect the human rights of the communities in which we operate
- consult with our participants on human rights issues and provide easily accessible feedback and complaints management to resolve grievances in a timely manner
- recognise the rights of Indigenous people, acknowledging their connections to lands and waters and respecting their culture

The OTFC Group implements the following practices and safeguards in relation to preventing abuse, neglect, and exploitation of the participants.

- Staff proactively attempt to identify and understand the communication modes and individual needs of the participants, that has been documented in the Caregiver questionnaire
- Recruitment, training, and supervision of staff focus on values and the rights of the participants to have choice, and control in their lives
- Staff are informed of their obligations in interactions with the participants, and their significant others, families, and supporters, to conduct these interactions in a manner that reduces the opportunity for abuse and neglect to occur
- Staff are provided with education and training on recognising and responding to indicators of abuse, neglect and harm, exploitation, and rights-based approaches and reporting misconduct where possible

At the OTFC Group we encourage and support any person to report any type of incidents including violence, abuse, neglect, exploitation, or discrimination during the services and supports. Please refer to the 'Incident Management Policy' in this Handbook.

We respect the participant's right to access an advocate. Please refer to the 'Right to access an advocate Policy' in this Handbook.

PARTICIPANT MONEY & PROPERTY MANAGEMENT POLICY

At The OTFC Group, employees and workers are trained and inducted to appropriately manage, protect, and account for the client's money or other property, where they have access to.

Workers are only authorised to use the participant's money or other properties with the consent of the client and for the purposes intended by the client.

The OTFC Group will support the clients to access and spend their own money as determined.

At The OTFC Group employees and workers are not allowed to provide any financial advice or information other than that which would reasonably be required under the client's plan.

CONFLICT OF INTEREST POLICY

The OTFC Group is committed to manage conflicts of interest in an open and transparent manner at all levels in the organisation and comply with NDIS rules and other obligations.

“Conflict of interest occurs when an individual or a provider is in a position to exploit their own professional or official capacity for a personal or corporate benefit (other than in the usual course of charging fees for services or supports rendered).”*

* The NDIS Code of Conduct - 2018

A conflict of interest may affect the way a person acts, decisions they make or the way they vote on group decisions. We will ensure that each participant will be treated equally, and no participant will be given preferential treatment above another in the receipt or provision of supports.

The OTFC Group will act proactively to manage perceived and actual conflicts of interest through development and maintenance of organisational policies to ensure that personal or individual interests do not impact the organisation's services, activities, or decisions.

We also will:

- ensure our organisational or ethical values do not impede a client's right to choose and control
- manage, document and report on individual conflicts as they arise
- ensure that advice to a client about support options (including those not delivered directly by the Provider) is transparent and promotes choice and control
- Declaration and management of conflicts of interest are specifically required for the leadership team as part of their legal responsibilities

Declaration and management of conflicts of interest are specifically required for the leadership team as part of their legal responsibilities.

Our leadership team, employees, and workers:

- are always required to act in the interests of the organisation, and to notify the organisation when this conflicts with other interests or commitments
- will present each client with a range of choices about providers of supports and not only from The OTFC Group
- will not seek to influence the customer to select The OTFC Group
- will never accept any offer of money, gifts, services or benefits that would cause them to act in a manner contrary to the interests of any client (NDIS or not)
- must have no financial or other personal interest that could directly or indirectly influence or compromise the choice of The OTFC Group or provision of supports to the Participant
- may accept meals, drinks, or entertainment only if such courtesies are unsolicited, infrequently provided, and reasonable in amount (not more than \$50).

The OTFC Group will ensure that when providing services and supports to a client, any conflict of interest is declared, and any risks to the client are mitigated.

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

The OTFC Group has established an incident management system to be followed in identifying, managing, and resolving incidents. At the organisation and across all locations, we will identify, assess, manage, and resolve incidents that:

- have, or could have, caused harm to a person with a disability receiving supports or services; and
- acts by a person with a disability that happen in connection with the provision of supports or services and that have caused serious harm, or a risk of serious harm, to another person; and
- reportable incidents that are alleged to have occurred in connection with the provision of supports or services

We support and involve people with disability affected by an incident in resolving the incident and when any action is required and make copies of the documented system available to the participants, their family and support network appropriately.

Incidents may be identified through direct observation, discussion with participant and support network, practitioner self-reflection, complaints, audits, and reviews. Incidents may be identified at the time they occur or at any time after the event.

At the OTFC Group, we encourage and support any person to report any incidents including violence, abuse, neglect, exploitation, or discrimination during the services and supports.

Where violence, abuse, neglect, exploitation, or discrimination has occurred, the OTFC Group will respond promptly to protect the participant from any further harm.

If a reportable incident occurs or is alleged to have occurred (including any of the death, serious injury, abuse, or neglect, unlawful sexual or physical contact with, or assault of a NDIS participant, sexual misconduct committed against, or in the presence of, a participant, including grooming of the participant for sexual activity, the unauthorised use of the restrictive practice in relation to a NDIS participant), OTFC GROUP gives details about the incident to the Commissioner. Details of certain incidents (such as the death of a person with a disability) are notified within 24 hours, while others are notified within 5 business days. The Commissioner will be kept updated and provided with a final report.

As a registered NDIS provider, we have an incident management system to help:

- identify, record and manage incidents; and
- notify, investigate and respond to reportable incidents (more serious incidents); and
- identify systemic issues and drive improvements in the quality of the supports we deliver

The NDIS Quality and Safeguards Commissioner (Commissioner) oversees notifications of reportable incidents and our responses to these incidents. This oversight, combined with our compliance with this Policy, can reduce preventable deaths, serious injuries and other serious incidents through early intervention and capacity-building.

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

What is an “incident”?

For the purpose of this policy, “incidents” include acts, omissions, events or circumstances that:

- (a) occur in connection with providing supports or services to a person with disability; and
- (b) have, or could have, caused harm to the person with disability.

This policy also covers incidents that consist of acts by a person with disability that:

- (a) occur in connection with providing our supports or services to the person with disability; and
- (b) have caused serious harm, or a risk of serious harm, to another person.

The policy also covers incidents that are alleged by any person to have occurred in connection with us providing supports or services to a person with disability.

Incident Management System Procedures

All of our staff (including, without limitation, directors, managers, employees, volunteers and contractors) (collectively, Staff) must follow this Policy and the following procedures to identify, manage and resolve incidents,

(a) To whom must incidents be reported?

The Incident Officer

If the Incident Officer is not available for any reason, the incident should be reported directly to the CEO, Michelle Mennillo.

(b) Incident Reports: How are incidents identified, recorded, and reported?

(i) If, at any time, a Staff member becomes aware of an incident (including, for the avoidance of doubt, any alleged incident), he or she must:

- notify the Incidents Officer as soon as practicable, and in any event within one business day of becoming aware of the incident; and
- complete the Incident Form
- complete the Risk Assessment if it is a notifiable incident or if required

(ii) The requirement of Staff to notify the Incident Officer about an incident is mandatory and does not depend on whether the people involved make a formal complaint or allegation. Failure to notify the Incident Officer about an incident within the expected timeframe will be treated seriously and may result in disciplinary action against the Staff member(s) involved.

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

(iii) Upon receipt of an Incident Notification, the Incident Officer will act. The specific action taken by the Incident Officer will depend on all the facts and circumstances surrounding the incident, including the seriousness of the incident. In the normal course, the Incident Officer will:

- communicate promptly with the Staff member(s) who made the notification.
- use reasonable efforts to communicate with the people affected, including (if relevant) the person or people with disability who are affected or involved;
- investigate the incident, including the causes of the incident, its effect, and any operational issues that may have contributed to the incident occurring;
- assess each incident according to the incident Investigation principles set out below (the Incident Investigation Principles);
- take the appropriate action. This may include a range of responses depending on the facts and circumstances, including no further action, reporting to SAPOL, Safework SA (if required) or AON (insurance broker), an apology, or attempts to remedy or mitigate the effects of the incident;
- report in writing on the key outcomes of the investigation to the CEO. The Incident Officer may also make recommendations to the clinical management team with a view to reducing the occurrence of similar incidents in the future; and
- complete the Incident Notification for the incident and file it in the Incidents Register (as defined below)

Incident Investigation Principles

All incidents must be assessed by the Incident Officer. In assessing an incident, the Incident Officer must consider the following factors:

- (a) the views of persons with disability affected by the incident;
- (b) whether the incident could have been prevented;
- (c) how well the incident was managed and resolved;
- (d) what, if any, remedial action needs to be undertaken to prevent further similar incidents from occurring, or to minimise their impact; and
- (e) whether other persons or bodies need to be notified of the incident

Support and assistance

As a provider, we will provide reasonable support and assistance to persons with disability affected by an incident. As part of this process, we will include information about access to advocates such as independent advocates, to ensure their health, safety and wellbeing.

Involvement of person with a disability

We are committed to ensuring that persons with disability affected by an incident are involved in the management and resolution of the incident.

This policy must be provided to all clients.

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

The Incident Officer (or his/her delegate) must provide copies of this Policy, in an accessible form, to the following persons:

- (i) persons with disability receiving supports or services from us at the point that the person is “onboarded” as a client;
- (ii) the family members, carers, independent advocates and significant others of persons with disability receiving supports or services from us at the point that the person with disability is “onboarded” as a client; and
- (iii) each person employed or otherwise engaged by us at the point the person joins us as a Staff member.

The Incident Officer (and/or delegate) must assist each of the people referred to immediately above so that they understand how the system operates.

“Reportable incident reports” - for serious incidents

In this section “key personnel” means our Clinical Management Team, Operations Manager and CEO.

The Rules define “reportable incident”. In simplified terms, “reportable incident” means serious incidents, like:

- (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

If an incident (including an alleged incident) is a reportable incident (as defined in the Rules), the Incident Officer must notify the Commissioner as a high priority, within the very tight timelines set out in the Rules (as stated above).

If a reportable incident occurs (including the receipt of an allegation of a reportable incident), the Incident Officer and each of our key personnel must take all reasonable steps to ensure that the reportable incident is notified to the Commissioner:

- within the required timeframes; and
- in mode and forms required by the Rules

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

If a member of Staff becomes aware that a reportable incident has occurred in connection with the provision of our supports or services, the Staff member must notify the following people as soon as possible:

- (a) the key personnel;
- (b) their immediate supervisor or manager; and
- (c) the Incident Officer

The Incident Officer is primarily responsible for reporting all reportable incidents to the Commissioner in accordance with the Rules, but all Staff must do all reasonable things to assist the Incident Officer to comply with the Rules.

If a reportable incident occurs, the Incident Officer must notify the Commissioner in the form required by the Rules. Among other things, the notification must include:

- (a) our name and contact details;
- (b) a description of the reportable incident;
- (c) unless the person with disability has died - a description of the impact on, or harm caused to, the person with disability;
- (d) the immediate actions taken in response to the reportable incident, including actions taken to ensure the health, safety and wellbeing of persons with disability affected by the incident and whether the incident has been reported to police or any other body;
- (e) the name and contact details of the person making the notification;
- (f) if known - the time, date and place at which the reportable incident occurred;
- (g) the names and contact details of the persons involved in the reportable incident; and
- (h) any other information required by the Commissioner

The Incident Officer should give notice to the Commissioner in both written form and by telephone and, in any event, as required by the Rules.

There are some - very narrow - exceptions to these notification rules. For example, we may not be required to obtain, or notify the Commissioner of, certain information if obtaining the information would, or could reasonably be expected to:

- (a) prejudice the conduct of a criminal investigation; or
- (b) expose a person with disability to a risk of harm

It is essential for the Incident Officer, in consultation with the key personnel, to seek urgent legal advice if unsure whether he or she is under an obligation to provide the Commissioner with information about a reportable incident.

NDIS INCIDENT MANAGEMENT & REPORTABLE INCIDENTS SYSTEM POLICY & PROCEDURES

Keeping the Commissioner updated on significant new information about reportable incidents

If, after a reportable incident occurs, any member of Staff becomes aware of significant new information in relation to the reportable incident after we have made an initial report, and the significant new information:

- (i) is or relates to a change in the kind of reportable incident; or
- (ii) is a further reportable incident,

the Staff member must immediately notify his/her supervisor, the Incident Officer and the key personnel. We must notify the Commissioner of the significant new information as soon as reasonably practicable after becoming aware of the information and must give such notification in writing as set out in the Rules.

Final report requests

The Commissioner may require further written reports from us about reportable incidents. If the Commissioner requires such a report, we must abide by the direction in compliance with the Rules. The Incident Officer will oversee this process, but all staff must do everything reasonable to support us to comply with the rules.

Commissioner action

The Commissioner may take several actions pursuant to the Rules in respect of a reportable incident. The Incident Officer and the key personnel are responsible for ensuring that we satisfy our obligations under the Rules. Again, we may need to seek legal advice in respect of our rights and obligations under the Rules in this situation.

Incident records must be kept for statistical purposes

All incident reports, reportable incident reports and other documents relating to incidents or reportable incidents must be kept for at least 7 years from the day the record is made and may be retained for longer than 7 years if required by law. No information relating to an incident or reportable incident should be destroyed or disposed of without the prior written approval of the Incident Officer.

The Incident Officer must collect statistical and other information relating to incidents to enable us to:

- (a) review issues raised by the occurrence of incidents; and
- (b) identify and address systemic issues; and
- (c) report information relating to complaints to the Commissioner, if requested to do so by the Commissioner

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Procedural fairness

This Incident Management System requires that people are afforded procedural fairness when an incident or reportable incident is dealt with by the provider in accordance with the Rules.

All staff responsible for compliance and for completing mandatory training

The Incident Officer has the primary role and responsibility to oversee this Policy and to identify, manage and resolve incidents and to work with staff to prevent incidents from occurring. All staff must abide by this policy. The Incident Officer reports to the key personnel, who retain ultimate responsibility for overseeing compliance with this Policy.

Each person employed or otherwise engaged by us must comply with this Policy. Each person employed or otherwise engaged by us must complete training in the use of, and compliance with, this Policy and the rules.

Review of this Policy

Periodically, and at least annually, the key personnel and the Incident Officer must review the incident management system to ensure its effectiveness.

Main points

- At OTFC Group we do our best to help people. But sometimes, you, or someone else, might not be happy with us. For example, you might not be happy with some of our services and supports
- We are a registered National Disability Insurance Scheme (NDIS) provider. As such, you have the right to make complaints about our services and supports at any time
- If you want to make a complaint, we want to help you to make it quickly and easily, and without stress
- We will do our best to deal with any complaint fairly and quickly
- This document explains how to make a complaint to us, and to the NDIS Commissioner and others, about us
- The NDIS laws make us keep records about complaints so they can check that we are following the law and doing a good job for NDIS participants

Who can make a complaint?

Anyone. This includes people who are receiving supports or services from us. It also includes family members, carers, and other people. Anyone at all can make a complaint about our supports or services.

Do you have to give your name to make a complaint?

No. You can make a complaint anonymously.

How can you make a complaint?

We want to make sure it is as easy as possible for you to make your complaint.

We will give support and help to anyone who wants to make, or who has made, a complaint, about us.

To make a complaint, you can fill in our Complaint and Feedback Form found in the footer of the homepage of our website <https://otfcgroup.com.au/> under the Useful Links header.

Alternatively, you can make your complaint:

- by talking with us face-to-face;
- by calling us on the phone;
- through your preferred Augmentative or Alternative Communication device or method;
- by email; or
- by text message.

To protect your privacy, we do not recommend using social media like Facebook, Twitter or Instagram to make a complaint or complain via Google reviews.

NDIS PROVIDER COMPLAINTS MANAGEMENT & RESOLUTION SYSTEM

Can you ask someone for help to make a complaint about us?

Yes. You can have a family member, carer, friend, advocate, advisor, or any other person make the complaint for you.

Does your complaint have to be in English?

No. You can make your complaint in your preferred language and the OTFC GROUP will then get it translated.

Who should you contact to make a complaint?

So that we can respond to your complaint quickly and fairly, we suggest making or sending your complaint to our Complaints Officer:

Jo Cavallaro
Practice Manager
jo@otfc.com.au
(08) 84104522

If you would prefer not to contact our Complaints Officer for any reason, or if you cannot contact our complaints officer, you can make your complaint to any of our senior management or staff at each of the sites.

Can you report your complaint about us to anyone else?

Yes. You can also report your complaint to:

- the NDIS Commissioner;
- AHPRA

If you would like to do this, we will support you. For example, we will show you how to contact the right people at any of the above-mentioned organisations.

What will happen when you make a complaint? How do we ensure the process is fair?

To make sure everyone is treatment fairly, we will follow these steps for all complaints about our supports and services:

Step 1

We will send you an email in writing. The email will:

- tell you that we have received your complaint; and
- tell you what we are doing to investigate the complaint, when you can expect to hear from us, and who you can contact to discuss the complaint; and
- tell you and any person with a disability affected by the issue in your complaint how to raise the complaint with the NDIS Commissioner; and
- offer to help you to contact the NDIS Commissioner about the complaint

NDIS PROVIDER COMPLAINTS MANAGEMENT & RESOLUTION SYSTEM

(Note: If you make an anonymous complaint, we will not be able to do this because we won't know who you are.)

Step 2

We will assess your complaint. This means we will investigate your complaint by reviewing what happened, talking to you, NDIS participants, and any staff members who were involved, and looking at any documents or other records we have that might give us information about what happened.

Step 3

We will work with you to try to fix (resolve) the complaint. If appropriate, we will keep you involved in the resolution process. We will also keep you informed on the progress of the complaint, including any action taken. We will do our best to do this in a fair way that doesn't take too long. We will try to resolve your complaint within 21 business days. If this isn't possible, we will let you know why not in writing and give you an estimate of how long it will take for us to respond. (Note: If you make an anonymous complaint, we will not be able to do this because we won't know who you are.)

Step 4

We will respond appropriately to your complaint. Depending on the complaint and the results of our assessment and attempts to resolve the complaint, this may include a range of responses. For example, our response may be that:

- no further action is required; or
- you are owed an apology; or
- you are entitled to a part or full refund of fees; or
- we need to change our policies and procedures to ensure similar events don't happen again; or
- it would be appropriate for us to support you or another NDIS participant to transfer to a different provider (at our cost for the handover); or
- we undertake to ensure the staff involved receive additional training and/or supervision, as appropriate

We will tell you our decision and the reasons for our decision. (Note: If you make an anonymous complaint, we will not be able to do this because we won't know who you are.) We will also make sure that any recommended improvements or changes are put into place.

At each stage in the process, we will do our best to make sure everyone is treated fairly. This is called "procedural fairness".

What if you are unhappy about our decision?

If you are not satisfied with our response to your complaint, let us know and our Complaints Officer will try to schedule a time to meet with you to discuss your ongoing concerns with a view to resolving the matter in a friendly way.

NDIS PROVIDER COMPLAINTS MANAGEMENT & RESOLUTION SYSTEM

If you are not happy with our response, you have other options. You can take your complaint to:

- the NDIS Commissioner; and/or
- Health & Community Services Complaints Commissioner (HCSCC)

We will help you to contact the right people at these organisations (if you would like us to) or use this contact:

More information about making a complaint to the NDIS Commissioner, HCSCC or AHPRA

NDIS Commissioner:

<https://www.ndiscommission.gov.au/about/complaints-feedback/complaints>

HCSCC:

<https://www.hcsc.sa.gov.au/making-a-complaint/>

Complaints commissioner details

Post: PO Box 199, Rundle Mall, Adelaide SA 5000

In Person: L4 East Wing, 50 Grenfell Street, Adelaide SA 5000

Telephone: 1800 232 007

Email: info@hcsc.sa.gov.au

Online Form: <https://www.hcsc.sa.gov.au/making-a-complaint/raise-a-complaint-with-hcsc/>

AHPRA:

<https://www.ahpra.gov.au/Notifications/Concerned-about-a-health-practitioner.aspx>

Will your complaint affect how you and others are treated by us?

Absolutely not. Your complaint will not affect the care we give you or anyone else.

Will your complaint be treated confidentially?

Yes. We will only share the information in your complaint if the law makes us share it, or if we need to for risk management purposes (e.g., if we need to contact our insurer or a regulator).

For example, in some cases, a complaint may require us to notify a regulator, professional body, and/or an insurer, e.g., if your complaint includes allegations of criminal, or professional misconduct, or leads us to anticipate a claim for compensation or other litigation. This may become clear only after we have completed our preliminary investigation of your complaint.

How long will we keep records of your complaint?

We are required by law to keep appropriate records of all complaints received in our capacity as a NDIS provider for at least 7 years from the date a record is made. These include, where appropriate:

- information about complaints;
- any action taken to resolve complaints; and
- the outcome of any action taken

NDIS PROVIDER COMPLAINTS MANAGEMENT & RESOLUTION SYSTEM

We are also required by law to collect complaints-related information to enable us to review issues raised in complaints, identify, and address systemic issues raised through the complaint's management and resolution process and, if requested, to report information relating to complaints to the NDIS Commissioner. Please note, in some cases, State and/or Territory health records laws require us to keep information that constitutes health records for longer than 7 years. We must follow these laws, too.

Review of Complaints Management and Resolution System

This system will be reviewed periodically - at least once a year – to ensure it is effective.

Status of this Document

This policy is intended to document this provider's complaints management and resolution system as required by the National Disability Insurance Scheme (Complaints Management and Resolution) Rules 2018.

Distribution of this Document

This policy forms part of the provider's compliance system. A copy is provided to:

- each person with a disability receiving support or services from the OTFC GROUP, and their family, carers, and advocates (as appropriate); and
- each person employed or otherwise engaged by us (our staff). Each staff member is trained in this process as part of their staff induction

Who is responsible for making sure this system is followed?

Each staff member of the provider must comply with the system as documented in this policy. This policy forms part of the provider's compliance system with respect to the NDIS.

The Complaints Officer has primary responsibility for training all provider staff to comply with the requirements of this system, including making sure clients and others are aware of their rights to complain. The Complaints Officer also has primary responsibility for the oversight and review of the complaints management and resolution system.

On all matters relating to the system and complaints, generally, the Complaints Officer reports to senior management of the provider, including Dino Mennillo (Clinical Director) and Olivia Zoia (Operations Manager) who bears ultimate responsibility for setting the objectives of the system and monitoring compliance.

Thank you

Complaints (and compliments) give us useful information about the quality of our services. Resolving complaints in a friendly way gives us the opportunity to improve our services and to learn from our mistakes. We take all complaints very seriously and will work hard to address and resolve them efficiently to your satisfaction as set out in this policy.

FEEDBACK FORM

Please complete the below complaint & feedback form and submit either in person or by post (if you wish to remain anonymous) to Complaints Officer Jo Cavallaro at 7 Unley Road, Parkside SA 5063, or by email to jo@otfc.com.au

Please insert in the envelope provided at reception if submitting in person.

Name (optional)		
NDIS number		
What is your feedback about? Please give us as much detail as possible. If you do not have enough space, you can give us more detail on a different piece of paper.		
Who is your Feedback about?		
What would you like the outcome to be?		
Can a member of the leadership team call you about this feedback?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have any documents you would like to share with us about your feedback?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Have you provided this feedback to another organisation (e.g., to the NDIS Commissioner)?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide details of the other organisation and any outcomes:	
If you are providing feedback on behalf of someone else, please fill in this section:	Name (optional)	
	Relationship to the complainant	
	Does the complainant know you are making a complaint?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Does the complainant consent to the complaint	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Email address	
	Mobile phone number	
	Address:	

PROVIDER CONTACT DETAILS

We appreciate the opportunity to improve the quality of services we provide here at OTFC Group.

Provider Name	OTFC CORPORATE SERVICES PTY LTD
Trading Name	OTFC GROUP PTY LTD
CEO	Michelle Mennillo
Clinical Director	Dino Mennillo
Operations Manager	Jeff Martin
OTFC Group Contact	Jo Cavallaro
Email	jo@otfcgroup.au
Phone	(08) 8168 8600
Address	7 Unley Road, Parkside SA 5063 254 Waymouth Street, Adelaide SA 5000 13 Rosslyn Street, Mile End South SA 5031 29 Jellett Road, Berri SA 5343 2/314 Burleigh Connection Road, Burleigh Heads QLD 4220 Level 1, 15 Cochranes Road, Moorabbin VIC 3189