ABN: 14 658 901 289

Company Name: Hope Disability Support Pty Ltd

A picture containing text, tableware, dishware, plate

Description automatically generated

Hope Disability Support Pty Ltd’s Policy and Procedure Manual

April 2022

TABLE OF CONTENTS

[1.1 GOVERNANCE POLICY AND PROCEDURE 8](#_Toc87445521)

[**2.** **Purpose** 8](#_Toc87445522)

[**3.** **Roles and Responsibilities** 8](#_Toc87445523)

[**4.** **Scope of this policy** 9](#_Toc87445524)

[**5.** **Definitions** 9](#_Toc87445525)

[**6.** **NDIS Practice Standards** 9](#_Toc87445526)

[**7.** **Other Relevant Documentation and Legislation** 9](#_Toc87445527)

[**8.** **Procedures** 9](#_Toc87445528)

[**9.** **Policy Review** 18](#_Toc87445529)

[1.2 INFORMATION AND COLLECTION MANAGEMENT POLICY 19](#_Toc87445530)

[**1.** **Overview** 19](#_Toc87445531)

[**2.** **Purpose** 19](#_Toc87445532)

[**3.** **Scope of this Policy** 19](#_Toc87445533)

[**Consent** 19](#_Toc87445534)

[**Storage and use of information** 20](#_Toc87445535)

[**3rd parties** 21](#_Toc87445536)

[**Security of Information** 21](#_Toc87445537)

[**Breaches of Privacy** 21](#_Toc87445538)

[**Complaints** 21](#_Toc87445539)

[**4.** **Definitions** 22](#_Toc87445540)

[**5.** **NDIS Practice Standards** 22](#_Toc87445541)

[**6.** **Other Relevant Documentation and Legislation** 22](#_Toc87445542)

[**7.** **Policy Review** 22](#_Toc87445543)

[1.3 CONFLICT OF INTEREST POLICY 24](#_Toc87445544)

[**1.** **Overview** 24](#_Toc87445545)

[**2.** **Purpose** 24](#_Toc87445546)

[**Actions or Behaviours to Avoid** 25](#_Toc87445547)

[**2.** **Scope of this policy** 29](#_Toc87445548)

[**3.** **Definitions** 29](#_Toc87445549)

[**4.** **NDIS Practice Standards** 29](#_Toc87445550)

[**5.** **Other Relevant Documentation and Legislation** 29](#_Toc87445551)

[**6.** **Employee Agreement** 30](#_Toc87445552)

[**7.** **Policy Review** 30](#_Toc87445553)

[1.4 DELEGATIONS OF AUTHORITY POLICY 32](#_Toc87445554)

[**1.** **Overview** 32](#_Toc87445555)

[**2.** **Purpose** 32](#_Toc87445556)

[**3.** **Roles and Responsibilities** 32](#_Toc87445557)

[**4.** **Scope of this policy** 32](#_Toc87445558)

[**5.** **Definitions** 32](#_Toc87445559)

[**6.** **NDIS Practice Standards** 33](#_Toc87445560)

[**7.** **Other Relevant Documentation and Legislation** 33](#_Toc87445561)

[**8.** **Policy Review** 33](#_Toc87445562)

[2.1 HUMAN RESOURCES POLICY 36](#_Toc87445563)

[**1.** **Overview** 36](#_Toc87445564)

[**2.** **Purpose** 36](#_Toc87445565)

[**3.** **Roles and Responsibilities** 36](#_Toc87445566)

[**4.** **NDIS Practice Standards** 38](#_Toc87445567)

[**5.** **Scope** 38](#_Toc87445568)

[**6.** **Definitions** 39](#_Toc87445569)

[**7.** **Relevant Legislation, Regulations, Rules and Guidelines** 39](#_Toc87445570)

[**8.** **Procedures** 40](#_Toc87445571)

[**9.** **Policy Review** 49](#_Toc87445572)

[3.2 COVID 19 PANDEMIC MANAGEMENT POLICY 51](#_Toc87445573)

[**1.Overview** 51](#_Toc87445574)

[**2.** **Purpose** 51](#_Toc87445575)

[**3.** **Roles and Responsibilities** 51](#_Toc87445576)

[**4.** **NDIS Practice Standards** 52](#_Toc87445577)

[**5.** **Relevant Legislation, Regulations, Rules and Guidelines** 52](#_Toc87445578)

[**6.** **Definitions** 52](#_Toc87445579)

[**7.** **Procedures** 53](#_Toc87445580)

[**8.** **Relevant Legislation, Regulations, Rules and Guidelines** 61](#_Toc87445581)

[**Links to External Supporting Documents** 62](#_Toc87445582)

[**9.** **Policy Review** 62](#_Toc87445583)

[2.3 WORK HEALTH AND SAFETY POLICY 64](#_Toc87445584)

[**1.Overview** 64](#_Toc87445585)

[**2.** **Policy Aims** 64](#_Toc87445586)

[**3.** **NDIS Practice Standards** 64](#_Toc87445587)

[**4.** **Scope** 64](#_Toc87445588)

[**5.** **Definitions** 64](#_Toc87445589)

[**6.** **Policy** 66](#_Toc87445590)

[**1. Duties of Hope Disability Support Pty Ltd** 66](#_Toc87445591)

[**2.** **Duties of workers** 68](#_Toc87445592)

[**3.** **Others at the Workplace** 70](#_Toc87445593)

[**4.** **Duties of other people (including visitors)** 70](#_Toc87445594)

[**7.** **Unacceptable Conduct Process** 71](#_Toc87445595)

[**8.** **Work Health and Safety Risk Management Process** 74](#_Toc87445596)

[**9.** **Procedures** 81](#_Toc87445597)

[**10.** **Relevant Legislation, Regulations, Rules and Guidelines** 87](#_Toc87445598)

[**11.** **Policy Review** 87](#_Toc87445599)

[3.1 IMPLEMENTING BEHAVIOUR SUPPORT POLICY 89](#_Toc87445600)

[**1. Overview** 89](#_Toc87445601)

[**3** **Purpose** 89](#_Toc87445602)

[**4** **Roles and responsibilities** 89](#_Toc87445603)

[**5** **Definitions** 90](#_Toc87445604)

[**6** **Scope of this policy** 90](#_Toc87445605)

[**7** **NDIS Practice Standards** 90](#_Toc87445606)

[**8** **Other Relevant Documentation and Legislation** 90](#_Toc87445607)

[**9** **Procedures** 91](#_Toc87445608)

[**10** **Policy Review** 96](#_Toc87445609)

[3.2 CHOICE AND ADVOCACY POLICY 98](#_Toc87445610)

[**1. Overview** 98](#_Toc87445611)

[**2.** **Purpose** 98](#_Toc87445612)

[**3.** **Roles and Responsibilities** 98](#_Toc87445613)

[**4.** **Definitions** 98](#_Toc87445614)

[**5.** **Scope of this policy** 99](#_Toc87445615)

[**6.** **NDIS Practice Standards** 99](#_Toc87445616)

[**7.** **Other Relevant Documentation and Legislation** 99](#_Toc87445617)

[**8.** **Procedures** 99](#_Toc87445618)

[**9.** **Policy Review** 106](#_Toc87445619)

[3.3 RESPECTING CLIENTS POLICY 108](#_Toc87445620)

[**1.Overview** 108](#_Toc87445621)

[**12.** **Purpose** 108](#_Toc87445622)

[**13.** **Roles and Responsibilities** 108](#_Toc87445623)

[**14.** **Definitions** 109](#_Toc87445624)

[**15.** **Scope of this policy** 109](#_Toc87445625)

[**16.** **NDIS Practice Standards** 109](#_Toc87445626)

[**17.** **Other Relevant Documentation and Legislation** 109](#_Toc87445627)

[**18.** **References** 110](#_Toc87445628)

[**19.** **Policy Review** 110](#_Toc87445629)

[3.4 CLIENT PRIVACY POLICY 111](#_Toc87445630)

[**1.Overview** 111](#_Toc87445631)

[**2.** **Purpose** 111](#_Toc87445632)

[**3.** **Roles and Responsibilities** 111](#_Toc87445633)

[**4.** **Scope of this policy** 112](#_Toc87445634)

[**5.** **Definitions** 112](#_Toc87445635)

[**6.** **NDIS Practice Standards** 112](#_Toc87445636)

[**7.** **Other Relevant Documentation and Legislation** 112](#_Toc87445637)

[**8.** **Policy Review** 113](#_Toc87445638)

[3.5 PROPERTY POLICY 114](#_Toc87445639)

[**1.Overview** 114](#_Toc87445640)

[**2.** **Purpose** 114](#_Toc87445641)

[**3.** **Roles and Responsibilities** 114](#_Toc87445642)

[**4.** **Definitions** 115](#_Toc87445643)

[**5.** **Scope of this policy** 115](#_Toc87445644)

[**6.** **NDIS Practice Standards** 115](#_Toc87445645)

[**7.** **Other Relevant Documentation and Legislation** 115](#_Toc87445646)

[**8.** **Policy Review** 116](#_Toc87445647)

[3.5 CLIENT DIVERSITY POLICY 117](#_Toc87445648)

[**1.Overview** 117](#_Toc87445649)

[**2.** **Purpose** 117](#_Toc87445650)

[**3.** **Roles and Responsibilities** 117](#_Toc87445651)

[**4.** **Definitions** 118](#_Toc87445652)

[**5.** **Scope of this policy** 118](#_Toc87445653)

[**6.** **NDIS Practice Standards** 119](#_Toc87445654)

[**7.** **Other Relevant Documentation and Legislation** 119](#_Toc87445655)

[**8.** **Procedures** 119](#_Toc87445656)

[**9.** **Policy Review** 123](#_Toc87445657)

[**1. Overview** 124](#_Toc87445658)

[**2.** **Purpose** 124](#_Toc87445659)

[**3.** **Roles and Responsibilities** 124](#_Toc87445660)

[**4.** **Definitions** 124](#_Toc87445661)

[**5.** **Scope of this policy** 125](#_Toc87445662)

[**6.** **NDIS Practice Standards** 125](#_Toc87445663)

[**7.** **Other Relevant Documentation and Legislation** 125](#_Toc87445664)

[**8.** **Policy Review** 125](#_Toc87445665)

[3.7 QUALITY MANAGEMENT AND CONTINUOUS IMPROVEMENT POLICY 127](#_Toc87445666)

[**1.Overview** 127](#_Toc87445667)

[**2.** **Purpose** 127](#_Toc87445668)

[**3.** **Roles and Responsibilities** 127](#_Toc87445669)

[**4.** **Definitions** 128](#_Toc87445670)

[**5.** **Scope of this policy** 128](#_Toc87445671)

[**6.** **NDIS Practice Standards** 128](#_Toc87445672)

[**7.** **Procedures** 128](#_Toc87445673)

[**8.** **Other Relevant Documentation and Legislation** 134](#_Toc87445674)

[**9.** **Policy Review** 134](#_Toc87445675)

[3.8 MANAGEMENT OF RISKS POLICY 136](#_Toc87445676)

[**1. Overview** 136](#_Toc87445677)

[**2. Purpose** 136](#_Toc87445678)

[**3. Roles and Responsibilities** 136](#_Toc87445679)

[**4.NDIS Practice Standards** 137](#_Toc87445680)

[**5.Relevant Legislation, Regulations, Rules and Guidelines** 137](#_Toc87445681)

[**6. Scope of this Policy** 137](#_Toc87445682)

[**7.Definitions** 137](#_Toc87445683)

[**8.** **Procedure** 138](#_Toc87445684)

[**9.** **Policy Review** 142](#_Toc87445685)

[3.9 PROVISION OF SUPPORTS POLICY 144](#_Toc87445686)

[**1.Overview** 144](#_Toc87445687)

[**2.** **Purpose** 144](#_Toc87445688)

[**3.** **Scope of this policy** 144](#_Toc87445689)

[**4.** **Access** 144](#_Toc87445690)

[**5.** **Definitions** 147](#_Toc87445691)

[**6.** **NDIS Practice Standards** 148](#_Toc87445692)

[**7.** **Procedure** 148](#_Toc87445693)

[**8.** **Other Relevant Legislation and Documents** 161](#_Toc87445694)

[**10.** **Policy Review** 161](#_Toc87445695)

[3.10 INCIDENT MANAGEMENT AND REPORTING POLICY 163](#_Toc87445696)

[**1.Overview** 163](#_Toc87445697)

[**2.** **Purpose** 163](#_Toc87445698)

[**3.** **Roles and responsibilities** 163](#_Toc87445699)

[**4.** **Definitions** 164](#_Toc87445700)

[**5.** **Scope of this policy** 165](#_Toc87445701)

[**6.** **NDIS Practice Standards** 166](#_Toc87445702)

[**7.** **Procedures** 166](#_Toc87445703)

[**8.** **Other Relevant Documentation and Legislation** 172](#_Toc87445704)

[**9.** **References** 172](#_Toc87445705)

[**10.** **Policy Review** 173](#_Toc87445706)

[3.11 COMPLAINTS AND FEEDBACK POLICY 174](#_Toc87445707)

[**1.Overview** 174](#_Toc87445708)

[**2.** **Purpose** 174](#_Toc87445709)

[**3.** **Roles and responsibilities** 174](#_Toc87445710)

[**4.** **Definitions** 175](#_Toc87445711)

[**5.** **Scope of this policy** 175](#_Toc87445712)

[**6.** **NDIS Practice Standards** 175](#_Toc87445713)

[**7.** **Procedure** 176](#_Toc87445714)

[**8.** **Other Relevant Documentation and Legislation** 177](#_Toc87445715)

[**9.** **Policy Review** 178](#_Toc87445716)

**SECTION 1**

**GOVERNANCE AND MANAGEMENT**

# 1.1 GOVERNANCE POLICY AND PROCEDURE

1. **Overview**

Hope Disability Support Pty Ltd is committed to the principles of Good Governance to ensure the effectiveness of the organisation to deliver care and services to its clients.

These principles include:

* Accountability
* Transparency
* Operating within the law, relevant regulations and standards at all times
* Being responsive to participants needs
* Being Inclusive and providing resources equitably
* Providing best value by operating at all times effectively and efficiently
* Effectively encouraging consumer and worker participation at all levels of the organisation

These principles are enabled within the organisation through a framework of policies, procedures, meetings, communication and support for an inclusive and open culture that enables staff within the organisation to deliver high quality services.

## **Purpose**

1. The Board of Hope Disability Support Pty Ltd will ensure good governance by taking responsibility for the mission and vision of the organisation, in keeping with its constitution.
2. Identifying and managing risks, and
3. monitoring the effectiveness of the organisation and the Board itself.

In its deliberations and operations, the Board of Hope Disability Support Pty Ltd will at all times support a culture of acceptance of diversity in the participants and staff of the organisation.

## **Roles and Responsibilities**

The Board of Hope Disability Support Pty Ltd has the ultimate legal responsibility for the service.

They also have responsibility for:

* 1. The development of strategy, setting goals and pursuing the mission and vision set for the organisation
  2. Accountability for making sure the organisation meets its obligations, manages finances appropriately and operates transparently.
  3. Managing and monitoring the allocation of resources across the organisation
  4. Advocating for the organisation and its stakeholders to the community and other bodies as appropriate.
  5. Managing and monitoring the performance and standards of practice across the organisation in line with its legal and constitutional obligations
  6. Identifying, managing, and monitoring risks

The Board may delegate responsibility for some of its responsibilities to Key Management Personnel as detailed in the Delegation of Authority documentation.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors, and volunteers.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned:

* <https://www.legislation.gov.au/Details/F2018L00629>
* Contractor Registration Form
* Company Constitution

## **Procedures**

These procedures are intended to clarify governance responsibilities in line with the Constitution of Hope Disability Support Pty Ltd by making explicit the underlying principles of governance approved by the organisation.

1. **Duties of directors of Hope Disability Support Pty Ltd**

Each director of Hope Disability Support Pty Ltd must comply with their duties as a director of Hope Disability Support Pty Ltd to govern the company on behalf of the shareholders or members. The four main duties of directors under the *Corporations Act 2001 (Cth)* include:

* + 1. (**Care and diligence**) – This duty requires a director to act with the degree of care and diligence that a reasonable person might be expected to show in the role.
    2. (**Good faith**) – This duty requires a director to act in good faith in the best interests of the company and for a proper purpose, including to avoid conflicts of interest, and to reveal and manage conflicts if they arise.
    3. (**Not to improperly use position**) – This duty requires directors to not improperly use their position to gain an advantage for themselves or someone else, or to the detriment to the company.
    4. (**Not to improperly use information**) – This duty requires directors to not improperly use the information they gain during their director duties to gain an advantage for themselves or someone else, or to the detriment to the company.

In addition to the four basic duties discussed above, other significant duties and responsibilities under the *Corporations Act 2001 (Cth)* include:

* + 1. (**Insolvent trading**) – Directors have a duty to ensure that a company does not trade whilst insolvent or where they suspect it might be insolvent.
    2. (**Financial information**) – Directors should take reasonable steps to ensure that a company complies with its obligations in the *Corporations Act 2001 (Cth)* related to the keeping of financial records and financial reporting.
    3. (**Disclosing directors’ interests**) – Directors should disclose matters relating to the affairs of the company in which the director has a material personal interest.
    4. (**Lodging information with ASIC**) – Directors are required to lodge certain material information with ASIC in accordance with the *Corporations Act 2001 (Cth)*.

**RESPONSIBILITY**: The board

1. **Skills and knowledge of directors of Hope Disability Support Pty Ltd**

In addition, all directors of Hope Disability Support Pty Ltd must:

* + 1. be fully up to date with what the company is doing.
    2. confidently perform the specified roles and duties set out in this Policy and Related Documentation.
    3. seek professional advice from people outside the organisation as necessary.
    4. question managers and staff members about how the business is going. and
    5. actively participate in board meetings and not be merely a ‘rubber stamp’.

**RESPONSIBILITY**: The board

1. **Understanding of and compliance with company Constitution and**

***Corporations Act 2001 (Cth)***

* + 1. Ensure understanding of and compliance with the company’s Constitution and *Corporations Act 2001 (Cth)* which provides the basic organisational structure and rules by which Hope Disability Support Pty Ltd is governed.
    2. Without limiting section 4.1(a), ensure regular board meetings and an AGM is held as required by the Constitution and the Corporations Act 2001 (Cth).

**RESPONSIBILITY**: The board

1. **Understand and monitor compliance with applicable legislation and NDIS provider registration requirements**

Ensure understanding of and monitor compliance by Hope Disability Support Pty Ltd, the Principal, Key Management Personnel, and workers’ compliance with:

1. applicable legislation.
2. Hope Disability Support Pty Ltd Policies and Related Documentation.
3. the conditions of registration stated on Hope Disability Support Pty Ltd’s certification of registration as a registered NDIS provider.
4. the [NDIS Practice Standards](https://www.ndiscommission.gov.au/providers/ndis-practice-standards) in respect of the services and supports provided by Hope Disability Support Pty Ltd.
5. the [NDIS Code of Conduct](https://www.ndiscommission.gov.au/providers/ndis-code-conduct).
6. the Feedback and [Complaints Management and Resolution](https://www.ndiscommission.gov.au/providers/complaints-management) system established under the Hope Disability Support Pty Ltd Feedback and Complaints Management Policy.
7. the [incident management](https://www.ndiscommission.gov.au/providers/incident-management-and-reportable-incidents) system established under the Hope Disability Support Pty Ltd Incident Management and Reporting Policy. and [worker screening](https://www.ndiscommission.gov.au/providers/worker-screening) requirements

**RESPONSIBILITY**: The board

1. **Desirable skills and knowledge required for Principal and Key Management Personnel to govern effectively**

Ensure the Principal and Key Management Personnel collectively have or develop the following skills or knowledge to govern effectively:

* + 1. Leadership skills.
    2. Financial and bookkeeping knowledge.
    3. Secretarial skills.
    4. Information Technology and use of practice management software.
    5. Business Skills and Marketing.
    6. Knowledge of issues regarding and impacting on people with a disability.
    7. Knowledge and understanding of applicable legislation.
    8. Develop Hope Disability Support Pty Ltd Policies and Related Documentation.
    9. Knowledge and understanding of the conditions of registration stated on Hope Disability Support Pty Ltd certification of registration as a registered NDIS provider.
    10. Knowledge and understanding of the [NDIS Practice Standards](https://www.ndiscommission.gov.au/providers/ndis-practice-standards) in respect of the services and supports provided by Hope Disability Support Pty Ltd in particular those NDIS Practice Standards which fall under the Core Module.
    11. Knowledge and the ability to administer the [NDIS Code of Conduct](https://www.ndiscommission.gov.au/providers/ndis-code-conduct).
    12. Management of the Feedback and [Complaints Management and Resolution](https://www.ndiscommission.gov.au/providers/complaints-management) system established under the Hope Disability Support Pty Ltd Feedback and Complaints Management Policy.
    13. Management of the [incident management](https://www.ndiscommission.gov.au/providers/incident-management-and-reportable-incidents) system established under the Hope Disability Support Pty Ltd Incident Management and Reporting Policy. and

1. Management and oversight of [worker screening](https://www.ndiscommission.gov.au/providers/worker-screening) requirements.
2. Monitoring and overseeing day-to-day operations, including ensuring that good management practices and appropriate checks and balances are in place.
3. Maintaining organisational integrity and service delivery quality.
4. Implementing a performance management process for all staff which includes monitoring the performance of staff on an ongoing basis and conducting performance reviews in accordance with the Human Resources Management Policy.
5. Developing goals and objectives for business growth and prosperity.
6. Designing and implementing business plans to promote the attainment of goals.
7. Ensuring the service has the adequate and suitable resources to complete its activities (e.g., people, material, equipment, etc.).
8. Organising and coordinating operations to ensure maximum productivity.
9. Supervising the work of workers and provide feedback and counsel to improve efficiency and effectiveness.
10. Maintaining relationships with clients, carers, families, suppliers, community, industry and government.
11. Gathering, analysing and interpreting external and internal data to facilitate continuous improvement.
12. Assessing overall service performance against the goals and objectives set out in the Business Plan.
13. Ensuring adherence to all NDIS and applicable legal requirements and guidelines.

(aa) Coordinating periodic internal reviews or audits to monitor quality and ensure that compliance procedures are followed.

(bb) Identifying compliance issues that require follow up or investigation. (cc) Filing appropriate reports with the NDIS Commission, NDIA and

applicable external bodies.

(dd) Sourcing and implementing software and technology to adequately support the company’s operations and provide oversight and monitoring in all required areas.

(ee) Providing assistance to internal or external auditors in compliance reviews.

(ff) Preparing management reports regarding compliance operations and progress.

(gg) Discussing emerging compliance issues with staff. and

(hh) Reporting Reportable Incidents, violations of compliance or regulatory standards to the relevant government agencies as required.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Keep financial records**
   * 1. Keep adequate records of all accounting and financial transactions sufficient to enable Hope Disability Support Pty Ltd to compile financial statements if required under the *Corporations Act 2001 (Cth)* and as otherwise may be required to comply with taxation law.
     2. Use financial and accounting software to facilitate compliance with section 4.5(a) and to support both current and future business practice, including individual invoicing and claiming.
     3. Ensure financial records are retained for at least 7 years (after the end of each financial year).
     4. Prepare and ensure that the directors of the company are provided with sufficient management and financial information and reports to allow them to:
        1. monitor the conduct of the business of the company.
        2. compile financial statements and otherwise comply with their obligations under the Corporations Act and other applicable legislation.
        3. comply with their duties as directors of Hope Disability Support Pty Ltd.
        4. pass a solvency resolution.
        5. form a view in relation to whether Hope Disability Support Pty Ltd has the resources required to meet the company’s financial, legislative, regulatory and contractual responsibilities and to deliver Hope Disability Support Pty Ltd’ and supports to participants in accordance with its business and strategic plans.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Monthly management meetings**
   * 1. Ensure monthly management meetings are held on a consistent basis and cover the matters specified in the Management Meeting Agenda.
     2. Ensure Minutes of Meeting of each Management Meeting are recorded and retained.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Engage company accountants**
   * 1. Continue to maintain engagement with its accountants to ensure professional advisory support is provided to Hope Disability Support Pty Ltd in relation to compliance with and monitoring of all material financial legislation, regulations and standards affecting Hope Disability Support Pty Ltd.
     2. Ensure all things reasonably required by or recommended by Hope Disability Support Pty Ltd’s accountants are implemented.
     3. Take a diligent and intelligent interest in the financial information provided by the accountants, to understand that information, and apply an inquiring mind.

**RESPONSIBILITY**: The board

1. **Prepare Strategic Business Plan and Budget**
2. Manage the preparation and ensure that the directors of Hope Disability Support Pty Ltd are provided with a budget for each 12-month period of each financial year ending on 30 June each calendar year.
3. Manage adherence to budgets approved by the directors.
4. Ensure that the directors of the company are supported in the development of a Strategic Business Plan for each 5-year period ending on 30 June, prior to the start of that period.
5. Use reasonable endeavors to adhere to the last Strategic Business Plan approved by the directors of the company.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Review the Strategic Business Plan and Budget**
2. In conjunction with the Principal and Key Management Personnel develop and monitor the Strategic Plan.

The Strategic Plan should include:

* + an outline of the organisation’s purpose, vision, values, objectives and performance indicators.
  + consider legislative requirements, organisational risks, other requirements related to operating under the NDIS (for example requirements of the NDIA and related guidance), participants’ and workers’ needs and the wider organisational environment.

1. Ensure the Strategic Plan considers legislative requirements, organisational risks, other requirements related to operating under the NDIS (for example Agency requirements and guidance), participants’ and workers’ needs and the wider organisational environment.

**RESPONSIBILITY**: The board

1. **Risk Management**

Review and monitor the effectiveness of risk management and compliance in the organisation including pursuant to the Work Health and Safety Policy, Risk Management Policy and Risk Management Plan.

**RESPONSIBILITY**: The board

1. **Policies and Procedures**

Review and approve Policies and Procedures and monitor the Principal and Key Management Personnel’s performance against them.

**RESPONSIBILITY**: The board

1. **Establish and monitor the performance of delegates**
2. Monitor the performance of the Principal and Key Management Personnel as the senior managers of the organisation and delegates of the board.
3. Establish and approve a written delegation which authorises the principal as the delegate of the board in relation to the conduct of the day-to-day management and operations of Hope Disability Support Pty Ltd and provides authority to the remaining Key Management Personnel (collectively) in the absence of the principal.
4. Monitor performance of the Principal, Key Management Personnel, and management to drive continuous improvement in management practices.

**RESPONSIBILITY**: The board

1. **Welcome feedback in relation to Governance and operational management**
2. Create an environment where all feedback is valued including from Clients (including persons with disability), workers and others in relation to:
   1. the governance and operational management of Hope Disability Support Pty Ltd.
   2. the development of organisational policy and processes relevant to the provision of supports. and
   3. the protection of participant rights.
3. Welcome feedback (including anonymously) and promptly deal with it pursuant to the Feedback and Complaints Management and Resolution Policy.
4. Actively consult with workers, Clients, their support networks, and other stakeholders to continually improve in delivering good governance and operational management of Hope Disability Support Pty Ltd.
5. Conduct an annual survey of all workers, Clients, their support networks, and other stakeholders and ask them to suggest areas for improvement in relation to the governance of Hope Disability Support Pty Ltd.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Quality Management and Continuous Improvement**
2. Ensure implementation of improvement actions in accordance with the Continuous Improvement Register.
3. Ensure sufficient resources are budgeted to allow for improvement actions in accordance with the Continuous Improvement Register.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Conflict of Interest Policy**

Ensure all perceived and actual conflicts of interest are proactively managed and documented in accordance with the Conflict of Interest Policy.

**RESPONSIBILITY**: The board

1. **Organise training for directors**

Organise for directors to obtain external training in the duties of their position and their role as directors of Hope Disability Support Pty Ltd.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Policy adoption**

Adopt and maintain the Policy and Related Documentation which assists Hope Disability Support Pty Ltd to deliver high quality care to its clients. Monitor and respond to NDIS Quality Indicators relevant to the Governance and Operational Management of Hope Disability Support Pty Ltd.

**RESPONSIBILITY**: The board

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

|  |
| --- |
| 1.2 INFORMATION AND COLLECTION MANAGEMENT POLICY |

## **Overview**

Hope Disability Support Pty Ltd is committed to providing optimal quality care and services to participants, this includes respecting the information we collect and a participant right to privacy and confidentiality.

Information will be collected and managed in keeping with the requirements of the Privacy Act 1988 (Cth).

Only such information that is required to deliver the participants service in keeping with their agreement will be collected.

Information will only be accessed by staff who have a need to access such information to provide services.

## **Purpose**

In order to provide services to participants of Hope Disability Support Pty Ltd it is necessary to collect sensitive and personal information. All efforts will be made to limit collection to what is absolutely required.

Explanation of the use of this information will be made in a manner and type which the participant can understand and therefore give informed consent.

## **Scope of this Policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors, and volunteers. It covers all personal and confidential information collected in any way by any person working for or associated with Hope Disability Support Pty Ltd.

### **Consent**

Before information is collected about a participant the participant will be notified and will need to give consent to collection, use and disclosure of their information to third parties where necessary by using the:

1. Privacy Consent Form

and the

1. Service Agreement between the participant and Hope Disability Support Pty Ltd

Such agreements, and the consent, collectively informs participants about the circumstances where their information could be disclosed.

Such agreements and discussions will also include circumstances where information may be provided without their consent if required by law.

1. Participants may withdraw their consent at any time. Should this occur then every effort should be used to inform the participant of the outcomes of such a withdrawal and that it will generally not be possible to provide them with the services as set out in their agreement with the organisation.

### **Storage and use of information**

Information may be held by Hope Disability Support Pty Ltd in the following formats:

* Paper documents (hard copies) including files in secure drawers and cabinets. Some of which may be stored off site at a secure facility.
* Digital formats including within electronic databases and email contact lists.

Hope Disability Support Pty Ltd has systems and processes in place to manage information in keeping with the Australian Privacy Principles.

Staff induction includes information about access to and the management of personal and confidential information of participants.

This includes:

* Ensuring accuracy of all information
* Limiting the amount of information kept as paper documents (hard copy)
* Securing storage of such information both digitally using individual passwords and the use of secure drawers, cabinets and off-site facilities.
* Carrying and managing confidential information of participants in their transport to and from participants, and in participants residences.
* The importance of maintaining confidentiality and privacy whilst having conversations in places where other people may hear or access such information.
* Disposing of information securely when necessary.

When a client ceases being provided with care and services by Hope Disability Support Pty Ltd their digital and paper files are archived.

Any information that is not required to be kept by law is deidentified and destroyed.

If a client transfers to another provider, they can request that specific parts of their file and the required information is transferred to the new provider.

Access to any archived files is limited.

Participants can request access to their file which will be granted under management supervision.

### **3rd parties**

Hope Disability Support Pty Ltd may, where consent has been given, share information with third parties.

This includes but is not limited to:

* Relevant funding bodies,
* Federal and State Government Departments
* Advocates and people with the authority to act on the participants behalf
* Financial organisations
* Contracted service providers required to support service delivery to the participant

Hope Disability Support Pty Ltd may also receive personal information from third parties

### **Security of Information**

Hope Disability Support Pty Ltd takes the management of the security of information we collect seriously. We comply with the Australian Privacy Standards and include the following steps to maintain security of information at all times.

* Protection of access to digital information through encryption, passwords, firewalls, and anti-virus software.
* All systems are consistent with HIPA guidelines for the safe storage of information in Australia. They are compliant and backed up off site into a secure cloud storage system.
* Policies and procedures are in place to ensure only those with a need to access information can and that they understand their obligations.
* Training and education are provided to new workers and as a refresher annually.

### **Breaches of Privacy**

Breaches of privacy are reported and managed through Hope Disability Support Pty Ltd Incident management system.

Each breach will be risk rated and managed accordingly with major breaches requiring notification to the Office of the Australian Information Commissioner, the NDIS Commission and the Department of Health and Human Services within 1 business day.

Where there has been any breach of a participant’s privacy the participant will be informed and be kept informed of any rectification measures put in place in keeping with both our complaints and incident policies and procedures.

### **Complaints**

Complaints about a breach of privacy may be made by participants, their families or any other person, including workers, who feel a person’s information has been shared inappropriately.

This will be managed as a complaint through Hope Disability Support Pty Ltd Feedback and Complaints management system.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **Personal information** means information or an opinion (whether true or not and whether recorded in a material form or not) about an individual who is identified or reasonably identifiable from the information.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1 & 2

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

|  |
| --- |
| 1.3 CONFLICT OF INTEREST POLICY |

## **Overview**

Hope Disability Support Pty Ltd is committed to identifying and reducing areas where a conflict of interest may occur and affect the care of a participant.

We are committed to ensuring participants support is overseen by unbiased robust governance and operational management systems.

## **Purpose**

To enable the Board and workers of Hope Disability Support Pty Ltd to effectively identify and manage potential or actual conflicts of interest.

* + 1. Hope Disability Support Pty Ltd and its Workers are required to perform the duties and activities of their position with the highest level of integrity and independence, in a professional and ethical manner.
    2. They must avoid or eliminate any conflict of interest or situation that could reasonably be perceived as a conflict of interest and immediately report it to their manager, or the Board chairman as appropriate.
    3. Although this policy details certain behaviours that may lead to a conflict of interest or the appearance of a conflict of interest, it is impossible to anticipate all situations that could lead to one.
    4. Employees may also inadvertently find themselves in a situation that leads to or could be perceived as a conflict of interest. These need to be discussed with their manager, or the Board chairman as appropriate and disclosed where necessary.
    5. When providing support to clients under the NDIS, any conflict of interest should be declared so as to reduce any risks to participants.
    6. Compliance with this policy is a condition of employment. Failure to comply with these provisions may result in disciplinary action, up to and including termination of employment.
    7. The organisation and its workers will not (by act or omission) constrain, influence or direct decision-making by a person with a disability and/or their family so as to limit that person’s access to information, opportunities, and choice and control.
    8. The organisation and its workers will ensure that Hope Disability Support Pty Ltd proactively manages perceived and actual conflicts of interest in service and support delivery. Workers will:
       1. manage, document and report on both organisational and individual conflicts as they arise, and
       2. that any advice to a client about support options (including those not delivered directly by Hope Disability Support Pty Ltd is transparent and promotes choice and control.

### **Actions or Behaviours to Avoid**

Below are a range of situations, behaviours or events that should be avoided at all costs by the Board, employees, managers or other contractual third parties engaging in business with Hope Disability Support Pty Ltd.

* 1. **Personal Interest**

Employees must ensure that no conflict exists or could appear to exist between their personal interests and those of Hope Disability Support Pty Ltd potential competitors, customers, partners, vendors, suppliers or other business entities in which you have a direct or indirect financial interest.

Employees, Managers and Board members must not:

* Take part in or attempt to influence any Hope Disability Support Pty Ltd decision or any business dealings with a current or potential competitor, customer, partner, vendor, supplier or other business entity in which you have a direct or indirect financial interest.
* Use the premises or equipment, supplies or services of other employees to Hope Disability Support Pty Ltd to promote their personal interests.
* Use confidential information for their personal benefit during or after employment with Hope Disability Support Pty Ltd
* Be in a position where they could benefit directly or indirectly from a Hope Disability Support Pty Ltd business transaction (e.g., supplier of goods or services, contract. License or partnership)
* Give preferential treatment to any supplier or other person doing business with Hope Disability Support Pty Ltd to service their personal interests.
* Invest in, own, have an interest in, or be an employee of an organisation that might have an interest direct or indirect in any Hope Disability Support Pty Ltd commercial transaction, except in the case of a widely held public company whose dealings with Hope Disability Support Pty Ltd do not represent a substantial portion of its total business.

This should not be read as an exhaustive list of all circumstances that could lead to a real or perceived conflict of interest.

* 1. **Family Friends and Romantic Relationships**

Employees and managers must not:

* Use their position or contacts at Hope Disability Support Pty Ltd to promote their personal interests or those of a family member or person with whom they have a close personal or professional relationship.
* Take part in or attempt to influence any Hope Disability Support Pty Ltd related decision or business dealings (including those concerning current or potential customers, partners, vendors or suppliers) that may benefit or appear to benefit a relative, close personal friend or a business enterprise in which a relative or close personal friend is involved or has a direct or indirect financial interest.
* Hope Disability Support Pty Ltd generally does not permit work situations where a manager directly or indirectly manages a relative or a person with whom he/she has a romantic relationship. If you are aware that Hope Disability Support Pty Ltd plans to hire your relative or a person for a position with whom you have a romantic relationship that directly or indirectly reports to you, you must disclose that information immediately
* If, during the course of your employment, a romantic relationship develops between you and another Hope Disability Support Pty Ltd employee within your direct or indirect reporting chain, you both must promptly disclose that information. Although employees involved in a consensual relationship are individually responsible for disclosure, a manager's failure to report such a relationship will be grounds for appropriate disciplinary action.
  1. Relationships and Favouritism

Employees shall not grant or appear to grant preferential treatment to a person with whom they have a close personal or professional relationship. In some situations, past relationships may also give rise to a perceived conflict of interest and should be treated as such.

If an employee is in a situation where he or she could make a decision (e. g. hiring, evaluation, discipline, promotion, reward, any other form of discretionary control or the awarding of a contract) involving, directly or indirectly, a person with whom he or she has a close personal or professional relationship, the employee must:

* Disclose the potential conflict to his/her manager
* Refer the decision to the manager or someone designated by him/her
* Refrain from making any recommendations or conveying views related to the decision.

In addition, if an employee is in a position of authority over a person with whom he or she has a close personal or business relationship, the manager must change the hierarchical relationship between the employee and that person. The manager may also take other measures to reduce the appearance of conflicts of interest, if necessary.

* 1. **Outside Business Activities**

Employees are permitted to engage in outside employment or activities as long as they inform their manager prior to starting such activity, and to the extent that.

* It does not compete with or reflect adversely on Hope Disability Support Pty Ltd or give rise to a conflict of interest.
* It does not engage in any outside activity that is likely to involve disclosure of Hope Disability Support Pty Ltd’s proprietary information or that is likely to divert time and attention from your responsibilities at Hope Disability Support Pty Ltd.
* It could not be reasonably perceived as compromising the integrity, independence and impartiality expected from Hope Disability Support Pty Ltd or bring Hope Disability Support Pty Ltd into disrepute.
* It does not inappropriately exploit the employee’s connection with Hope Disability Support Pty Ltd.
* It does not restrict your availability or efficiency.
* It does not involve acting as a spokesperson for another organisation.
* Employees are permitted to act as board members of an organisation external to Hope Disability Support Pty Ltd if their participation meets the criteria above, and if authorized by their manager beforehand. You cannot serve as a board member or technical advisor of a competitor or of a company that may reasonably be expected to become a competitor
* Employees may be permitted to write books or work on other creative projects that are not in competition with Hope Disability Support Pty Ltd as long as they respect the criteria for outside activities mentioned above and obtain prior written authorization from their manager.

You are not required to seek approval of the following activities:

* Any affiliation with a trade association, professional association or other such organization related to your work or position at Hope Disability Support Pty Ltd
* Participation in non-profit civic or charitable activities, including serving as a member of a board of directors or technical advisory board. However, you must obtain approval if the entity is an Hope Disability Support Pty Ltd customer or expects to receive or seek a contribution from Hope Disability Support Pty Ltd
* Positions with co-op boards, condominium associations and similar entities where the sole purpose of such participation would be to hold title to and/or manage real property in which you can or do reside.
* Positions with holding companies, trusts or other non-operating entities established solely for purposes of you or your family’s investment, estate or tax planning or to hold you, your family’s real estate or other investments that would not otherwise require disclosure under this policy.

If the manager considers the outside activity to be inappropriate, considering the criteria mentioned above, it must inform the employee in writing and the employee must avoid, discontinue, or modify his/her participation in such activities accordingly.

Disclosures and their assessment by the manager must be documented.

* 1. Gifts Hospitality and Other Benefits

Accepting a gift, a benefit or an offer of hospitality for oneself or for a colleague, family member or friend can lead to uncomfortable situations or to real or perceived conflicts of interest.

Employees may occasionally accept unsolicited gifts, hospitality, free travel, tickets, or invitations to sports or entertainment events (e.g., baseball/football game, round of golf, theatre show or concert) or other benefits. It is also permitted to occasionally accept a working meal of reasonable value paid for by a third party.

However, employees must not accept gifts, hospitality, free travel, tickets, or invitations to sports or entertainment events or any other benefits:

* That could influence, or be perceived to influence, their judgment and/or their performance of duties.
* That are offered by a business partner and/or supplier of goods or services involved in an active request for proposal, sole source contract procedure or contract discussions, or in the six months following such a process, or as soon as they know such a process will begin in the near future.
* That are offered by a business partner and/or supplier whose performance the employee is evaluating.
* That are cash, loans, discounts or work rendered free of charge for personal purposes.
* If the total value of what has been received from the same source within a 12-month period would exceed $[SPECIFY].

In circumstances where refusing a gift worth more than $200 would prove rude or problematic, an employee is permitted to accept it. however, it becomes the property of Hope Disability Support Pty Ltd > and must be handed over to the employee’s manager, who must decide how best to dispose of it.

Employees must also refuse invitations to a conference or other formal gathering not mentioned above, organized or sponsored by an external party, a supplier, potential supplier or business partner, unless their manager determines that their attendance at such an event would not compromise or appear to compromise the objectivity, independence, impartiality or integrity of the employee of Hope Disability Support Pty Ltd

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standards 1 & 2

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>
* Conflict of Interest Declaration
* Policy Register
* Conflict of Interest Register

## **Employee Agreement**

I have read, understand, and agree to comply with the foregoing policy, rules, and conditions governing the Conflicts of interest policy.

I have registered any conflicts of interest that I am aware of.

I am aware that violations of this policy may subject me to disciplinary action, including termination from employment, legal action and criminal liability. Furthermore, I understand that this policy can be amended at any time.

DATED:

EMPLOYEE Hope Disability Support Pty Ltd

Authorised Signature Authorised Signature

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

|  |
| --- |
| 1.4 DELEGATIONS OF AUTHORITY POLICY |

## **Overview**

In order to successfully manage the responsibilities of the operation of the organisation the Board of Hope Disability Support Pty Ltd has agreed to delegate some of its authority as listed in the Delegations Register.

This is to ensure high quality and consistent service deliverability to its clients in keeping with its duties and obligations.

## **Purpose**

* The Board of Hope Disability Support Pty Ltd delegate day to day responsibility to the CEO who has been appointed by the Board.
* This delegation is in keeping with the specific responsibilities and scope as set out in the CEO position description as agreed to by the incumbent.
* The CEO may in turn delegate some or all of their duties and responsibilities to other qualified persons as they see fit. This includes creating roles specifically to meet such responsibilities.
* The CEO has a responsibility to document all such decisions in the Delegations register and to ensure all persons are aware of and able to perform the delegated responsibilities.

## **Roles and Responsibilities**

The Register of Delegations sets out the functions as delegated and to whom. This register is reviewed annually by the Board.

Persons with delegated authority are to sign their understanding of the delegations and this is to be reviewed and resigned annually.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 2 & 3

* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* Delegations Register

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

**SECTION 2**

**Human Resource Management Procedure**

# HUMAN RESOURCES POLICY

## **Overview**

As a people-oriented organisation Hope Disability Support Pty Ltd relies heavily on people to deliver its services and supports to the community. In order to achieve high quality and excellence in service we are committed to effectively supporting and managing our human resources.

## **Purpose**

Hope Disability Support Pty Ltd is committed to supporting and managing its human resources to enable:

1. each participant’s support to be overseen by workers who are:
   * Competent
   * Hold relevant qualifications
   * Have relevant expertise
   * Have relevant experience
   * Committed to providing person centred care and support
   * Committed to providing care in an ethical and non-discriminatory way
2. all clients have access to timely and appropriate support without interruptions

## **Roles and Responsibilities**

* 1. **General**
     1. **Hope Disability Support Pty Ltd** has a human resource management system that complies with relevant State and Commonwealth Legislation
     2. Workers are valued, supported and recognised for their contribution to the successful outcomes for the organisation and its clients
     3. Hope Disability Support Pty Ltd provides a workplace that is safe, equitable and encourages staff to participate
     4. Unacceptable conduct is not tolerated
     5. Flexible and supportive working conditions are provided in line with legislation.
     6. Hope Disability Support Pty Ltd acknowledges that properly trained workers are an asset to our business and the clients we serve.
     7. Hope Disability Support Pty Ltd supports workers by providing relevant training and development opportunities in keeping with their roles.
  2. **Recruitment and Selection**
     1. Hope Disability Support Pty Ltd recruits’ workers to reflect the diversity of the clients we provide services to.
     2. All positions at Hope Disability Support Pty Ltd have a detailed position description which enables workers to be clear on their duties and responsibilities.
     3. All workers meet Australian work requirements and are screened prior to appointment.
     4. Information about workers in relation to their employment with Hope Disability Support Pty Ltd is kept confidential and stored in a human resources file.
  3. **Induction and Orientation**
     1. Hope Disability Support Pty Ltd conducts regular induction and orientation sessions to ensure all workers are familiar with their responsibilities, the organisations purpose and processes
     2. The orientation process includes the mandatory NDIS worker orientation program.
  4. **Leave**
     1. Hope Disability Support Pty Ltd encourages staff to take leave regularly and in line with their entitlements.
     2. Leave requests are managed and rostered to ensure continuity of service and support for the participants of our service.
  5. **Training and Development**
     1. All employees undertake a performance plan 3 months after commencing with us and then annually. This documented plan includes formal feedback and a discussion of development opportunities.
     2. Hope Disability Support Pty Ltd maintains a training system to identify, plan, facilitate, record and evaluate the effectiveness of training and education for workers and to ensure that each worker meets and exceeds the essential and desirable skills and required knowledge of their position and the needs of each client. The system identifies training that is mandatory and includes training in relation to staff obligations under the NDIS Practice Standards and other National Disability Insurance Scheme rules (as relevant to the worker).
     3. Workers and Hope Disability Support Pty Ltd collaborate to build a continuous professional development (CPD) culture. That is:
        1. the worker’s and the principal’s collective responsibility to seek new learning opportunities for the worker.
        2. the principal’s responsibility to coach workers and identify development needs to facilitate any development activities and processes.

An employee assistance programme is available to all workers. Workers are supported in their roles with appropriate resources and supervision where necessary.

All workers are closely supervised and supported when starting a new position at Hope Disability Support Pty Ltd.

* 1. **Continuity of Supports**
     1. Hope Disability Support Pty Ltd has a system to manage planned and unplanned absences. This assists to effectively avoid disruption and ensure continuity of supports.
     2. Wherever possible in the event of worker absence or vacancy, a suitably qualified and/or experienced person performs the role.
     3. Supports are planned with each client to meet their specific needs and preferences. These needs and preferences are documented and provided to workers prior to commencing work with each participant to ensure the participant's experience is consistent with their expressed preferences.
     4. Arrangements with agencies are in place to ensure support is provided to the client without interruption throughout the period of their Service Agreement.
     5. Where changes or interruptions are unavoidable, alternative arrangements are explained and agreed with the participant.
     6. Where applicable, disaster preparedness and planning measures are in place to enable continuation of critical supports before, during and after a disaster or critical incident

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standards 1 & 2

Standard 1 Rights and Responsibilities

Standard 2 Organisational Governance & Operational Management

## **Scope**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **Definitions**

* **Client** means a client of Hope Disability Support Pty Ltd
* **Legislation Register** means the register of legislation, regulations, rules and guidelines maintained by Hope Disability Support Pty Ltd
* **Policy Register** means the register of policies of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management, or their delegate, of Hope Disability Support Pty Ltd
* **Related Documentation** has the meaning given to that term in Section 1.1.
* **Worker** means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Hope Disability Support Pty Ltd and includes the Principal and Key Management Personnel. **Worker Competency** means a worker who has been trained and assessed as competent by a person deemed suitably skilled by Hope Disability Support Pty Ltd to safely and appropriately perform a specified task as a worker.
* **Key Management Personnel** means key management personnel involved in Hope Disability Support Pty Ltd.

## **Relevant Legislation, Regulations, Rules and Guidelines**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned:

* <https://www.legislation.gov.au/Details/F2018L00629>
* Business Plan
* Disability Support Worker
* Exit Interview Form
* HR Performance Appraisal
* Internal Audit Sheet
* Interview Report Pro Forma
* Letter of Engagement Casual Employee
* Management Meeting Agenda
* Position Description Template
* Position Description Template CEO
* Potential Staff Reference Check Form
* Pre-Employment Collection Form
* Staff Exit Checklist
* Staff File Checklist
* Staff Induction Checklist
* Staff Performance Improvement Plan
* Support Coordinator Position Description
* Training and Development Register
* Worker Declarations Form

## **Procedures**

**1. Purpose**

Create an environment and culture where workers are:

* Treated fairly and with respect.
* Provided with resources and supports to keep them safe in their working environments

Support a culture and an environment where unacceptable behaviour is not tolerated and is managed according the Hope Disability Support Pty Ltd (Hope Disability Support Pty Ltd) Health and Safety Policy.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Recruitment and Selection**

Appointing the right person with the right skills for each available position is at the core of our recruitment. We adhere to legislation and Hope Disability Support Pty Ltd’s policies in relation to the equity of recruiting and appointing workers. Information throughout the process is strictly confidential with only those people with a need to know informed.

* 1. **Advertisement of Vacant positions** will use a broad range of methods and media, and comply with the relevant legislation and include:
* Title and summary of the role
* Key performance indicators
* Essential and desirable criteria
* Application process
* Contact details
* Closing date of the application
* Position description
* Internal or local advertising will apply where:
  + - the vacancy is for a short period of time
    - not appointing a worker will significantly impact on providing a service or continuity of a service or support

an internal candidate meets the requirements and has satisfactory performance.

* **Acknowledgement in writing** that Hope Disability Support Pty Ltd has received a candidate’s application is to be made
* **Interviews are conducted** where the essential and desirable criteria meet the requirements of the organisation and the available skilled worker mix.
* **Evidence of qualifications** are to be provided prior to commencement. Where there is any doubt about the authenticity of qualifications, these are to be checked with the training organisation.
* **Reference checks** are conducted as part of the selection process. No person should be offered a position without at least two reference checks being conducted. Referees should be from supervisors of the candidate
* . **Screening checks** are to be completed or verified prior to the commencement of employment.
* **Remuneration** is to be decided at or before an offer is made.
* **Successful applicants** will receive acknowledgement in writing
* **A three (3) month probationary period** beginning at the commencement of employment, is to be communicated to the successful candidate. A performance review will occur at the conclusion of the probationary period

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Induction and orientation**
   1. An orientation pack is provided on or before the commencement of employment, The pack includes information about their role, including expectations, and supports they will be offered. Each new employee will be given a copy of the Fair Work Information Statement (the FWIS). [Fair Work Information Statement](https://www.fairwork.gov.au/sites/default/files/migration/724/Fair-Work-Information-Statement.docx).Casual employees are to be given a copy of the Casual Employment Information Statement (the CEIS) <https://www.fairwork.gov.au/employment-conditions/national-employment-standards/casual-employment-information-statement> The FWIS provides new employees with information about their conditions of employment and includes

* the [National Employment Standards](https://www.fairwork.gov.au/taxonomy/term/402)
* right to request flexible working arrangements
* modern awards
* making agreements under the Fair Work Act 2009
* individual flexibility arrangements
* freedom of association and workplace rights (general protections)
* termination of employment
* right of entry
* the role of the Fair Work Ombudsman and the Fair Work Commission.
  1. New employees will attend the Hope Disability Support Pty Ltd induction program. The induction and orientation process includes training on worker obligations under the **NDIS Practice Standards**, other National Disability Insurance Scheme rules, the NDIS Code of Conduct and the conditions of registration for Hope Disability Support Pty Ltd’s registration as a registered NDIS provider and as applicable to each worker’s position and profession.
  2. As part of the orientation and induction process, each worker must complete the mandatory NDIS worker orientation program and the Department of Health COVID-19 Infection Control Training.
  3. Policies that each worker will receive, outline Hope Disability Support Pty Ltd’s expectations for each worker providing supports and services to participants.
* Human Resource Management Policy
* Promoting and Protecting Rights Policy
* Choice, Advocacy and Control Policy
* Conflict of Interest Policy
* Diversity Policy
* Preventing and Responding to Violence, Abuse, Neglect, Exploitation and Discrimination Policy
* Privacy and Dignity Policy
* Quality Management and Continuous Improvement Policy
* Risk Management Policy
* Work Health and Safety Policy
* Feedback and Complaints Management Policy
* Incident Management and Reporting Policy
* Provision of Supports Policy
* Services Agreement
* Support Plan
* Participant Money and Property Policy

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Supervision of personnel**

Principal and Key Management Personnel will ensure that workers undertake a program of supervision that includes the following:

* A two (2) week introduction to the service and the role requirements through a buddy or shadow system
* Close supervision and support will be available for the first three (3) months of the probationary period. This may continue until such time as the Principal or Key Management Personnel are confident in the worker’s abilities
* Appropriate supervision, support (coaching and mentoring) and resources are available to workers relevant to the scope and complexity of services and supports delivered, upon request or where the Principal or Key Management Personnel identifies the need. Coaching and mentoring
* Regular ongoing evaluations of workers and management will be made and stored in personnel records

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Training and development**

Training will be provided with respect to the rights of participants and Hope Disability Support Pty Ltd policies:

Hope Disability Support Pty Ltd promotes training and development further worker competency and job satisfaction. Employees are entitled to training and development as follows:

Formal training sessions (internal or external). Workers will be required to participate in mandatory training initially and then annually as organised by Hope Disability Support Pty Ltd including, but not limited to.

* + NDIS Practice Standards and applicable Rules
  + the rights of participants
  + Hope Disability Support Pty Ltd’s processes applicable to the worker’s position and profession as below,
* [Human Rights and You e-Learning Program](https://www.nds.org.au/events-and-training/nds-training/human-rights-and-you-e-learning-program-2781)
* [Disability Safe eLearning Program](https://www.nds.org.au/events-and-training/all-events-and-training/disability-safe-elearning-program-3536)
* [Preventing and Responding to Violence, Abuse, Neglect and](https://www.nds.org.au/events-and-training/nds-training/respond-to-suspected-abuse-3467) [Exploitation](https://www.nds.org.au/events-and-training/nds-training/respond-to-suspected-abuse-3467)
* [Work With Diverse People](https://www.nds.org.au/events-and-training/nds-training/work-with-diverse-people-2509)
* [Disability Aware: An awareness and inclusion program](https://www.nds.org.au/events-and-training/nds-training/disability-aware-an-awareness-and-inclusion-program-2515)
* [COVID-19: What it is and how to prevent spread](https://www.nds.org.au/events-and-training/nds-training/covid-19-what-it-is-and-how-to-prevent-spread-3534)
* Infection control
* [Supported Decision Making (e-Learning module)](https://www.nds.org.au/events-and-training/nds-training/supported-decision-making-e-learning-module-3039)
* [Work Health and Safety (WHS) awareness and duty of care](https://www.nds.org.au/events-and-training/nds-training/work-health-and-safety-whs-awareness-and-duty-of-care-3460)
* [Back Yourself: Unpacking manual tasks](https://www.nds.org.au/events-and-training/nds-training/back-yourself-unpacking-manual-tasks-3459)
* [Disability at Work 2020](https://www.nds.org.au/events-and-training/conferences/disability-at-work-2020-3494),
  1. **Training obligations**

Workers must undertake at least 10 hours of National Disability Services (NDS) online training and courses, unless they are enrolled in another disability related professional development course that is approved

If a worker is unable to attend or complete training obligations as determined by Hope Disability Support Pty Ltd, they must inform Hope Disability Support Pty Ltd immediately. If there is a fee attached to the training, Hope Disability Support Pty Ltd will decide if the worker is required to pay any cancellation or other fees.

In cases where the external training includes an **examination or assessment** component, Hope Disability Support Pty Ltd must be provided with the proof of the results in the event a worker does not pass a required training course, they will need to pay any fees with sitting the assessment again.

Approval for professional development will be considered by management in relation to cost, time out from work, individual needs and organisational requirements.

Where Hope Disability Support Pty Ltd agrees to pay the costs of external training, this may be done directly or indirectly. If the worker pays for a course and Hope Disability Support Pty Ltd has agreed to fully or partially fund, then personnel will send invoices or receipts to Hope Disability Support Pty Ltd for the agreed amount. The principal will approve employee reimbursement according to this information

**Records of training** will be kept on personnel files. Individuals are encouraged to keep a record of their own training so it can be verified by the organisation.

**Evaluation of training** undertaken will be made to ensure that the content and delivery is meeting requirements. Improvements to training will be made and documented.

Personnel are encouraged to offer suggestions to management for training and development for consideration

* 1. **Training offered**
* Approved conferences
* On-the-job training, including shadow shifts
* Job rotation
* Subscriptions and educational material shared to workers. This includes subscriptions to NDIS Issues and National Disability Service (NDS.org.au), and the NDIS Quality and Safeguards Commission Provider Alerts
* Personnel may request management for other subscription(s) that will benefit the organisation
* Specific training for personnel where improvements to performance and competency is required
* Training to obtain new qualifications, skills or knowledge relevant to the role or as a result of a change to role

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Remuneration (pays) and payroll obligations** 
   1. **Payments**

Employees are paid by electronic funds transfer to their nominated financial institution. Payment is made fortnightly or monthly depending on the position.

**Superannuation contributions** are made by the employee in accordance with the *Superannuation Guarantee (Administration) Act 1992 (Commonwealth)*. Employees are required to elect a complying superannuation fund for payments within two (2) weeks of commencement, otherwise, the organisation will elect a complying fund.

**Hope Disability Support Pty Ltd** complies with relevant **PAYG withholding** and remittance obligations and other legislated payroll obligations.

Personnel will be provided with a pay slip outlining details of payments, leave accrual, leave taken, rate of pay and the amount of pay pre- and post-tax, and superannuation payments. Pay slips will comply with requirements according to Fair Work Australia (FWA)

* 1. **Record keeping**

Payroll information is provided and kept according to Fair Work Australia (refer to Record keeping and Payslips, (<https://www.fairwork.gov.au> )

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Leave**

All leave must be applied for using the appropriate Hope Disability Support Pty Ltd Disability form. The form must then be signed by the principal who is responsible for arranging cover and other administrative tasks the organisation requires to maintain continuity of supports.

**RESPONSIBILITY**: All workers

1. **Annual leave** 
   1. Annual leave is available according to Fair Work Act 2009 (Cth) and other applicable workplace legislation: Full time permanent employees are entitled to 4 weeks annual leave. part time permanent employees accrue annual leave on a pro rata basis. Casual employees are not entitled to annual leave
   2. Employees must provide at least 6 weeks’ notice if they take more than one week of annual leave. For leave of less than one week, employees must provide one month’s notice. Applications for leave are to be made on the leave form and approved by management. Employees are expected to take their annual leave entitlement within 12 months of it falling due.
   3. Annual leave is to be taken at a mutually agreed time between the employee and Hope Disability Support Pty Ltd. The continuity of operations is paramount to the operations of Hope Disability Support Pty Ltd and as such annual leave may need to be negotiated if there are insufficient workers available. Requests for leave may be refused in these circumstances but discussions will always occur before this step is taken.
   4. Hope Disability Support Pty Ltd takes its responsibility to keep a safe work environment seriously and as such requires workers to take the leave that is allocated to them. Employees must not accrue large amounts of leave unless by prior approval has been obtained. Where employees have accrued a significant amount of annual leave, 6 weeks or greater, then Hope Disability Support Pty Ltd may direct an employee to take an amount of annual leave that reduces the outstanding balance to 4 weeks. If this occurs, then the employee will be provided with at least one month’s notice of this requirement.

**RESPONSIBILITY**: All workers

1. **Personal leave**
   1. Personal leave is in accordance with the Fair Work Act 2009 (Cth) and other applicable workplace legislation: Full time employees are entitled to 10 days personal leave for each year of service with unused personal leave accumulated from year to year. Part time employees accrue personal leave on a pro rata basis. Casual employees are not entitled to personal leave.
   2. Details of personal leave entitlements can be found in the applicable Award at on the Fair Work Australia website.
   3. Employees are required to notify management by phone of their unavailability at the earliest opportunity
   4. On returning to work from personal leave, employees must complete a leave form, and have it approved by management who is responsible for ensuring it is approved and recorded in payroll system.
   5. Hope Disability Support Pty Ltd may require the employee to produce satisfactory evidence (approved health practitioner certificate or Statutory Declaration) for absences:

**RESPONSIBILITY**: All workers

1. **Other Leave**
   1. **(Long Service Leave)** is accrued in accordance with relevant State Legislation.
   2. Long Service Leave is available to be taken once an employee has accrued a pro rata entitlement in accordance with relevant state and Commonwealth legislation. The minimum amount to be taken is 4 weeks.
   3. 3 months’ notice of an employee’s intention to take Long Service Leave is required.
   4. (**Compassionate leave**) Subject to applicable laws, employees are entitled up to 2 days paid compassionate leave per occasion to spend with a family or household member who has sustained a life-threatening illness or injury or in the event of death.
   5. Employees may be required to substantiate with suitable documentation their reasons for their taking Compassionate leave.
   6. (**Parental leave**) Employees with more than 12 months service with Hope Disability Support Pty Ltd immediately prior to the birth or expected date of birth of their child are entitled up to 12 months unpaid parental leave.
   7. Parental leave is available to both parents in a relationship including de facto and same sex couples.
   8. Eligible fathers / partners are also entitled to up to 2 weeks paid Dad and Partner pay in the event of birth or adoption (paid by the government).
   9. Hope Disability Support Pty Ltd does not offer extra paid leave that is not government funded.
   10. Parents are entitled to up to 12 months unpaid leave, but such leave can only be taken by one parent at a time in a single continuous period, except as provided in (d) below.
   11. Such parental leave is only available if the employee has or will have responsibility for the care of the child.
   12. An employee may take up to 3 weeks unpaid parental leave at the same time as their partner immediately after the birth of their child and no later than 6 weeks after the birth.
   13. The mother can commence unpaid parental leave up to 6 weeks prior to the expected date of birth.
   14. The partner can commence unpaid parental leave after the birth of the child.
   15. Parental Leave must be requested at least 12 weeks prior to the intended start date. The request should clearly outline start and end dates.
   16. The mother must confirm in writing at least 8 weeks prior to their scheduled return to work that they are returning to work.
   17. The employee is entitled to return to their former position, or if that position no longer exists, an available position that is closest in status and pay to their former position and for which they are qualified and suited to perform.

**RESPONSIBILITY**: All workers

1. **Annual Performance Reviews**

Hope Disability Support Pty Ltd conducts annual performance reviews for each employee and other workers. During these reviews, the worker is required to fill out a self-evaluation form provided to them by Hope Disability Support Pty Ltd and arrange a meeting with the principal to conduct the formal review. Through the formal discussion, the principal aims to:

* + Discuss the workers performance
  + Discuss support for their career and work with Hope Disability Support Pty Ltd
  + identify any areas for support to improve.

Performance reviews apply to workers who have completed their probation period.

Any training needs identified will be discussed and a training plan will be developed.

On-the-job training, job shadowing, and other training methods may also be used to support employee growth and development.

(**Frequent communication**) the principal will meet with each employee and other workers at least once per fortnight to provide feedback and talk about their work and motivations.

It is the principal’s responsibility to:

* + Set clear objectives
  + Provide useful feedback
  + Keep workers involved
  + Maintain accurate records of conversations and any plans developed

**RESPONSIBILITY**: All workers

1. **Managing unsatisfactory performance and workplace behaviour**
   1. Where the performance of an employee or a worker delivering support or services does not meet a satisfactory standard, the first step taken should be informal counselling. Hope Disability Support Pty Ltd will provide the employee with details of the non-performance and an opportunity to improve within a set timeframe. Any support required to assist the employee should be discussed.
   2. Where informal counselling does not produce the required outcomes, a more formal process will be entered into. This may involve a performance management plan that documents the issues and actions to be taken and review timeframes.

Hope Disability Support Pty Ltd will ensure that the process is fair.

This includes ensuring that:

* the standards of conduct or job performance are made clear to the worker
* the worker is advised of the process
* the worker is permitted to have a support person present
* the worker has an opportunity to respond.

(**Informal strategies**) Depending on the nature and seriousness of the instance of underperformance, it may be adequate for the principal to address underperformance via informal strategies before embarking on a formal disciplinary process with the worker.

Informal strategies may include:

* Providing regular constructive feedback and monitoring performance.
* Identifying training and development needs and arranging appropriate on or off-the-job training, coaching or support.

(**Formal meeting**) If the informal steps have been followed and performance has not improved or if the performance issues require a more serious intervention, a formal meeting to discuss underperformance will be held between Hope Disability Support Pty Ltd and the worker.

Common reasons for undertaking formal strategies include:

* Not performing the job to a standard that is acceptable to the employer.
* continually arriving late for work.
* having a poor attitude towards management or fellow workers.
* unexplained or excessive absenteeism.
* breach of occupational health and safety requirements.
* negligence or failure to comply with Hope Disability Support Pty Ltd Policies.
* refusal to comply with a lawful and reasonable instruction.
* verbal abuse or other unacceptable conduct involving another person at work.

Hope Disability Support Pty Ltd will:

* + keep thorough notes of the meeting and copies of any letters, emails or warnings, and sign and date these documents and will ask the worker and any witnesses to do the same. If the worker refuses, make a record of the refusal.
  + depending on the nature of the underperformance, give the worker a reasonable period of time to improve their performance which will be agreed upon.
  + regularly check-in with the worker over that period to discuss how they are progressing.
  + Formally meet with the worker again at the end of the agreed period to review their performance. Should any conduct during the review period not be of a standard agreed Hope Disability Support Pty Ltd reserves the right to initiate these discussions earlier.
  + If the worker’s performance improves then the process will be closed and documented.

If the worker’s performance has not improved, consider taking further action, including termination of employment with notice.

**RESPONSIBILITY**: The board

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# COVID 19 PANDEMIC MANAGEMENT POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is focused on mitigating risk in their operating environment to provide high quality and excellence in service delivery.

As a service delivery organisation Hope Disability Support Pty Ltd has a dispersed workforce often working in environments created by other people.

We are committed to creating a safe environment through the identification, management, control and monitoring of risks, including pandemics.

## **Purpose**

To effectively prepare for and respond to a pandemic, in order to minimise the adverse health impacts on Hope Disability Support Pty Ltd and reduce the burden and disruption to services.

## **Roles and Responsibilities**

* + 1. Hope Disability Support Pty Ltd culture is an essential part of its risk management strategy. The Board of Management and the workers of Hope Disability Support Pty Ltd promote openness and willingness to discuss issues and risks and their management, including pandemics.
    2. The Board of Management of Hope Disability Support Pty Ltd Disability in conjunction with Key Personnel aim to allocate resources and manage and monitor risks to ensure its workers, consumers and other people are not harmed by the risks associated with a pandemic and to minimise the impact of such an event on the provision of support and services.
    3. The Board of Management maintains and reviews its business continuity plan which includes the necessary steps to be taken in the event of a pandemic.
    4. Hope Disability Support Pty Ltd is committed to continuous improvement in Pandemic Management. Internal Audits in accordance with the Quality Management Policy review the effectiveness of controls to manage pandemic risks and the efficacy of the business continuity plan to respond to such events.

## **NDIS Practice Standards**

In this regard, Hope Disability Support Pty Ltd aims to demonstrate its adherence with NDIS Practice Standards and Quality Indicators in relation to:

Standard 2 Provider Governance and Operational Management

Standard 4 Provision of Supports Environment

As laid down in <https://www.ndiscommission.gov.au/document/986>

## **Relevant Legislation, Regulations, Rules and Guidelines**

<https://www.legislation.gov.au/Details/F2018L00629>

Legislation, Rules, Guidelines and Policies applies to this Policy and Related Documentation as set out in the Legislation Register.

## **Definitions**

* **Client** means a client of Hope Disability Support Pty Ltd (including an NDIS participant).
* **Key Management Personnel** means any person delegated by the board with responsibility.
* **Principal** means the owner and or the Board of Management, or their delegate, of Hope Disability Support Pty Ltd.
* **Worker** means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Hope Disability Support Pty Ltd and includes the principal.
* **Workplace** means a place where work is carried out by Hope Disability Support Pty Ltd and includes any place where a worker goes or is likely to be while at work including:

1. Hope Disability Support Pty Ltd business premises.
2. a client’s home or part of their home (for example, a dedicated treatment room), a vehicle or a community venue, where and while a service is being undertaken. and
3. accommodation a worker occupies that is owned by or under the management or control of the principal where the occupancy is necessary for the worker’s engagement because other accommodation is not reasonably available.

* **Respiratory pathogen** A variety of viruses and some bacteria can cause infections of the respiratory tract. These disease-causing microbes are called pathogens. The respiratory pathogens panel tests for the presence of multiple disease-causing microbes in a single respiratory sample.
* **Pathogen** An organism that causes disease.
* **Pandemic** (of a disease) prevalent over a whole country or the world.
* **Transmissible** (of a disease or trait) able to be passed on from one person or organism to another.

## **Procedures**

Health professionals Hope Disability Support Pty Ltd need to plan for how they will respond to a pandemic and how essential services will be maintained, particularly when there is widespread community transmission and pressures on critical resources.

The primary purpose of Hope Disability Support Pty Ltd Pandemic Policy and accompanying Procedure is to provide guidance to Hope Disability Support Pty Ltd’s workers and clients on how to effectively prepare for and respond to a pandemic, to minimise the adverse health impacts on Hope Disability Support Pty Ltd and reduce the burden and disruption to health-related services. The document also aims to contribute to Hope Disability Support Pty Ltd’s response activity to reduce the adverse social and economic impacts associated with a pandemic at Hope Disability Support Pty Ltd. The Policy and associated Procedure is intended to be flexible enough to provide guidance on the response to an outbreak of any highly transmissible respiratory pathogen with significant morbidity and mortality. The plan is always active.

To effectively prepare for and respond to a pandemic, in order to minimise the adverse health impacts on Hope Disability Support Pty Ltd and reduce the burden and disruption to services

**Pandemic stages**

A pandemic represents a significant risk to Hope Disability Support Pty Ltd. It has the potential to cause high levels of morbidity and mortality and to disrupt our community socially and economically.

In line with the management of any other hazard, Hope Disability Support Pty Ltd will approach this risk by undertaking activities to:

* ensure we are prepared to meet the health needs of the clients of Hope Disability Support Pty Ltd should a pandemic occur.
* respond promptly and effectively to minimise the pandemic’s impact. and
* contribute to the rapid and confident recovery of individuals, communities, and services.
* Support staff in the provision of care and services safely.

The activities required to support Hope Disability Support Pty Ltd. during a pandemic will involve state and territory governments, the Australian Federal Government, and many other health sector parties.

Hope Disability Support Pty Ltd. will monitor daily information updates about the pandemic issued by these bodies and respond appropriately.

**Planning and Preparation**

Although pandemics occur infrequently, planning and preparing for a pandemic is important to ensure an effective response that maintains the health and safety of all persons involved with Hope Disability Support Pty Ltd. Planning for, and responding to, a pandemic is complex, and pandemics can affect everyone in a community.

Hope Disability Support Pty Ltd. acknowledges the importance of pre-planning for a pandemic to minimise the possible negative effects it may have on service delivery. Hope Disability Support Pty Ltd. recognises that pandemics pose many risks to their service as outlined below:

|  |  |
| --- | --- |
| Usual Operations | The occurrence of a pandemic may significantly impact Hope Disability Support Pty Ltd. usual operations due to a significant change in the environment this may result in a lack of staff, infrastructure and its support or government restrictions on movement. |
| The Health and Safety of all persons. | The daily practices of Hope Disability Support Pty Ltd. may need to be modified due to the pandemic posing a serious risk to the health and safety of all clients, workers, staff and other persons involved with Hope Disability Support Pty Ltd. |
| Risks within the Environment | The occurrence of a pandemic may significantly alter the services environment, thus impacting on the health and safety of the environment and all persons attending Hope Disability Support Pty Ltd. |
| Risk of Non-compliance | The occurrence of a pandemic may compromise Hope Disability Support Pty Ltd ability to comply with relevant rules, regulations and other legislations. |
| Risk of Limited Resources | Hope Disability Support Pty Ltd. may not obtain all the necessary resources and equipment, such as PPE, that allow them to continue to operate as normal during a pandemic. |
| Harmed Reputation | If Hope Disability Support Pty Ltd is unable to manage a pandemic quickly and effectively within their service, this may damage their reputation and the way the community perceive the organisation. |
| Financial Risks | The occurrence of a pandemic may force Hope Disability Support Pty Ltd. to limit or cease their daily operations, thus significantly impacting the organisations and staff’s financial situation. |

Hope Disability Support Pty Ltd recognises the importance of ensuring a coordinated and structured response to a pandemic is developed. The Risk Register and the Pandemic Management Plan will be used to ensure an effective, safe, person-centred, and pre-planned response to a pandemic is created and understood by all persons.

The Pandemic Management Plan is a detailed and thorough piece of documentation that outlines the specific ways in which Hope Disability Support Pty Ltd will safely and quickly respond to a pandemic and its disruptions to normal business. This includes the following, will be reviewed annually, updated accordingly and will be tested as a part of business continuity testing through the quality management framework:

* an outline of how Hope Disability Support Pty Ltd will implement this Pandemic Management Plan
* name and details of clients who are at most risk of harm due to the pandemic
* the ways in which Hope Disability Support Pty Ltd will cooperate with the community and other service providers
* a thorough outline of Hope Disability Support Pty Ltd essential services that must continue to operate and are deemed important
* the necessary facilities Hope Disability Support Pty Ltd must obtain to continue operating their essential services
* a detailed outline of the specific set of skills needed to safely and effectively operate Hope Disability Support Pty Ltd essential services
* a detailed action plan of how Hope Disability Support Pty Ltd will safely ensure the continuity of the organisation and its essential services.
* personal details including name and contact details of persons who are essential to ensuring the continuity of Hope Disability Support Pty Ltd This must also include the roles and responsibilities they are expected to perform.
* the vital measures Hope Disability Support Pty Ltd will take to prepare and organise for a pandemic.

**Essential Prevention Measures During a Pandemic**

There are a variety of ways in which Hope Disability Support Pty Ltd can prevent the spread of a pandemic by implementing basic prevention measures that limit the spread of infection. By ensuring all persons attending Hope Disability Support Pty Ltd adhere to basic prevention measures, such as general hygiene and cleaning measures, Hope Disability Support Pty Ltd is able to ensure there the environment of Hope Disability Support Pty Ltd service is clean.

These basic prevention measures include:

* thoroughly cleaning communal areas such as kitchens, bathrooms, and lounge areas daily
* maintaining hand hygiene by washing hands with disinfectant soap regularly
* ensuring all waste is disposed of in the appropriate and safe way that minimises contamination
* ensuring all persons attending Hope Disability Support Pty Ltd maintain respiratory etiquette.

In addition, during a pandemic social distancing is an essential requirement that will be implemented and enforced within Hope Disability Support Pty Ltd daily practices and procedures to further limit the spread of infection. Social distancing requires individuals to ensure they are a certain distance away from another person, thus limiting movement and the maximum capacity of persons within a room. When enforcing social distancing restrictions, Hope Disability Support Pty Ltd will ensure to apply the rules to all persons involved with Hope Disability Support Pty Ltd including staff, workers, visitors, clients, and management. By doing so, Hope Disability Support Pty Ltd can ensure the social distancing rules implemented are effective when in practice.

Below outlines the specific restrictions social distancing requires for it to be considered effective:

* individuals must remain 1.5 metres away from each other
* avoid physical contact with other persons. This includes hand shaking and hugging
* where possible, limit face-to-face interactions. Individuals should aim to use electronic services such as zoom chat, FaceTime, or mobile phones to interact
* avoid handling food or materials that do not belong to you
* avoid sharing items with other persons, including food, clothing, electronic devices etc
* where applicable, meet capacity requirements as determined by the Public Health Officer.

Additional restrictions that aid in reducing the spread of infection include:

* limiting travel, including national and international travel. If is not essential, then individuals should not travel
* avoid attending populated events such as concerts, clubs, restaurants etc
* individuals should work from home, if possible
* students should study from home, if possible.

In addition, individuals should aim to limit their travel and stay home as much as possible during a pandemic to reduce the spread of infection. During a pandemic, individuals should not leave their home unless it is essential. Essential reasons include attending work and school if it is not practical to do so from home, to purchase groceries or medication, to attend a personal emergency or a doctors/specialist appointment as determined by the Public Health Officer.

**Isolation**

Isolation requires individuals to quarantine themselves for a certain period to prevent the spread of infection for several reasons. During a pandemic, Hope Disability Support Pty Ltd may require a person involved with Hope Disability Support Pty Ltd such as a client or staff member to self-isolate if they:

* begin to show symptoms of the disease or virus
* test positive for the disease or virus
* have been in close contact with a person who has contracted the disease or virus
* have travelled to a country that is at high-risk, meaning a high number of people in that country have contracted the disease or virus.

If Hope Disability Support Pty Ltd requires an individual to be isolated, they will do so in the comfort of their own home or in accordance with the Public Health Officer’s directions. Home isolation requires an individual to quarantine themselves within their home whilst implementing relevant measures to minimise risk. To minimise risk, individuals in self-isolation will:

* maintain personal and environmental hygiene
* adhere to social distancing requirements whilst at home to reduce the risk of family or other residents contaminating the disease or virus
* avoid common areas if possible
* avoid sharing items with other persons, including food, clothing, electronic devices etc.
* ensure to wear appropriate protective equipment (PPE) such as face masks and gloves when in a communal area
* reducing movement in their home including indoor and outdoor areas
* if possible, use separate toiletries and bathrooms
* avoid using the same towels, linen, and cutlery as much as possible.

Hope Disability Support Pty Ltd recognises and understands the struggles individuals may face if they are required to self-isolate and will ensure to provide the necessary support and assistance where possible. Hope Disability Support Pty Ltd will support its workers in isolation by organising leave arrangements that suit the staff member and their needs. Hope Disability Support Pty Ltd may also offer the opportunity for individuals in isolation to work from home, if practical.

In addition to this, Hope Disability Support Pty Ltd understands that self-isolation can be stressful and have a significant impact on one’s mental health and will ensure to offer supports for managing these difficulties. Hope Disability Support Pty Ltd may use an external health professional such as a counsellor to support individuals during such a difficult time.

Clients who are required to self-isolate will also be provided with assistance and support, where possible. Hope Disability Support Pty Ltd is dedicated to ensuring clients in isolation are still able to receive quality care and essential services. In addition to this, Hope Disability Support Pty Ltd and its workers will ensure to take the time listen to the client’s experience for support. To ensure clients are supported to a high extent, Hope Disability Support Pty Ltd will ensure clients:

* are residing in a comfortable, clean, and well-ventilated environment
* are encouraged to engage in tasks or activities they show interest in
* keep in contact with their support services via electronic communication (e.g., telephone, zoom call, FaceTime)
* maintain their usual daily routine, if possible, within the confines of self-isolation.

**Restrictive Practices**

Restrictive practices are used when a client’s response to a specific situation raises behavioural concern. Behaviours that may raise concern include aggressive or violent behaviour, or behaviour that may harm the individual. This response may occur due to a variety of triggering factors. These triggering factors include:

* fear of the perceived or real threat
* changing environments
* difficulty in adjusting to an environment or situation.

During a pandemic, these triggering factors may be exaggerated or heightened, thus it is imperative that Hope Disability Support Pty Ltd is equipped with the necessary resources and materials to provide clients with adequate support and explanations of the situation that allow them to understand the importance of adhering to certain restrictions. If Hope Disability Support Pty Ltd is required to use a restrictive practice, they will ensure to follow the standard protocol outlined in the Positive Behaviour, Restrictive Practice and Support Plans Policy and Procedure.

Home isolation is not considered a restrictive practice for therapeutic purposes. thus, it is essential for Hope Disability Support Pty Ltd to discuss these events with the client and their support network. This is not restricted to individuals with restrictive practice in their Positive Behaviour Support Plan, thus all clients are included.

**Incidents and Complaints**

Hope Disability Support Pty Ltd recognises that a pandemic may cause complaints or incidents to arise and will ensure to manage these occurrences using standard protocol, where possible. Hope Disability Support Pty Ltd will also adhere to relevant legislation and requirements outlined in the Participant Incident Management Policy and Procedure and the Feedback, Compliments and Complaints Policy and Procedure.

In addition to this, Hope Disability Support Pty Ltd understands that incidents and complaints that arise because of a pandemic situation are considered urgent, in which Hope Disability Support Pty Ltd will make reasonable attempts to track and investigate the complaint in a timely manner.

**Privacy and Confidentiality**

Hope Disability Support Pty Ltd recognises and understands the importance of maintaining privacy and confidentiality and will do so in accordance with all relevant legislation and Hope Disability Support Pty Ltd’s Privacy and Confidentiality Policy and Procedure.

In general circumstances, clients can decide whether they want to inform Hope Disability Support Pty Ltd of their health information. However, Hope Disability Support Pty Ltd may request information regarding a client’s health condition if their condition or symptoms are notifiable under the National Notifiable Disease Surveillance System (NNDSS). It is likely for this to occur during a pandemic, as the disease or virus is likely to be put on the NNDSS. This is to guarantee clients can receive the support they need during the pandemic, whilst adhering to the health and safety of all persons at Hope Disability Support Pty Ltd. In addition, by gaining information on a client’s health condition, Hope Disability Support Pty Ltd can develop and implement measures that minimise risk and harm towards the client and all workers, staff and visitors.

Under no circumstances will Hope Disability Support Pty Ltd tolerate any form of bullying, discrimination or harassment towards a client on the basis of their disclosed health condition and information provided. If this does occur, Hope Disability Support Pty Ltd will take disciplinary action and will ensure to address the matter in accordance with Hope Disability Support Pty Ltd’s Client Incident Management Policy and Procedure.

**Maintaining Communication**

As pandemics are generally fast developing, it is crucial for Hope Disability Support Pty Ltd and its workers to maintain effective communication throughout the duration of the pandemic. Effective communication must include all persons involved with Hope Disability Support Pty Ltd including clients, their families, staff and contractors.

Hope Disability Support Pty Ltd will use various sources of communication including email, phone, virtual meeting platforms such as zoom chat, and skype to ensure vital information regarding the pandemic and possible updates is disclosed to all clients, staff and contractors and any other people. In addition to this, Hope Disability Support Pty Ltd will use these sources to ensure staff who work from home can do so effectively and continue to engage in meetings or appointments with other staff, management, or clients.

Hope Disability Support Pty Ltd recognises that some clients may require easily understandable information to comprehend the information and the situation. To support clients, Hope Disability Support Pty Ltd will provide clients with relevant information regarding the pandemic, in a way that is easily comprehendible to them. To do this, Hope Disability Support Pty Ltd will use simple English when creating documents to give information to clients. Hope Disability Support Pty Ltd may also use various communication apps or alphabet board to assist clients in understanding the situation.

Where necessary Hope Disability Support Pty Ltd will have all information available in languages consistent with its staff and client base.

Hope Disability Support Pty Ltd understands the importance of documenting significant decisions and events that occur during a pandemic in a way that is easily comprehendible by clients and workers. By ensuring this is done, clients and workers of Hope Disability Support Pty Ltd can reference these documents in the future.

**Workers who are exposed, potentially infected or infected.**

Hope Disability Support Pty Ltd will comply with the Public Health Officer directions for managing workers and other stakeholders who are exposed, potentially infected or infected. Except where there is a risk of imminent danger under no circumstances are the Public Health Officers directions to be ignored.

**Training**

Hope Disability Support Pty Ltd will provide training and education for all workers in understanding a pandemic and the essential skills required to operate in such an environment.

Such training will include the use of the appropriate PPE for particular responses.

This will form part of the annual training requirements for all workers.

**Personal Protective Equipment (PPE)**

Hope Disability Support Pty Ltd may require the use of personal protective equipment if there are suspected cases within the service.

PPE must be used if

* the premises don’t allow workers and clients to adhere to the social distancing guidelines and regulations
* self-isolation cannot be adhered to or maintained consistently
* an increased risk to individuals with a disability is salient.

In addition to this, all workers must use PPE if they are providing essential care to a client who has contracted the virus.

Workers must obtain the necessary PPE prior to delivering essential care services to clients. If Hope Disability Support Pty Ltd is unable to provide the necessary PPE, Hope Disability Support Pty Ltd will lodge a request for stock through the National Medical Stockpile. This can be accessed through [Stockpile.Ops@health.gov.au](mailto:Stockpile.Ops@health.gov.au).

If a request for PPE is made, then we will provide evidence to support a statement why we were unable to access PPE through the open market. We must also state who will be using the PPE, and the ways in which we will prioritise the stock to limit the spread of infection.

Hope Disability Support Pty Ltd recognises that some clients may suffer from hearing impairments and rely on viewing the movement of one’s mouth to understand and comprehend the information being communicated to them. To ensure Hope Disability Support Pty Ltd supports these individuals, clear masks will be an option for workers who are providing care to individuals with hearing impairments.

**Support of Workers During an Outbreak**

It is Hope Disability Support Pty Ltd ’s responsibility to ensure all workers are aware and are aware of the latest information regarding the outbreak.

Workers of Hope Disability Support Pty Ltd will ensure they have a thorough understanding of their roles and responsibilities during an outbreak.

Workers must also ensure they know the correct procedure and protocol for managing a client who are unwell from the disease causing the pandemic.

In addition to this, Hope Disability Support Pty Ltd recognises the importance of ensuring the continuity of support provided to clients during a pandemic and will make every reasonable attempt to do so.

If Hope Disability Support Pty Ltd is unable to provide support to clients, we will immediately inform the NDIS Commission.

**Notification**

Hope Disability Support Pty Ltd should notify the NDIS Commission using the [Notification of event – COVID-19](https://ndisqualityandsafeguardscommission.cmail19.com/t/t-l-pihtddy-zdduufhl-y/) [(registered provider)](https://ndisqualityandsafeguardscommission.cmail19.com/t/t-l-pihtddy-zdduufhl-y/) form, if one of the following events occurs:

* + 1. a worker or participant is confirmed with the COVID-19 infection.
    2. border closures or other restrictions may affect the ability of the business to access participants or provide support and services.
    3. changes occur to the business’s available workforce due to border closures or other state or territory restrictions
    4. the temporary or permanent cessation of supports or services as a result of border closures or other restrictions occur in the business’s state or territory
    5. where the business previously submitted a notification relating to changes in supports, the supports have since recommenced and the business is now again making changes to supports due to new restrictions.

Commonwealth

1. Hope Disability Support Pty Ltd should notify Comcare of all confirmed COVID-19 cases that are work related and arise from the business or undertaking of the Hope Disability Support Pty Ltd. Notification must be done by the fastest possible method and as soon as it becomes aware of the incident.
2. Notification to Comcare can be made using the incident notification [form](https://www.comcare.gov.au/about/forms-publications/documents/forms/safety-and-prevention/incident-notification-form.pdf) which can be emailed to [notify@comcare.gov.au](mailto:notify@comcare.gov.au) or submit an [online](https://employee.forms.comcare.gov.au/Produce/wizard/de25f9aa-4a28-4140-b0bb-786dd8b9eaee/) notification. Alternatively, call Comcare on 1300 366 979.

Hope Disability Support Pty Ltd notes that when notifying by phone, we may be asked to provide notification in writing within 48 hours. If calling outside office hours, Hope Disability Support Pty Ltd notes we can be redirected to the on-call inspector.

1. Notifications must be made regardless of whether the relevant Health agency is already aware of the case.

## **Relevant Legislation, Regulations, Rules and Guidelines**

Legislation, Rules, Guidelines Policies and Procedures applies to this Policy and Related Documentation as set out in the Legislation Register

<https://www.legislation.gov.au/Details/F2018L00629>

**Links to External Supporting Documents**

**Pandemic Plans**

https://knowledge.aidr.org.au/resources/pandemic-plans/

**ACT Infection Prevention Control**

<https://www.health.act.gov.au/about-our-health-system/accreditation/infection-prevention-and-control>

**Australian Infection Prevention Control Guidelines**

https://www.safetyandquality.gov.au/our-work/healthcare-associated-infection/national-infection-control-guidelines

**Northern Territory Infection Prevention and Control Resources**

https://library.health.nt.gov.au/COVID-19/InfectionControl

**NSW Infectious Disease Control Guidelines**

https://www.health.nsw.gov.au/Infectious/controlguideline/Pages/default.aspx

**Queensland Infection Prevention**

<https://www.health.qld.gov.au/clinical-practice/guidelines-procedures/diseases-infection/infection-prevention>

**Tasmania Infection Prevention and Control**

https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwjg\_b6btqPzAhUnwjgGHe6kDy8QFnoECAkQAw&url=https%3A%2F%2Fwww.dhhs.tas.gov.au%2Fpublichealth%2Ftasmanian\_infection\_prevention\_and\_control\_unit&usg=AOvVaw2zYeyF4oCwM8k5NiAUGt4X

**Victorian Infection Prevention Control Resources**

https://www.dhhs.vic.gov.au/infection-prevention-control-resources-covid-19

**Western Australia Health Infection Prevention and Control Policies (and supporting documents)**

https://ww2.health.wa.gov.au/Articles/U\_Z/WA-health-infection-prevention-and-control-policies

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# WORK HEALTH AND SAFETY POLICY

## **1.Overview**

This Policy and the Policies and Procedures and related documentation set out in section 1.5 below (**Related Documentation**) supports Hope Disability Support Pty Ltd to provide and manage a safe and healthy workplace.

## **Policy Aims**

Hope Disability Support Pty Ltd is committed to ensuring a safe and healthy workplace where risks to participants, workers and the provider are identified, prevented and managed.

## **NDIS Practice Standards**

In this regard, Hope Disability Support Pty Ltd aims to demonstrate its adherence with NDIS Practice Standards and Quality Indicators in relation to:

* Standards 1,2 3 & 4
* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Support
* Standard 4 Provision of Support Environment
* As laid down in <https://www.ndiscommission.gov.au/document/986>

## **Scope**

1. This Policy and its attendant procedure apply to the Board of Management and all staff at Hope Disability Support Pty Ltd
2. All permanent, fixed term and casual staff, contractors and volunteers are required to take full responsibility for ensuring full understanding of the commitments outlined in this Policy.

## **Definitions**

* **Client** means a client of Hope Disability Support Pty Ltd (including an NDIS participant).
* **Key Management Personnel** means key management personnel as delegated by the Hope Disability Support Pty Ltd board
* **Legislation Register** means the register of legislation, regulations, rules and guidelines maintained by Hope Disability Support Pty Ltd.
* **Policy Register** means the register of policies of Hope Disability Support Pty Ltd.
* **Principal** means the owner and or the Board of Management, or their delegate, of Hope Disability Support Pty Ltd
* **reasonably practicable** means that which is, or was at a particular time, reasonably able to be done in relation to ensuring Work Health and Safety (WHS), taking into account and weighing up all relevant matters including:

1. the likelihood of the hazard or the risk concerned occurring. and
2. the degree of harm that might result from the hazard or the risk. and
3. what the person concerned knows, or ought reasonably to know, about:
   1. the hazard or the risk. and
   2. ways of eliminating or minimising the risk. and
4. the availability and suitability of ways to eliminate or minimise the risk. and
5. after assessment, the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.

* **Related Documentation** has the meaning given to that term in section 1.1.
* **Representative** means a person specified as the representative of the client in the client’s Service Agreement or any person who provides personal care, support or help to a client and is not engaged as a paid or volunteer worker, often a family member or guardian (if any).
* **Risk Assessment** means a risk assessment undertaken in respect of a client and/or a Workplace (as applicable).
* **Risk Management** means a process whereby hazards are identified, the risks associated with the identified hazards are assessed and the control measures which will eliminate or minimise the risks from the identified hazards are planned and implemented.
* **Service Agreement** means the service agreement entered into between Hope Disability Support Pty Ltd and a client in relation to the provision of services and supports
* **Support Plan** means any support plan developed in respect of and with the client (as applicable).
* **Work Health and Safety (WHS)** means work health and safety.
* **Work Health and Safety (WHS) Laws** all applicable work health and safety laws, regulations and codes of practice applicable to the Hope Disability Support Pty Ltd from time to time including:

1. *Work Health and Safety Act 2011 (NSW). and*
2. *Work Health and Safety Regulation 2017 (NSW).*

* **Worker** means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Hope Disability Support Pty Ltd and includes the principal.
* **Workplace** means a place where work is carried out by Hope Disability Support Pty Ltd and includes any place where a worker goes or is likely to be while at work including:

1. Hope Disability Support Pty Ltd business premises.
2. a client’s home or part of their home (for example, a dedicated treatment room), a vehicle or a community venue, where and while a service is being undertaken. and
3. accommodation a worker occupies that is owned by or under the management or control of the principal where the occupancy is necessary for the worker’s engagement because other accommodation is not reasonably available.

## **Policy**

* + 1. The Hope Disability Support Pty Ltd Work Health & Safety Policy reflects our commitment to a safety culture and demonstrates our commitment to the physical and psychological health and wellbeing of workers.
    2. So far as is reasonably practicable, Hope Disability Support Pty Ltd is committed to ensuring work health and safety risks to workers, clients and Hope Disability Support Pty Ltd are prevented, identified and managed. Specifically, Hope Disability Support Pty Ltd is committed to maintaining:
       1. A documented system that effectively manages work health and safety risks. and
       2. appropriate insurance including professional indemnity, public liability and accident insurance (if appropriate).
    3. There are three critical Principles of Work Health and Safety (WHS) management at Hope Disability Support Pty Ltd:
       1. engagement of all workers in Risk Management.
       2. ensuring processes are in place to identify, report, assess, manage and reduce Work Health and Safety (WHS) risks. and
       3. alignment of the Work Health and Safety program with Hope Disability Support Pty Ltd’s other Risk Management systems, policies and procedures.

### **1. Duties of Hope Disability Support Pty Ltd**

Hope Disability Support Pty Ltd is committed, so far as is reasonably practicable, to ensuring the health and safety of workers and others at the Workplace by:

1. (**Comply with Work Health and Safety (WHS) Laws**) ensuring Hope Disability Support Pty Ltd meets the requirements of relevant Work Health and Safety (WHS) Laws, regulations and codes through its Policies and practices.
2. (**Culture**) ensuring Hope Disability Support Pty Ltd provides an environment that promotes and supports physical and psychological health and wellbeing.
3. (**Workplaces**) so far as is reasonably practicable, providing and maintaining its Workplaces in a condition that is safe and without risks to health and monitoring the conditions at such Workplaces.
4. (**Facilities**) providing adequate facilities, plant, equipment, structures, resources and services to enable workers to perform their role safely.
5. (**Risk Assessment**) undertaking a Risk Assessment at each Workplace and of any work activity to be conducted in the Workplace and identifying control measures to eliminate or minimise identified risks.
6. (**Risk Management Program**) establishing and maintaining a risk management program aimed at preventing Workplace illness and injury to workers, clients and others lawfully entering a Workplace which shall include, but not be limited to:
   * 1. a risk management plan, procedures and processes to enable hazards to be identified and risks associated with those hazards to be eliminated or minimised at the Workplace.
     2. establishing procedures and processes for receiving, considering and responding to information about incidents, hazards and risks in a timely fashion.
     3. ensuring that information is readily available to workers about procedures to ensure the safety of specific operations that pose health and safety risks in the Workplace in respect of identified risks.
     4. measuring against positive performance indicators to identify deficiencies in procedures and processes (e.g., percentage of issues actioned within the agreed timeframe).
     5. undertaking a legal compliance audit of policies, procedures and processes.
     6. testing policies, procedures and processes to verify compliance with the health and safety program. and
     7. continuously improving the health and safety program.
7. (**Instruction**) specifying the important actions and responsibilities of workers for ensuring Workplaces are safe from injury and risk to health
8. (**Safe Use**) ensuring the safe use, handling, storage and transport of plant, equipment, structures and substances (as applicable).
9. (**Safe Systems**) providing and maintaining safe systems of work.
10. (**Training and Supervision**) providing adequate information through training, instruction and/or supervision as is necessary to protect and work safely without risks to health to all workers
11. (**No Blame**) embedding a culture of ‘no blame’ in the achievement of and commitment to a safe and healthy work environment and monitoring the health and welfare of Hope Disability Support Pty Ltd workers and the conditions of Workplaces to prevent illness and injury.
12. (**Unacceptable Conduct**) taking action in respect of incidents of bullying, harassment or other Unacceptable Conduct (as set out in Schedule 1) in the Workplace.
13. (**Training**) providing information, training, instruction or supervision to workers that is necessary to protect workers, clients and others from risks to health and safety in line with position accountability and responsibilities.
14. (**Consultation**) so far as is reasonably practicable, consulting with workers who are or are likely to be directly affected by any Workplace hazards or risks and otherwise as required by Work Health and Safety (WHS) Laws.
15. (**Worker Empowerment**) empowering workers to cease unsafe work and request safer alternatives and resources.
16. (**Monitoring**) monitoring the performance of Work Health and Safety (WHS) through key performance indicators and regular reporting.
17. (**Continuous Improvement**) continuously improving safety management procedures, systems and processes.

### **Duties of workers**

So far as is reasonably practicable, Hope Disability Support Pty Ltd requires workers to:

1. (**Own Safety**) take reasonable care for their own health and safety.
2. (**Others Safety**) take reasonable care that they do not adversely affect the health and safety of others who may be affected by the worker’s acts or omissions at a Workplace.
3. (**Co-operation**) co-operate with any action taken by Hope Disability Support Pty Ltd to comply with a requirement imposed by or under relevant Work Health and Safety (WHS) Laws.
4. (**Policies**) comply with this Policy and procedures about Work Health and Safety (WHS) and follow any related policies, procedures, processes or documentation provided to them from time to time concerning health and safety and otherwise follow safe work practices.
5. (**Instructions**) comply with the work health and safety instructions of Hope Disability Support Pty Ltd including:
   * + 1. following reasonable instructions relating to the delivery of services as contained in the relevant client’s Support Plan.
       2. complying with any Risk Assessment conducted in respect of a Workplace or in relation to a work activity.
       3. only undertaking activities that have been agreed to in the client’s service agreement. and
       4. properly wearing personal protective equipment (PPE) the worker has been provided and trained in using.
6. (**Reporting Incidents**) report all hazards, incidents, accidents or “near misses” in accordance with the Incident Management and Reporting Policy, whether or not someone was injured, to ensure their health and safety and the health and safety of others in the Workplace.
7. (**Unacceptable Conduct**) not engage in any Unacceptable Conduct (as set out in Schedule 1) and report any incidents of bullying, harassment or other Unacceptable Conduct (as set out in Schedule 1) to the principal.
8. (**Risk Assessments**) participate in Risk Assessments as requested.
9. (**Risk Management**) assist in the identification of control measures to eliminate or minimise the risk of injury
10. (**Training**) attend Work Health and Safety (WHS) training as required by the principal.
11. (**Manual Tasks**) report all problems with manual tasks, including signs of discomfort, immediately.
12. (**Work Health and Safety (WHS) Activities**) participate in Work Health and Safety (WHS) activities such as inspections, investigations, evacuation drills, Work Health and Safety (WHS) meetings as required from time to time.
13. (**Report Conditions**) report any physical or psychological conditions that may affect your ability to perform the duties that form part of their role.
14. (**Misuse**) not intentionally or recklessly misuse or interfere with anything provided to the worker in the interests of Work Health and Safety (WHS).
15. (**Advice**) employ or engage persons who are suitably qualified in Work Health and Safety (WHS) to provide advice concerning the health and safety of workers.
16. (**Use of Equipment**) as applicable:
    * + 1. correctly use tools, plant and equipment.
        2. comply with safety instructions on machinery or plant and equipment.
        3. operate plant, equipment and machinery with guards and safety controls operating and in place at all times.
        4. report any worn out or defective plant, equipment or problems you have with equipment immediately.
        5. wear personal protective equipment as required
        6. report any worn out or defective equipment or problems you have with personal protective equipment. and
        7. report all problems with equipment and machinery immediately.

### **Others at the Workplace**

In accordance with applicable Work Health and Safety (WHS) Laws, Hope Disability Support Pty Ltd expects that others at the Workplace (for example, clients, visitors, family members, participants) will:

1. take reasonable care for their own health and safety.
2. take reasonable care that they do not adversely affect the health and safety of others. and
3. comply, so far as they are reasonably able, with any instruction given by Hope Disability Support Pty Ltd.

### **Duties of other people (including visitors)**

If a person is not a worker, but attends a Workplace, they must:

* + 1. take reasonable care of their own health and safety.
    2. take reasonable care that their actions or omissions do not adversely affect the health and safety of others.
    3. comply, so far as they are able, with any instructions that may be given by Hope Disability Support Pty Ltd regarding Work Health and Safety (WHS) obligations. and
    4. conduct themselves responsibly at the Workplace and surrounding areas in such a way that they do not contribute to accidents or hazards which may endanger others.

## **Unacceptable Conduct Process**

1. **Discrimination**

Discrimination occurs when an individual or a group is treated unfavourably because of a personal attribute protected by law.

Unlawful discrimination can occur:

**Directly** – when a person or group is treated less favourably than others because they have a protected attribute, compared with another person or group without that attribute.

For example - *a worker is refused promotion because they are “too old”*

**Indirectly** – when an arbitrary or unreasonable system, procedure or requirement treats everyone the same, but in doing so ends up (actually or potentially) disadvantaging a person or group with an attribute protected by the law.

*For example – an organisation has a policy that to pass probation for office jobs, all new employees must take an eye test, even though first-rate vision is not essential for the roles. Someone with a vision impairment would fail probation as they couldn’t pass this test.*

Attributes protected by the law include:

* 1. Age
  2. Breastfeeding
  3. Disability/impairment (including genetic predisposition to disability, visible or invisible, temporary or permanent)
  4. Employment activity (e.g., asking your boss about your Workplace entitlements)
  5. Gender identity (being transgender or intersex)
  6. Industrial activity/inactivity (union membership or non-membership)
  7. Irrelevant criminal record
  8. Lawful political belief or activity
  9. Lawful sexual activity
  10. Marital status (having or not having a domestic partner)
  11. Medical record
  12. Physical features (including height, weight or appearance)

1. Pregnancy (including potential pregnancy
2. Race (including language spoken at home, citizenship, country of origin)
3. Religious belief or activity
4. Sex
5. Sexual orientation
6. Social origin
7. Status as a parent or carer (with a broad and inclusive definition of both, see section 3 above)
8. Personal association or relation to another person with any of the above attributes (e.g., being related to someone with a disability). Some exclusions apply to this point.

**2. Harassment**

Harassment is a type of discrimination involving unwelcome language or behaviour that, regardless of the intention of the perpetrator, could be reasonably anticipated to offend, embarrass, intimidate or threaten another person because of an attribute covered under equal opportunity law.

For example - *nicknames or teasing based on weight, race, sexual orientation or physical appearance*

Harassment can take many forms, including jokes, teasing, nicknames, emails, pictures, text messages, social isolation, ignoring people, or unfair work practices.

Harassment can occur regardless of the intention or the formal authority of the perpetrator. It is the effect of the behaviour and the degree to which this effect could be reasonably anticipated that makes it harassment.

1. **Sexual Harassment**

Sexual harassment is a specific and serious form of harassment. This occurs when a person makes an unwelcome sexual advance or an unwelcome request for sexual favours to another person or engages in any other unwelcome conduct of a sexual nature in relation to another person.

It has nothing to do with mutual attraction or private, consenting friendships whether sexual or otherwise.

Some examples of sexual harassment include:

* 1. Persistent, unwelcome demands or even subtle pressures for sexual favours or outings.
  2. Leering, patting, pinching, touching or unnecessary familiarity.
  3. Offensive comments on physical appearance, dress or private life.

1. Sending sexually explicit emails, text messages or through social media applications.
2. The public display of pornography (especially when it is directed at particular individuals), ranging from material that might be considered mildly erotic through to material that is sexually explicit.

Hope Disability Support Pty Ltd recognises that comments and behaviour which does not offend one person, may offend another. This Policy requires all workers to respect other people’s limits.

Sexual harassment can occur regardless of the intention or the formal authority of the perpetrator. It is the **effect** of the behaviour and the degree to which this effect could be reasonably anticipated that makes it sexual harassment.

1. **Bullying**

Bullying is repeated, unreasonable behaviour directed toward an individual, or group of individuals, that creates a risk to their health and safety.

Behaviours that may constitute bullying include:

* 1. Sarcasm and other forms of demeaning language.
  2. Threats, abuse or shouting.
  3. Coercion.
  4. Isolation.
  5. Blaming.
  6. "Ganging up".
  7. Constant unconstructive criticism.
  8. Deliberately withholding information, a person needs to exercise their role or access their entitlements within Hope Disability Support Pty Ltd.
  9. Repeated refusal of requests for leave or training without adequate explanation or suggestion of alternatives.

Bullying is not:

1. Reasonable comment, advice or administrative action (including negative feedback from supervisors or managers).
2. Performance management processes.
3. Disciplinary action.
4. Reasonable management action done in a reasonable way.
5. The implementation of organisational change.
6. Conflict or differences of opinion between individuals.
7. An individual incident of bullying-type behaviour.

Bullying can occur regardless of the intention or the formal authority of the perpetrator. It is the unreasonableness of the behaviour and the degree to which it could be reasonably anticipated to create physical or mental health risks that makes it bullying.

1. **Victimisation**

Victimisation occurs when someone who has raised a complaint in good faith and in a reasonable way, is then threatened, punished or suffers some other negative consequence as a result of raising that concern.

For example - *an employee is refused a promotion because “your complaint of harassment last year shows you are not a team player”.*

It is victimisation to threaten or punish someone (such as a witness), who may be involved in the investigation of an equal opportunity concern or complaint.

Victimisation is a very serious breach of this Policy and is likely (depending on the severity and circumstances) to lead to formal disciplinary action against the perpetrator.

Hope Disability Support Pty Ltd has a zero-tolerance approach to victimisation. Anyone who believes they have been or are being victimised should immediately report the matter to the principal or other Key Management Personnel.

## **Work Health and Safety Risk Management Process**

Risk management involves four steps (see diagram below):

* identify hazards – find out what could cause harm
* assess risks – understand the likelihood of a hazard causing harm and how serious it could be,
* control risks – implement the most effective control measure that is reasonably practicable in the circumstances, and
* review control measures to ensure they are working as planned.

Diagram

Description automatically generated

**Step 1 - Identify risks**

1. When conducting support and services in the client’s home, Hope Disability Support Pty Ltd’s Work Health and Safety (WHS) Walk Around Risk Assessment Checklist should be used as a guide when conducting a walkaround in a client’s home in accordance with the Work Health and Safety Policy.
2. It is important not to be limited by Hope Disability Support Pty Ltd’s Work Health and Safety (WHS) Walk Around Risk Assessment Checklist when undertaking a walk around. Actually, walk around and observe how things are done. This can help you predict what could or might go wrong. Look at how people actually work, use equipment and chemicals. Identify what safe or unsafe work practices exist as well as the general state of the area. Potential hazards may be specific to a particular Workplace and not included on Hope Disability Support Pty Ltd’s Work Health and Safety (WHS) Walk-Around Risk Assessment Around Checklist (i.e., a client’s home).
3. Things to look out for include:
   * 1. Does the Workplace enable workers to carry out work without risks to health and safety (for example, space for unobstructed movement, adequate ventilation, lighting)?
     2. How suitable are the tools and equipment for the services and supports or the Workplace and how well they are maintained?
     3. Have any changes occurred in the Workplace which may affect health and safety?
4. As you walk around, you may spot straightforward problems and action should be taken on these immediately, for example, cleaning up a spill. If you find a situation where there is immediate or significant danger to people, move those persons to a safer location first and attend to the hazard urgently.
5. Make a list of all the hazards found in Hope Disability Support Pty Ltd’s Work Health and Safety (WHS) Walk-Around Risk Assessment Checklist, including the ones that are already being dealt with, to ensure that nothing is missed.
6. Hazards are not always obvious. Some hazards can affect health over a long period of time or may result in stress and fatigue.
7. Think about hazards that you may bring into the Workplace as new, used or hired goods (for example, worn insulation on hired welding sets).
8. Encourage and ask workers about any health and safety problems they have encountered in doing their work and any near misses or incidents that have not been reported.
9. worker surveys should be undertaken on a formal and informal basis to obtain information about matters such as Unacceptable. Conduct, as well as progressive conditions (such as, muscular aches and pains, musculoskeletal disorder or fatigue) that can signal and be indicative of potential hazards that may have been missed at the outset.

**Step 2 - Assess risks**

1. A risk assessment should be done when:

1. there is uncertainty about how a hazard may result in injury or illness, or
2. the work activity involves a number of different hazards and there is a lack of understanding about how the hazards may interact with each other to produce new or greater risks.
3. A risk assessment is mandatory under the Work Health and Safety (WHS) Laws for some hazards, for example, entry into confined spaces.
4. A risk assessment is not necessary in the following situations:
5. Legislation requires some hazards or risks to be controlled in a specific way – these requirements must be complied with.
6. A code of practice or other guidance sets out a way of controlling a hazard or risk that is applicable to your situation and you choose to use the recommended controls. In these instances, the guidance can simple be followed.
7. There are effective controls that are in widespread use in the particular industry, that are suited to the circumstances in your Workplace. These controls can simply be implemented
8. Most of the risks that fall within one of the above situations which are relevant to Hope Disability Support Pty Ltd’s operations and their corresponding controls are set out in the Work Health and Safety Policy and the Managing and Reducing Known Risks Matrix. In the event one of these known Workplace risks is identified, the corresponding control measure set out in the Work Health and Safety Policy or and the Managing and Reducing Known Risks Matrix that is most effective and would be reasonably practicable in the circumstances should be implemented.

**How to do a risk assessment**

1. Work out the amount of harm that could occur
2. All hazards have the potential to cause different types and severities of harm, ranging from minor discomfort to a serious injury or death.
3. To estimate the amount of harm that could result from each hazard, consider the following questions:
   * 1. What type of harm could occur (e.g., muscular strain, fatigue, burns, laceration)? How severe is the harm? Could the hazard cause death, serious injuries, illness or only minor injuries be requiring first aid?
     2. What factors could influence the severity of harm that occurs? For example, the distance someone might fall, or the concentration of a particular substance will determine the level of harm that is possible. The harm may occur immediately when something goes wrong (e.g., injury from a fall) or it may take time for it to become apparent (e.g., illness from long term exposure to a substance).
     3. How many people are exposed to the hazard and how many could be harmed (in and outside your Workplace)?
     4. Could one failure lead to other failures? For example, could the failure of your electrical supply make any risk controls that rely on electricity ineffective?
     5. Could a small event escalate to a much larger event with more serious consequences? For example, a minor fire can get out of control quickly in the presence of large amounts of unnecessary combustible materials.
4. Work out how hazards may cause harm

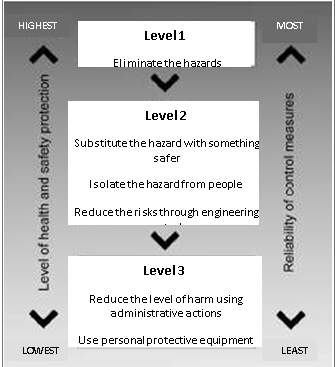
* In thinking about how each hazard may cause harm, consider the following:

1. the effectiveness of existing control measures and whether they control all types of harm,
2. how work is actually done, rather than relying on written manuals and procedures (i, e, Hope Disability Support Pty Ltd’s Work Health and Safety (WHS) Walk-Around Risk Assessment Checklist). and
3. infrequent or abnormal situations, as well as how things are normally meant to occur.
4. Work out the likelihood of harm occurring

* The likelihood of harm can be estimated by considering the following:
  + 1. How often is the task done – does this make the harm more or less likely?
    2. How often are people near the hazard? How close do people get to it?
    3. Has it ever happened before, either in your Workplace or somewhere else? How often?
    4. The level of risk will increase as the likelihood of harm occurring and its severity increases.

**Step 3 – Control risks**

1. There are many ways to control hazards and risks. Some controls are more effective than others.
2. Consider various control options and choose the control that most effectively eliminates the hazard or minimises the risk in the circumstances. This may involve a single control measure or a combination of different controls that together provide the highest level of protection that is reasonably practicable



1. The ways of controlling risks can be ranked from the highest level of protection and reliability to the lowest as shown in the diagram above. This ranking is known as the hierarchy of control.
2. You must always aim to eliminate a hazard, which is the most effective control. If this is not reasonably practicable, you need to minimise the risk by working through the other alternatives in the hierarchy.

**Level 1 control measures**

1. The most effective control measure involves eliminating the hazard and associated risk. The best way to do this is by, firstly, not introducing the hazard in the Workplace or removing the hazard completely, for example, by removing trip hazards on the floor or disposing of unwanted chemicals.
2. If you cannot eliminate the hazard, then eliminate as many of the risks associated with the hazard as possible.

**Level 2 control measures**

1. If it is not reasonably practicable to eliminate the hazards and associated risks, you should minimise the risks using one or more of the following approaches:
2. Substitute the hazard with something safer
3. Isolate the hazard from people - For instance, install guard rails and store chemicals in a fume cabinet.
4. Change the Workplace, equipment or work process (engineering controls) - For instance, use mechanical devices such as trolleys or hoists to move heavy loads, place guards around moving parts of machinery, install residual current devices (electrical safety switches), set work schedules to reduce fatigue.

**Level 3 control measures**

1. These control measures rely on human behaviour and supervision, and used on their own, tend to be least effective in minimising risks. Two approaches to reducing risk in this way are:
2. Use administrative controls - For instance, provide training and instruction on safe handling for a manual task, use signs to warn people of a hazard.
3. Use personal protective equipment (PPE) - Examples of PPE include breathing protection, gloves, aprons and protective eyewear. PPE limits exposure to the harmful effects of a hazard but only if workers wear and use the PPE correctly.
4. PPE must be provided to workers only when other control measures are not reasonably practicable or to supplement other control measures to minimise remaining risk. Where PPE is provided, you must ensure that:
5. the plant and equipment are selected in accordance with any relevant technical standard.
6. published by Safe Work Australia.
7. the plant and equipment are maintained, repaired or replaced to ensure it continues to.
8. minimise the risk information, instruction and training on its use is provided to the person using it, and
9. the person uses the PPE accordingly.
10. Administrative controls and PPE should only be used:
11. when there are no other practical control measures available (as a last resort)
12. as an interim measure until a more effective way of controlling the risk can be used, or
13. to supplement higher level control measures (as a backup).

**How to develop control measures**

1. Specific control measures may need to be developed if this Work Health and Safety Policy is not relevant to the hazards and risks or circumstances at your Workplace.
2. This can be done by referring to the chain of events that were recorded during the risk assessment and asking: “What can be done to stop or change the event occurring?” Working through the events in the sequence will give your ideas about all possible ways to eliminate or minimise the risk.
3. Where the hazard or risk has the potential to cause death, serious injury or illness, more emphasis should be given to those controls that eliminate or reduce the level of harm, than those that reduce likelihood.
4. While the cost of controlling a risk may be taken into account in determining what is reasonably practicable, it cannot be used as a reason for doing nothing. Cost cannot be used as a reason for adopting controls that rely exclusively on changing people’s behaviour or actions when there are more effective controls available that can change the risk through substitution, engineering or isolation.
5. Control measures which are not set out in the Managing and Reducing Known Risks Matrix should always be confirmed with the principal or relevant Key Management Personnel before they are planned and implemented.

**Step 4 – Review control measures**

1. The controls that you put in place to protect the health and safety of people need to be monitored and reviewed regularly to make sure they work as planned. Don’t wait until something goes wrong.
2. There are certain situations where you will be required to review your control measures under the Work Health and Safety (WHS) Laws and, if necessary, revise them. A review is generally required in the circumstances set out in section 4.6 of this Policy.
3. Use the same methods as in the initial hazard identification step to check controls.

## **Procedures**

* 1. **Identifying, reporting, assessing, managing and reducing Work Health and Safety (WHS) risks in the Business Premises**
     1. Make sure all identified risks are entered into Hope Disability Support Pty Ltd Risk Register and monitored appropriately.
     2. Conduct a Workplace Risk Assessment at Hope Disability Support Pty Ltd primary business premises every six months (or when necessary, in accordance with the Workplace Health and Safety Policy) to identify potential hazards and put appropriate controls in place to reduce the risk of injury or illness for clients, carers and other workers.
     3. Appropriate control measures should be actioned to ensure identified hazards are eliminated or minimised.
     4. The Risk Management process should be conducted in accordance with the Risk Management Process set out in Hope Disability Support Pty Ltd Work Health and Safety (WHS) Walk Around Risk Assessment Checklist.

**RESPONSIBILITY**: Principal

1. **Identifying, reporting, assessing, managing and reducing Work Health and Safety (WHS) risks in the client Home**
   * 1. If planning to provide services in the client’s home, gather relevant information at the referral, induction or client assessment stage to identify Work Health and Safety (WHS) issues and assess and manage risks in the client’s home.
     2. Before providing any services or supports to a client in their home, conduct a Risk Management assessment at the client’s home to identify potential hazards and put appropriate controls in place to reduce the risk of injury or illness for clients, carers and other workers. This process should be undertaken with the client, their family and, if possible, landlord and reviewed in accordance with this Policy.
     3. The Risk Management process should be conducted in accordance with the Risk Management Process set out in Schedule 2 and Hope Disability Support Pty Ltd Disability
     4. Services’s Work Health and Safety (WHS) Walk Around Risk Assessment Checklist.

**RESPONSIBILITY**: Client and the Principal

1. **Managing and reducing known risks**
2. Where one or more of the common hazards or risks associated with Hope Disability Support Pty Ltd business is identified or otherwise present in the Workplace or in connection with the support delivery environment, the control measures set out in the Managing and Reducing Known Risks Matrix (to the extent appropriate) should be implemented by workers and clients to eliminate or minimise the relevant hazard or risk of harm

The list of potential hazards and potential risks and potential controls set out in the Managing and Reducing Known Risks Matrix is not exhaustive. Other hazards, risks and controls may be identified when undertaking a thorough Risk Management process.

1. When working in a client’s home, Hope Disability Support Pty Ltd, the Representative (if any) and the client should action appropriate control measures to ensure identified potential hazards and risks are eliminated or minimised, to the reasonable satisfaction of Hope Disability Support Pty Ltd.
2. In this regard, the client and their Representative (if any) will (at their own expense):
3. maintain a safe work environment (for example, repairing broken steps, mowing long grass, restraining animals and providing adequate lighting).
4. look after their in-home safety (for example, maintaining electrical equipment and installing smoke alarms and safety switches to switchboards).
5. cooperate with Hope Disability Support Pty Ltd, other service providers and workers to ensure safe work procedures and a safe work environment (for example, moving furniture to allow adequate workspace and using lifting equipment based on assessed needs, provide recommended cleaning products).
6. keep their home safe, well maintained and in good order. and
7. inform Hope Disability Support Pty Ltd and others of any known hazards (i.e., the presence of pets).

unless Hope Disability Support Pty Ltd is responsible for providing support and services to assist in respect of the same.

1. Implementing control measures listed in the Managing and Reducing Known Risks Matrix is not intended to substitute the undertaking of a thorough Risk Management process to identify, assess and manage identified potential hazards and risks in a Workplace initially and when changes occur in the Workplace. In this regard, every Workplace is different, and the control measures may not always be appropriate.

The principal agrees to work with workers, clients and others to design appropriate control measures which manage hazards or risks identified as part of a Risk Assessment.

1. In circumstances where the control measures listed in the Managing and Reducing Known Risks Matrix would not appropriately manage the identified potential hazards or risks.

**RESPONSIBILITY**: Client and the Principal

1. **Maintain Insurances**

Obtain and maintain an adequate level of insurance including Public Liability insurance, Professional Indemnity Insurance and workers Compensation Insurance (if applicable).

**RESPONSIBILITY**: Principal and Key Personnel

1. **Keeping Records**
   * 1. Keep records relating to the health and safety of workers and the Risk Management process undertaken at all Workplaces.
     2. Keep Hope Disability Support Pty Ltd Work Health and Safety (WHS) Walk Around Risk Assessment Checklist completed in respect of any client’s home in the relevant client information file.

**RESPONSIBILITY**: All workers

1. **Reviewing risk controls**
   * 1. Review risk controls taken in connection with a Risk Management Process when:
        1. changes are made to a Workplace (including a client’s home), as soon as Hope Disability Support Pty Ltd becomes aware of the change.
        2. changes are made to the way work is done or when new services are to be provided to the client.
        3. new tools or equipment are introduced.
        4. new information about Workplace risks becomes available
        5. an incident occurs (even if they have caused no injury)
        6. responding to concerns raised by workers or others at the Workplace, and
        7. as required by Work Health and Safety (WHS) Laws for specific hazards.
     2. Regularly review current Work Health and Safety (WHS) risks to ensure that the controls are still working and whether they need to be altered by:
        1. conducting regular audits to ensure controls are effective and being used.
        2. reviewing the client’s condition and the work environment regularly.
        3. encouraging reporting of hazards, incidents and “near misses”. and
        4. consulting with workers and following up on issues raised

**RESPONSIBILITY**: Client and the Principal

1. **Hazard and Incident reporting and investigations**
2. Report any hazards associated with work tasks or activities to the Principal or Key Management Personnel as soon as becoming aware of them.
3. workers must report all incidents as soon as reasonably practicable including:
   1. injuries to clients or workers.
   2. emergency situations. and
   3. near-miss incidents where there is no injury but requires preventative action.
4. All incidents will be managed in accordance with Hope Disability Support Pty Ltd Incident Management and Reporting System.
5. All incident investigations in respect of serious incidents should include a review of this Work Health and Safety Policy.

**RESPONSIBILITY**: All workers

1. **Regulators, industry association, manufacturer and supplier websites**
   * 1. Where new information about risks in the context of Hope Disability Support Pty Ltd operations and support provision become available, this information should be incorporated (where relevant) into this Work Health and Safety Policy
     2. New information and advice about hazards and risks should be confirmed with regulators, industry associations, unions, technical specialists and safety consultants.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Worker knowledge, understanding of Work Health and Safety**
2. All workers are provided with a copy of this Policy in their orientation and induction materials.
3. Under their employment, contractor agreement or binding letter agreement, each worker at Hope Disability Support Pty Ltd is required to take responsibility for ensuring full understanding of the commitments outlined in this Policy as well as procedures and other strategies designed to ensure that the principles of this Policy are upheld.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Provide training to workers**
2. Training of workers in the Work Health and Safety Policy during their induction, and as part of ongoing refresher training and/or when processes change.
3. Training should require workers to demonstrate that they are aware of all identified risks and associated controls in the Managing and Reducing Known Risks Matrix and are familiar with the Risk Management process set out in Schedule 2.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Supervision of workers**

Where less experienced workers are expected to follow Risk Management procedures, the Principal and Key Management Personnel will supervise.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Continuous Improvement and Quality Management**

In addition to the continuous improvement and quality management procedures set out in sections 4.8, 4.9, 4.10 and 4.11, the following Continuous Improvement and Quality Management measures should be implemented contemporaneously with a Scheduled Review of this policy.

1. monitor Work Health and Safety (WHS) Laws for any changes to the requirements of this Policy.
2. review and analyse records of Workplace incidents, near misses, worker complaints, sick leave and the results of any inspections and investigations to identify potentially known hazards that may be missed in the Managing and Reducing Known Risks Matrix, the Risk Management Process (Schedule 2) and Hope Disability Support Pty Ltd Work Health and Safety (WHS) Walk Around Risk Assessment Checklist.
3. ensure managers, supervisors and other workers with health and safety responsibilities have the authority and resources to meet their requirements.
4. review this Policy in consultation with workers and their representatives.

**RESPONSIBILITY**: Principal and Key Management Personnel

## **Relevant Legislation, Regulations, Rules and Guidelines**

Legislation, Rules, Guidelines, Policies and Procedures applies to this Policy and Related Documentation as set out in the Legislation Register.

* <https://www.legislation.gov.au/Details/F2018L00629>

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

**SECTION 3**

**Rights and Responsibilities Procedures**

# IMPLEMENTING BEHAVIOUR SUPPORT POLICY

## **1. Overview**

Hope Disability Support Pty Ltd is committed to making sure that each participant’s quality of life is maintained and improved by personalised behaviour support plans that meet each client’s unique needs and is underpinned by the best evidence available.

This includes a commitment to reducing and, where possible, eliminating the use of restrictive practices.

## **Purpose**

Best practice behaviour support is enabled within the organisation through a framework of policies and procedures, designed to reduce risk and maintain the dignity and safety of participants and workers.

The Board of Hope Disability Support Pty Ltd will:

1. Ensure that each client’s quality of life is maintained and improved by personalised, evidence-informed behaviour support plans that meet the unique needs of each client.
2. Monitor the use and the effectiveness of behaviour support plans and the use of restrictive practices whilst complying with legislative requirements.
3. Work with specialist behaviour support providers to gather the appropriate information and develop person centred behaviour plans for participants.

## **Roles and responsibilities**

Management and workers at Hope Disability Support Pty Ltd will:

1. Identify and manage behavioural risks in collaboration with the participant and or their careers.
2. Ensure behaviour supports are documented in a participant’s behavioural support plan and are delivered in a person-centred manner where the participants human and legal rights are respected.
3. Identify potential barriers to implementation and work with Behaviour Support Practitioners to develop plans to address these barriers.
4. Regulate restrictive practices so they are only used as outlined in the client’s behaviour support plan and such use is implemented, documented and reported in line with relevant legislation and/or policy requirements.
5. Work with specialist behaviour support providers to evaluate the effectiveness of current plans.
6. Work with specialist behaviour support providers with the aim to reduce/eliminate the need for restrictive practices.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **BSP** means a behaviour support practitioner
* **PBS Capability Framework** means NDIS Positive Behaviour Support Capability Framework: For NDIS Providers and Behaviour Support Practitioners.
* **RRP** means regulated restrictive practices.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

<https://www.legislation.gov.au/Details/F2018L00629\>

## **Procedures**

1. **Assessing client needs for behaviour support**
   * 1. Identify and manage behavioural risks in collaboration with the client and or their careers.
2. Encourage workers to be aware of environmental element that may be risk factors for a client.
3. For clients who require a behaviour support plan, the plan will detail a range of strategies to be used to support the client to modify their behaviour to reduce the risk of harm associated with the exhibited behaviour. The plan will include proactive strategies to build on the client’s strengths and foster their life skills.
4. If there is no behaviour support plan and one is determined to be needed, Hope Disability Support Pty Ltd will refer to client to relevant health professionals for the development of a plan in partnership with the client and their representative and other professionals involved in their care.
5. Where a client is showing behaviours of concern, Hope Disability Support Pty Ltd will arrange for any interim response, assessment and development of a behaviour support plan.
6. Provide supervision and support to those responsible for implementing and monitoring a behaviour support plan, including clarifying anything not understood.
7. Provide resources, including time, for workers to comprehend each client's behaviour support plan.
8. Provide workers with support to understand a behaviour support plan and follow it correctly.
9. Work with specialist behaviour support providers to evaluate the effectiveness of current plans.
10. Work with specialist behaviour support providers with the aim to reduce/eliminate the need for restrictive practices
11. The behaviour support plan is to be used by workers in managing the client’s behaviours to reduce the risk of harm associated with the behaviour.
12. Identify potential barriers to implementation and work with Behaviour Support Practitioners to develop plans to address these barriers.
13. Ensure behaviour supports are documented in a participant’s behavioural support plan and are delivered in a person centred manner.
14. Regulate restrictive practices so they are only used as outlined in the client’s behaviour support plan and use is implemented, documented and reported.

**RESPONSIBILITY**: Management

1. **Use of restrictive practice** 
   * 1. Ensure restrictive practice is only used as part of a documented behaviour support plan.
     2. Check that any restrictive practice used is the least restrictive response possible, that it reduces the risk of harm to the person or others and is used for the shortest possible time to ensure the safety of the client or others.
     3. Adhere to state or territory laws and policies for the authorisation to use a restrictive practice.
     4. Lodge a behaviour support plan and the authorisation evidence for regulated restrictive practice with the NDIS Commission and comply with monthly reporting requirements.

**RESPONSIBILITY**: Management

1. **Behaviour support plans to meet client needs**
   * 1. Identify key stakeholders for the BSP.
     2. Facilitate the BSP (and team where relevant) to conduct the assessment.
     3. Support the BSP to conduct a risk assessment.
     4. Support the client to contribute to the assessment.
     5. Ensure workers have the training, skills and supports to assist in the in the assessment process.
     6. Arrange medical reviews as required.
     7. Train and encourage workers to adopt a wide range of strategies that can be used to control and minimise behaviours, which do not restrict the client’s rights and fosters their independence.
     8. Ensure least restrictive alternatives, consistent with positive behaviour support frameworks, are always tried before more restrictive options are considered.

**RESPONSIBILITY**: Management

1. **Implementing behaviour support**
   * 1. Provide clear expectations of workers that an important part of their role is to identify and develop meaningful activities for each client throughout the day.
     2. Lead and monitor the implementation of a behaviour support plan.
     3. Provide resources to support the implementation of behaviour support plans.
     4. Provide workers with ongoing training, supervision and support in the implementation of client behaviour support plans.

**RESPONSIBILITY**: Management

1. **Reporting the use of restrictive practice to the Commission**
   * 1. Support workers are to collect data to evaluate the ongoing effectiveness of a client’s behaviour support plan.
     2. Provide information on how consistently workers are implementing a behaviour support plan.
     3. Support the client and other key people to participate in the evaluation and review of their behaviour support plan.
     4. Use client outcomes as performance indicators.
     5. Hope Disability Support Pty Ltd’s management are responsible for recording all incidents on the Incident Register and for further reporting all incidents (including the use of all approved restrictive interventions) to the NDIS Commission in accordance with the Incident Management and Reporting Policy.
     6. Record each behavioural incident on an Incident Report form.

**RESPONSIBILITY**: Management

1. **Currency of behaviour support plans**
   * 1. Behaviour support plans are to be reviewed every 12 months (or earlier if required) in addition to a review of all incidents in the previous 12 months.
     2. A review may result in a recommendation for additional supports, a referral to an external health professional or a review of the behaviour support plan.
     3. Conduct a risk review if the risk related to client behaviours of concern have reduced, as they may be eligible for discharged from requiring a behaviour support plan.

**RESPONSIBILITY**: Management

1. **Reporting the use of unauthorised restrictive practice** 
   * 1. Report any emergency or unauthorised restrictive practice to the NDIS Commission
     2. Complete a review of the incident in accordance with the Incident Management and Reporting Policy.
     3. Only apply restrictive practices for which there is no behaviour support plan or prior approval in place in an emergency situation in which an immediate response is required to:
     4. save a client’s life.
     5. prevent a client from experiencing serious physical or psychological harm.
     6. prevent a client from causing serious physical or psychological harm to another person.
     7. Where a restrictive practice has been applied but there is no behaviour support plan or prior approval in place, complete an Incident Report form in accordance with the Incident Management and Reporting Policy.
     8. On receipt of an Incident Report form related to a challenging behavioural incident, managers and members of the client’s treating team are to undertake a review of:
     9. the events, situation and/or circumstances that may have triggered the client’s challenging behaviour.
     10. the specific challenging behaviour that predicated the restrictive practice being implemented.
     11. the client’s and workers’ immediate response.
     12. any learning’s from the experience.
     13. reporting tasks ie. noting details of the incident, workers present and any other reports as required.
     14. strategies to reduce the risk in the future. For example, is there a need for a behaviour support plan or risk assessment to address possible future situations?

**RESPONSIBILITY**: Management and all workers

1. **Interim behaviour support plans**
2. For clients who require a behaviour support plan, recruit appropriately skilled BSPs and carers to implement the interim plan.
3. Ensure all workers have the skills to provide effective supports for people with behaviours of concern.
4. Review procedures and policies using interim behaviour support plans to reduce the immediate risk and likelihood of crisis incidents.
5. Help the BSPs to conduct a risk assessment.
6. Provide support for immediate review by a medical professional if required.
7. Ensure that all workers understand restrictive practices and the consequences of unauthorised use.
8. Ensure staff are released to attend training in the implementation of an interim behaviour support plan.
9. Record and review incident reports and collect other relevant data as necessary.
10. Facilitate debriefing for involved parties (if a critical or serious incident has occurred).
11. Ensure inclusion of key parties (including the person) in post-incident reviews.

**RESPONSIBILITY**: Management

1. **Workers to commit to appropriate use of behaviour supports**
2. All workers are provided with a copy of the Behaviour Support Policy and this Procedure in their orientation and induction materials.
3. Under their employment, contractor agreement or binding letter agreement, each worker at Hope Disability Support Pty Ltd is required to take responsibility for ensuring:
   1. full understanding of the commitments outlined in the Policy and this procedure
   2. that the principles and procedures and other strategies within the Policy and procedure are applied in their daily work.

**RESPONSIBILITY**: All workers

1. **Train workers**
2. Training and supporting workers to understand and apply the legislation in implementing behaviour support plans for clients.
3. Training staff to recognise the importance of complying with the legislation in implementing behaviour support plans for clients and committing to the reduction and elimination of RRPs through the Policy and these procedures.

**RESPONSIBILITY**: Management

1. **Policy adoption**

Adopt and maintain the Policy and Related Documentation which assists Hope Disability Support Pty Ltd demonstrate compliance related to the use of Behaviour Supports Plans.

**RESPONSIBILITY**: Management

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# CHOICE AND ADVOCACY POLICY

## **1. Overview**

Hope Disability Support Pty Ltd is committed to ensuring that each participant is supported to interact with the provider by supporting clients to control their care, including appointing a representative of their choice as an advocate, independent or otherwise.

We are committed to working in partnership with our clients and their representatives to promote and ensure choice and control in relation to services and supports.

## **Purpose**

The Board of Hope Disability Support Pty Ltd will support clients in appointing a representative of their choice, partner with persons with a disability, and their family and community, to promote and ensure choice and control in relation to services and supports.

## **Roles and Responsibilities**

Workers will be sensitive to participants, and their family, carers and communities needs including:

* 1. Allowing enough time for participants to collaborate and consult in all aspects of their care.
  2. Supporting clients with decision making by always providing information in a format they can easily use and understand.
  3. Supporting the rights of participants to engage an advocate, independent or otherwise, of their choice and their right to have an advocate present when they choose to.
  4. Encouraging participants to be active in their care and to take control wherever possible in relation to services provided by Hope Disability Support Pty Ltd Disability Care.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>
* Advocacy of Support Person Request Form

## **Procedures**

**1. Create and disseminate Information to assist the client to make choices, exercise control and maximise their independence relating to supports provided**

Ensure each client and their families, carers, chosen community or advocate are provided with:

* + 1. Hope Disability Support Pty Ltd Client Information Booklet and Client Information Booklet (Easy Read version), which includes information about:
       1. Hope Disability Support Pty Ltd and the services and supports provided by Hope Disability Support Pty Ltd.

1. our commitment to the client’s legal and human rights and exercising informed choice and control.
2. includes those specific rights the client is entitled to as a client of Hope Disability Support Pty Ltd including the legal and human rights set out in the Choice Advocacy and Control Policy Statement.
3. information for accessing an interpreter service or bilingual staff. and
4. information for accessing an advocate or legal service (including an independent advocate).
5. a Client Intake Form which provides an opportunity for the client to tell us what is important to them including with respect to their requested services and supports, personal support needs and requirements, their goals and aspirations, their likes and dislikes and their preferences in respect of communication, and our Advocacy or Support Person Request Form

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Communicate in a language and use a type and method of communication the client is most likely to understand**

Support clients to communicate about services and supports in a manner which is responsive to their needs:

* + 1. use respectful and honest communication in all interactions whether they be spoken, written or carried by social media.
    2. communicate effectively to promote understanding of supports and services. Actively listening, using language that is understandable and engaging using open questions.
    3. identifying barriers to communication and identify strategies to address them. This includes the use of interpreters and translated material and providing information on accessing other services such as legal and advocacy support.
    4. work with bilingual assessment staff, interpreters (linguistic and/or sign), communication specialists and relevant advocacy agencies/services that can also assist client participation, inclusion, informed choice and control.
    5. encouraging clients to engage with their family, friends and chosen community if Hope Disability Support Pty Ltd has been directed to do so in accordance with the client induction materials, their support agreement or support plan (as applicable).
    6. informing clients of their rights to make informed choices, exercise control and maximise their independence relating to the supports provided in relation to services
    7. supporting them to exercise their rights and responsibilities.
    8. documenting all material communications accurately, clearly, professionally and in a timely manner and including them in the client’s Information file.
    9. supporting clients, their family, carers and support network to find, use and access the services and supports they need and work with them to reduce any limitations or barriers where they exist.

Aboriginal, Torres Strait Islander and all people from cultural, linguistic and diverse backgrounds (CALD) are supported in accessing services and supports in the community in an inclusive and supportive environment.

**RESPONSIBILITY**: All workers

1. **Assist clients to lead and direct their services and supports**

Assist each client to lead and direct the services and supports to be provided to them by Hope Disability Support Pty Ltd, supporting them to set the goals that will achieve their personal aspirations, make decisions and maximise their independence including by:

* + 1. communicating with the client in accordance with Section 4.2.
    2. asking the client to tell us what is important to them in the client intake form including their requested services, personal support needs and requirements, their goals and aspirations, their likes and dislikes and their preferences in respect of communication.
    3. meeting and asking the client to tell us what is important to them including providing them with any support required to assist them to complete their client intake form and discussing with them our plan to assist them to achieve their goals and meet their individual needs.
    4. gaining the client’s consent to the level of involvement that other people such as their family, carers, chosen community or advocate have at the client assessment or support planning stage (prior to the provision of supports) in planning and decision making about the client’s life and how they choose to live it including decisions about services and supports.
    5. if the client has provided their consent, supporting the client to engage with their family, friends, chosen community or advocate if required when communicating their needs and decisions to us.
    6. making every effort to enable the client to make a decision or to come to an agreement with its support network before a substitute decision maker is engaged.
    7. respecting the views of the client’s family and carers but recognising that the client has the final say in the planning and decision making about their services and supports (unless a guardian has been legally appointed).
    8. recognising that our clients can communicate their choices using other behaviours and being aware and alert to this behaviour which may be different for each client.
    9. listening intently to what the client and where appropriate their family, friends and chosen community has told us.
    10. using a person-centred approach to design the service and supports that meet their personal needs and support their goals and aspirations.
    11. recognising and responding to individual difference such as age, gender, culture, heritage, language, faith, sexual identity and relationship status and other relevant factors by applying the principles and policies in the Diversity Policy.
    12. working with the client to adapt to changing and not being “anchored” to the information provided or preferences expressed at the client assessment or support planning stage. and
    13. understanding the cultural/ language needs of our client’s family and carers, where they are involved, respecting the social structure of the Aboriginal and Torres Strait Islander Communities.

**RESPONSIBILITY**: All workers

1. **Support clients to make informed choices, exercise control and maximise their independence**
   * 1. Respect, promote and uphold each client’s rights and responsibilities including the legal and human rights set out in the Choice Advocacy and Control Policy Statement.
     2. Respect each client’s individual choices and support them to have a voice and exercise their legal and human rights.
     3. Support each client’s right to make the decisions about their life, enjoy a valued role in their community, have privacy and be free from discrimination.
     4. Provide additional support reasonably required by them to understand and exercise their legal and human rights including the dignity of taking risks. Support them to understand the benefits and risks of the options under consideration.
     5. Support and encourage clients to use self-protective strategies and behaviours when exercising their right to take risks.
     6. Help our clients discover and make the most of their strengths, abilities interests and talent.
     7. Support clients to explore the things that are important to them and important for them

**RESPONSIBILITY**: All workers

1. **Respecting autonomy including the right to intimacy and sexual expression**
   * 1. Recognise and respect: that persons with disability may still be interested in sexual expression and may be sexually active.
2. all relationships without judgement or discrimination.
3. that sexuality takes many forms and that some clients may have several partners, connections or romances.
4. a person’s right to privacy in all aspects of their life.
5. The confidentiality of clients’ lives including their sexuality.
6. Support clients and residents if sexual harassment or abuse is suspected and report it to the principal.
   * 1. Be mindful that some clients may have experienced trauma in the past including that due to their sexuality, sexual choices or gender identity

**RESPONSIBILITY**: All workers

1. **Providing clients with sufficient time to consider, review their options and seek advice if required**

Except in the case of emergency, at all stages of support provision, including assessment, planning, provision, review and exit:

* + 1. always encourage the client to take their time and review their options in respect of their supports and services and about their lives in general including in connection with the provision of any new supports or services or changes to existing supports and services.
    2. if the client has provided their consent to the involvement of other people in connection with their life or the provision of supports and services by Hope Disability Support Pty Ltd, encourage the client to engage with those people in relation to any material decision in respect of their life at any and all stages of support provision, including assessment, planning, provision, review and exit.
    3. make every effort to enable the client to make a decision or where appropriate, assist families, carers and advocates to come to an agreement on their own terms and own timeframe. and
    4. respect the views of the client’s family and carers but recognise that the client has the final say in the planning and decision making about their services and supports (unless a guardian has been legally appointed) and allow the client to come to such a decision on their own terms and own timeframe.

**RESPONSIBILITY**: All workers

1. **Providing access to advocacy**

Encourage and support clients to access legal or advocacy services that can assist them to make informed choices, exercise control and maximise their independence while they are receiving a service or support from Hope Disability Support Pty Ltd by providing information in relation to how to access such services in Client Induction Materials.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Maintain clients’ rights to privacy**

Maintain the client’s right to privacy, ensuring that records and information about them and in relation to their choices, control and independence are only used in accordance with the Choice Advocacy and Control Policy and Related Documentation or under the client’s direction for the purpose of providing services and supports and are otherwise kept confidential (and only disclosed in line with applicable legislation and related documentation).

**RESPONSIBILITY**: All workers

1. **Welcome feedback in relation to promoting human legal and human rights and enabling informed choice and control**
2. Create an environment where all feedback is valued.

1. Welcome feedback (including anonymously) and promptly deal with it pursuant to the Feedback and Complaints Management and Resolution Policy.
2. Actively consult with clients to continually improve in delivering best practice in service delivery.

Conduct an annual survey of all workers, clients, their support networks and other stakeholders and ask them to suggest areas for improvement in relation to Hope Disability Support Pty Ltd application of the Choice Advocacy and Control Policy including its commitment to the client making informed choices, exercising control and maximising their independence relating to the services and supports provided.

**RESPONSIBILITY**: All workers

1. **Workers are to commit to this Policy**
2. All workers are provided with a copy of the Choice Advocacy and Control Policy in their orientation and induction materials.
3. Under their employment, contractor agreement or binding letter agreement, each worker at Hope Disability Support Pty Ltd is required to take responsibility for ensuring:
   1. full understanding of the commitments outlined in the Choice Advocacy and Control Policy as well as procedures and other strategies designed to ensure that the principles of the Choice Advocacy and Control Policy are upheld. and
   2. ensuring that the principles and procedures and other strategies within the Choice Advocacy and Control Policy are applied in their daily work.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Train Workers**
2. Train workers to assist them to understand how to apply the Choice Advocacy and Control Policy and these procedures in everyday practice during their induction, and as part of ongoing refresher training and/or when processes change.
3. Train and support workers to identify and report a breach of a client’s rights by any other party.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Supporting cultural, linguistic and diverse backgrounds**

Aboriginal, Torres Strait Islander and all people from cultural, linguistic and diverse backgrounds (CALD) are supported in accessing services and supports in the community in an inclusive and supportive environment.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Policy adoption**

Adopt and maintain the Choice Advocacy and Control Policy and related documentation which assists Hope Disability Support Pty Ltd to demonstrate the relevant NDIS Practice Standard and Quality Indicators related to the Choice, Advocacy and Control.

**RESPONSIBILITY**: The board

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# RESPECTING CLIENTS’ POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is committed to treating all participants and their representatives with dignity and respect and acknowledges that this is a basic human right. We have a zero tolerance for any form of abuse.

## **Purpose**

The Board of Hope Disability Support Pty Ltd and its workers will always treat participants with dignity and respect to enable them to live to their full potential.

We will provide a service where clients are free from abuse, where client’s feel safe and will ensure clients live in an environment where they are protected from any form of abuse.

In its deliberations and operations, the Board of Hope Disability Support Pty Ltd will at all times support a culture of acceptance of diversity in the participants and staff of the organisation and a zero tolerance for any forms of abuse.

## **Roles and Responsibilities**

The Board of Hope Disability Support Pty Ltd has the ultimate legal responsibility for the service.

In recognising our role in supporting diversity we will:

* 1. Advocate for the organisation and its stakeholders to the community and other bodies as appropriate.
  2. Provide a safe service where clients are free from abuse.

The Board may delegate responsibility for some of its responsibilities to Key Management Personnel as detailed in the Delegation of Authority documentation.

Management is responsible for the implementation and monitoring compliance with this policy and associated legislation as listed on the legislation register and communicates relevant information to stakeholders. They are also training staff to ensure they know their responsibilities in relation to the Charter of Rights and ensuring that clients are treated with dignity and respect at all times and are not subject to any form of abuse.

In the event that Hope Disability Support Pty Ltd does not have the resources, experience or expertise to deliver the services in a sensitive manner, referrals will be made to an external agency that can best cater for consumers’ needs.

Employees are responsible for:

1. Ascertaining, documenting and providing the care and services that meet the individual needs of each client based on their personal preferences and needs
2. Providing are and services with respect and promotes the dignity of each client.
3. Reporting instances where the client is not treated with dignity and respect.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **Abuse i**s the violation of a person’s human rights, through an act or actions of commission or omission, by another person, or persons. Types of abuse include:
* Financial abuse.
* Psychological abuse (including social abuse).
* Physical abuse or neglect.
* Sexual abuse (including non-physical actions such as obscene language). and
* Chemical abuse (including inappropriate use, underuse or overuse, of prescribed medication)
* It can also be the result of intentional or unintentional neglect (WHO 2021).

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>

## **References**

* WHO. Elder Abuse Fact Sheet. 4 October 2021.

<https://www.who.int/news-room/fact-sheets/detail/elder-abuse>

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# CLIENT PRIVACY POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is committed to managing and protecting the confidentiality and privacy of its clients.

In its deliberations and operations, the Board of Hope Disability Support Pty Ltd will at all times protect the privacy of client information using a systematic approach to identifying, actioning and monitoring processes.

Hope Disability Support Pty Ltd is compliant with the Australian Privacy Principles and information collected is managed in keeping with the Privacy Act 1988 (Cth)

## **Purpose**

Hope Disability Support Pty Ltd provides an environment where workers and participants understand the requirements both legal and ethical for maintaining privacy and confidentiality.

Hope Disability Support Pty Ltd collects and keeps only that information required to provide a high quality and effective service in accordance with the Australian Privacy Principles 1,3,6,10,11,12, and 13

Participants are fully informed about the collection of information so that they understand the extent of collection and the use of their private and confidential information through the use of the Privacy Consent Form.

This information is given in a format easily able to be understood by the participant taking into consideration a participant’s individual needs.

## **Roles and Responsibilities**

The Board of Hope Disability Support Pty Ltd has the ultimate legal responsibility for protecting the privacy of client information.

Management is responsible for the implementation and monitoring of compliance with this policy and associated legislation as listed on the legislation register and communicates relevant information to stakeholders.

They are also responsible for training workers to ensure they know and understand their responsibilities in relation to the protection of client privacy.

Workers are responsible for:

1. Maintaining the privacy and confidentiality of information, to prevent unauthorised disclosure to, or use by, another individual, company or firm.
2. Using information that is considered confidential only for the purpose of providing care. This obligation exists even after employment with the organisation has ceased.
3. Ensuring that any part of the confidential information of Hope Disability Support Pty Ltd is not removed and shared without written authorisation from the CEO/Director
4. Ensuring that confidential information is not copied, retained or memorised for inappropriate use.
5. On termination of their employment, or else when required to do so by Hope Disability Support Pty Ltd, return any, and all, of the confidential information including any copies of that information
6. Returning confidential information is returned in good condition at the expected due date specified by Hope Disability Support Pty Ltd.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# 3.5 PROPERTY POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is committed to ensuring that client property, including money, is secure and each client uses their own property, including money as they choose.

Hope Disability Support Pty Ltd will ensure consent at all times has been given when accessing client’s property including money.

Hope Disability Support Pty Ltd will not give financial advice to participants and will maintain privacy of any financial information it collects in relation to the provision of service.

## **Purpose**

The Board of Hope Disability Support Pty Ltd will ensure every participant’s property, including money, is secure.

Each participant will be supported to function as independently as possible by managing and using their property, including money, to support their lifestyle.

Where there are indicators of financial abuse Hope Disability Support Pty Ltd will take the appropriate action.

## **Roles and Responsibilities**

Key Management Personnel will:

* 1. Provide education and oversight of workers’ understanding of managing a clients property including money
  2. Monitor compliance with the procedures for managing participants property and money.
  3. Investigate and manage complaints through the Hope Disability Support Pty Ltd feedback and complaints mechanism.

Workers will:

* 1. Encourage participants in their endeavours to live as independent a life as possible by supporting them to manage and use their own property including money.
  2. Raise any issues in regard to client property and money with their manager or key personnel
  3. Encourage participants to keep property including money safe and secure
  4. Monitor for any indication of financial abuse and notify Key Management Personnel of their concerns
  5. Encourage participants to register a complaint when issues arise.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>
* Client Cash Reconciliation Form

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# CLIENT DIVERSITY POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is committed to developing a rich culture that includes a diverse workforce and a safe and healthy workplace.

Creating an environment in which every participant and employee is treated fairly, is respected and has the opportunity to achieve their full potential as individuals. Hope Disability Support Pty Ltd has a zero tolerance for discrimination.

Diversity at Hope Disability Support Pty Ltd refers to all the characteristics that make individuals different from each other. It includes characteristics or factors such as religion, race, ethnic origin, language, gender, sexual orientation, disability, age or any other potential factor of difference.

## **Purpose**

The Board of Hope Disability Support Pty Ltd will ensure every participant and employee is treated fairly, is respected and has the opportunity to achieve their full potential as individuals.

## **Roles and Responsibilities**

* 1. Hope Disability Support Pty Ltd Board of Management will:

1. Create a supportive and inclusive environment where individual differences and contributions are encouraged, recognised and valued, and where participants are cared for in an environment free from stigma and stereotyping
2. Create a working environment that promotes dignity and respect for everyone.
3. Attract and retain a skilled and diverse workforce representing the communities in which we deliver our services.
4. Provide safe, accessible and inclusive work environments to promote full participation in the workforce.
5. Fully comply with all anti-discrimination and equal employment legislation.
6. Take a zero-tolerance approach to any form of intimidation, bullying, victimisation, vilification or harassment and will take action against those who violate this policy.
7. Regularly review practices, procedures, complaint and incident data as a way of identifying discriminatory practices and ensuring a safe, inclusive and accessible service and workplace.
   1. Hope Disability Support Pty Ltd CEO and Key Personnel will:
      1. Lead, review and monitor practices and data to ensure a safe, respectful and non-discriminatory workplace is maintained.
      2. Build a workforce that understands diversity and inclusivity and its application to the work of Hope Disability Support Pty Ltd.
      3. Build a workforce that is respectful and is provided with opportunities to develop their skills and abilities
      4. Understand their role in promoting a non-discriminatory service delivery framework and workplace and take steps to integrate the values of diversity, dignity and respect into work and service delivery practices.
      5. Take action in all instances where this policy has been breached.
   2. Hope Disability Support Pty Ltd workers will:
      1. Treat others with dignity and respect at all times
      2. Raise issues of discriminatory practice and inappropriate conduct
      3. Support anyone who feels they have been, or are being, discriminated against or treated differently to express their concerns through Hope Disability Support Pty Ltd Feedback and Complaints policy and procedures.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **Diversity** recognising, respecting and valuing differences based on ethnicity, gender, age, race, religion, disability and sexual orientation. It also includes an infinite range of individual unique characteristics and experiences, such as communication style, career path, life experience, educational background, geographic location, income level, marital status, parental status and other variables that influence personal perspectives (Chubb Insurance Group 2018).

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

<https://www.legislation.gov.au/Details/F2018L00629>

**References**

* Chubb Insurance Group company case study - approach to diversity 2018

## **Procedures**

**1. Identify and meeting client culture, diversity, values and beliefs**

Provide each client, their families, carers or advocate with our Client Induction Pack that contains relevant information on assessing and responding to client cultural, diversity, values and beliefs.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Identify and meeting client culture, diversity, values and beliefs**

Identify and develop plans and actions to meet the culture, diversity, values and beliefs of each individual client. This includes:

* + 1. Supporting clients to communicate about their culture, diversity, values and beliefs to ensure our services and supports are responsive to the personal needs by as stipulated by the client or their representative
    2. Appreciating and responding to each client as a unique individual with needs underpinned by their cultural background, gender identity, sexual orientation, socio-economic status, age, physical and psychological state, religious belief, political beliefs, or other views
    3. Providing a safe, positive, and supportive environment
    4. Meeting the client to discuss their cultural background (including religious background), individual needs, life experiences and personal choices so we can tailor and deliver appropriate personalized culturally sensitive relevant services
    5. Supporting the client’s rights to practice their culture, values and beliefs while we provide services and supports.
    6. Respecting cultural spaces in the home, for example, those reserved for prayer
    7. understanding the cultural/ language needs of each client and respecting the social structure, particularly in relation to our Aboriginal and Torres Strait Islander clients.
    8. using person-centered thinking, planning and approaches design personalized service and supports that meet the cultural, diversity, values and beliefs of each client
    9. working with the client to modify their services to meet changes in their individual needs over time.

**RESPONSIBILITY**: All workers

1. **Communicate using communication and terms relevant to each client**

To ensure our services and supports meet the individual needs of each client worker are to communicate to clients using appropriate strategies to maximise understanding for each client. This includes:

* + 1. using respectful, open, clear, and honest communication always (e.g., spoken, written, social media).
    2. Using active listening, plain language and encouraging questions from clients.
    3. Identifying potential barriers and strategies to overcome these. For example, providing information on how to access interpreter services, legal and advocacy services.
    4. working with bilingual assessment staff, interpreters (linguistic and/or sign), communication specialists and relevant advocacy agencies/services where relevant to promote client inclusion, informed choice and control.
    5. Encouraging clients to engage with their family, friends and chosen community as per their support agreement or support plan (as applicable).
    6. Timely documentation of communications that is accurate, clear and storing these in the client information file.

**RESPONSIBILITY**: All workers

1. **Supporting cultural, linguistic and diverse backgrounds**
   * 1. Hope Disability Support Pty Ltd supports Aboriginal and Torres Strait Islander and all other people from Cultural, linguistic and diverse backgrounds (CALD) to maintain and strengthen the connection to their culture and community. This includes providing a culturally safe environment for Aboriginal and Torres Strait Islander children.
     2. Hope Disability Support Pty Ltd supports the rights of individuals who identify as having a particular cultural or linguistic connection and will provide a culturally safe environment for all clients.

**RESPONSIBILITY**: Principal and Management

1. **Providing access to advocacy**

Provide information to support clients to access legal or advocacy services

to assist them to express their preferences with respect to their culture and diversity (for example Client Induction information).

**RESPONSIBILITY**: Principal and Management

1. **Maintaining client privacy**

Ensure that the privacy of each client ensuring that records and information about them and their decisions are only used in accordance with the purpose of providing services and supports.

**RESPONSIBILITY**: All workers

1. **Feedback in relation to culture and diversity**
   * 1. Create an environment where feedback encouraged by all stakeholders associated with Hope Disability Support Pty Ltd in relation to meeting the cultural, diversity and individual needs of each client.
     2. Will proactively identify areas where Hope Disability Support Pty Ltd can learn and improve client support with respect to their culture and beliefs.
     3. Welcome feedback (including anonymously) and promptly deal with any complaints or incidents involving active that diminishes the principles of diversity and equality, including discrimination (including indirect discrimination) and harassment (including bullying, victimisation and vilification) in accordance with Feedback and Complaints Management and Resolution Policy or Incident Management Policy (as applicable).
     4. Actively consult with clients to continually improve meeting their needs and delivering best practice services.
     5. Conduct an annual survey of all workers, clients, their support networks and other stakeholders to gather information on areas for improvement in meeting the diversity and cultural needs and beliefs of clients.

**RESPONSIBILITY**: All workers

1. **Worker commitment to the Diversity Policy**
2. All Workers are provided with a copy of this policy in their orientation and induction materials.
3. Under their contractual agreement each worker at Hope Disability Support Pty Ltd is responsible for ensuring:
   1. Comprehensive understanding of the commitments outlined in the Diversity Policy, these procedures and other strategies designed to ensure that the principles of this policy are upheld. and
   2. That the principles and procedures and other strategies in this Policy are applied to their daily work.

**RESPONSIBILITY**: All workers

1. **Train Workers**
2. Train Workers to assist them to understand how to apply this Diversity Policy and these procedures in everyday practice.
3. Train and support Workers to identify and report a breach of a client’s rights.

**RESPONSIBILITY**: Principal and Management

1. **Policy adoption**

Adopt and maintain the Client Diversity Policy.

**RESPONSIBILITY**: The board

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

**3.6 PROTECTING CLIENT RIGHTS POLICY**

## **1. Overview**

Hope Disability Support Pty Ltd is committed to ensuring we uphold and respect each participants human rights and that they are protected. We support our clients to freely express themselves and their needs, and respect their rights to independence, self-determination and decision making.

## **Purpose**

Hope Disability Support Pty Ltd will ensure every participant is free to express themselves and their needs and respect their rights to independence and decision making to achieve their full potential as individuals.

## **Roles and Responsibilities**

The Board of Hope Disability Support Pty Ltd will at all times respect the human worth of their clients and participants and ensure that the service reflects the highest standards of ethical behaviour.

Workers at Hope Disability Support Pty Ltd will:

1. Make sure that the provision of care and support is delivered in an ethical, safe and non-discriminatory environment.
2. Encourage expression, participation and self-determination for its clients.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **Human rights**:
  + 1. the recognition and respect of people’s dignity.
    2. a set of moral and legal guidelines that promote and protect recognition of our values, our identity and ability to ensure an adequate standard of living
    3. the basic standards by which we can identify and measure inequality and fairness
    4. those rights associated with the Universal Declaration of Human Rights. (The Australian Human Rights Commission)

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

<https://www.legislation.gov.au/Details/F2018L00629>

**Reference**

Australian Human Rights Commission. What are human rights.

* <https://humanrights.gov.au/about/what-are-human-rights>
* Independent Contractor Agreement Form

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# 3.7 QUALITY MANAGEMENT AND CONTINUOUS IMPROVEMENT POLICY

## **1.Overview**

Hope Disability Support Pty Ltd is committed to the quality management and ongoing continuous improvement in its delivery of safe quality care and services to its clients.

This is enabled within the organisation through a framework of policies, procedures, meetings, communication and support for an inclusive and open culture that enables staff within the organisation to deliver high quality services.

## **Purpose**

Hope Disability Support Pty Ltd actively pursues continuous improvement and implements a systematic approach to identifying, actioning and evaluating improvements that aims to enhance the care and services provided to clients.

Improvement opportunities are identified through a variety of mechanisms including both formal and informal processes. Stakeholders have opportunity for suggesting improvements and all staff are responsible for participating in continuous quality improvement.

Management oversees the continuous improvement process across the organisation and communicates relevant information to stakeholders.

## **Roles and Responsibilities**

The Board of Hope Disability Support Pty Ltd has the ultimate legal responsibility for the service. They also have responsibility for:

* 1. The development of strategy, setting goals and pursuing the mission and vision set for the organisation
  2. Accountability for making sure the organisation meets its obligations, delivers safe quality care and services and operates transparently.
  3. Managing, monitoring and promoting a culture of safety and ongoing continuous improvement across the organisation
  4. Advocating for ongoing improvement
  5. Managing and monitoring the performance and standards of practice across the organisation in line with its legal and constitutional obligations

The CEO and Key Personnel are responsible for:

1. Managing and monitoring the Continuous Improvement Framework across the organisation
2. This includes interrogating data from the organisation to ensure quality is monitored and risks are addressed.
3. Ensuring compliance with and improving performance against the NDIS Practice Standards

Workers are responsible for:

1. providing safe quality care and services
2. participating in ongoing continuous improvement of care and services.
3. Identifying areas for improvement
4. Ensuring care delivery is in line with the NDIS Practice Standards

Clients, participants, representatives, volunteers and visitors are actively encouraged to provide input into the continuous improvement of care and services.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Procedures**

1. **Maintain compliance with applicable legislation and NDIS Practice Standards**
   * 1. Maintain the Legislation Register of all material legislation, regulations, standards affecting Hope Disability Support Pty Ltd to ensure and assist in monitoring ongoing compliance with all material legislative and regulatory obligations.
     2. Maintain the Policy Register of Hope Disability Support Pty Ltd’s Policies which assists to demonstrate how each Hope Disability Support Pty Ltd Policy supports the application of each relevant NDIS Practice Standard.
     3. Make electronic copies of relevant legislation, regulations and standards in the Legislation Register easily accessible to the Principal, Key Management Personnel and all other Workers.
     4. Ensure workers know relevant legislation and have a working knowledge of the legislation, regulations and standards which are relevant to their day-to-day roles and the roles of workers they supervise.
     5. Ensure checklists are maintained in relation to legislation to assist with compliance.
     6. Train and supervise workers as set out below.
     7. Plan, implement and monitor a culture of legislative compliance by:
        1. ensuring that significant compliance responsibilities and accountability requirements are included in the particular Position Descriptions or Employment Agreements of workers including the knowledge of relevant legislation.
        2. ensuring adherence of legislation is assessed through Performance Reviews
        3. ensuring that induction processes, systems and procedures for new workers include documentation and information on compliance matters (as applicable).
        4. reporting and investigating any incident, occurrence or complaint suspected to constitute a material breach or non-compliance with any material legal requirement in accordance with the Incident Management and Reporting Policy or the Feedback and Complaints Management Policy (as applicable), to establish if corrective action is required. and
        5. designing and implementing system improvements to correct weaknesses that could result in a breach of a legislative requirement.
     8. Ensure all improvements required to achieve legislative compliance are recorded in the Continuous Improvement Register

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Conduct Internal Audits**
   * 1. Key Management Personnel will conduct the Internal Audit using the Internal Audit Schedule at least 6 months prior to the scheduled date of the External Audit.
     2. The Key Management Personnel will investigate all areas of service delivery and will aim to ascertain the degree of compliance or non-compliance and note improvements which could be made in relation to:
2. observations from the previous External Audit.
3. Hope Disability Support Pty Ltd meeting its obligations under applicable legislation and standards set out in the Legislation Register as well as the relevant NDIS Practice Standards and its reporting requirements to relevant funding bodies.
4. Policies (falling due for review prior to the External Audit) and other Relevant Documentation to ensure they are up to date and otherwise in compliance with relevant legislation and standards and the NDIS Practice Standards as amended from time to time.
5. ensuring that annual surveys have been conducted and findings actioned.
6. ensuring that all records and data collected pursuant to the Feedback and Complaints Management and Resolution Policy has been reviewed and continuous improvement strategies actioned.
7. ensuring that all records and data collected pursuant to the Incident Management and Reporting Policy has been reviewed and continuous improvement strategies actioned.
8. ensuring Hope Disability Support Pty Ltd continually strives for improvement.
   * 1. Ensure that all non-conformities identified from the Internal Audit are addressed and completed prior to the External Audit.
     2. Ensure all improvement actions are entered on the Continuous Improvement Register.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Welcome feedback in relation to Quality Management**
   * 1. Create an environment where all feedback is valued including from clients (including persons with disability), workers and others in relation to:
2. identify areas where Hope Disability Support Pty Ltd can improve the delivery of its services and supports.
3. enhance performance against the NDIS Practice Standards. and
4. identify service and organisation opportunities for continuous improvement in a systematic and planned way.
5. Welcome feedback (including anonymously) and promptly deal with any complaints pursuant to the Feedback and Complaints Management and Resolution Policy.
6. Actively consult with clients to continually improve in delivering best practice in service delivery.
7. Conduct an annual survey of all workers, clients, their support networks and other stakeholders and ask them to suggest areas for improvement.

**RESPONSIBILITY**: Principal and Key Management Personnel

**4. Maintain Continuous Improvement Register**

Maintain a Continuous Improvement Register in a spreadsheet which provides for the following information to be collected:

* + 1. Date submitted – so you can see how long the opportunity has been on the register
    2. ID – give each improvement opportunity a unique ID
    3. Issues Identified -the source if the issue and what improvement is needed
    4. Planned Action – actions to be implemented to improve
    5. Person Responsible – the person responsible for implementing the improvement
    6. Planned Completion Date – the date that the actions are to be completed
    7. Completion Date – the date the actions were completed Outcome– the results, achievement, impact and what you measured to track what has happened to this opportunity.

**RESPONSIBILITY**: Principal and Key Management Personnel

**5. Review of data in relation to incidents**

* + 1. Review records, statistical and other information kept in relation to incidents annually to enable:

1. review of issues raised by the occurrence of incidents. and
2. identify and address systemic issues.
   * 1. Ensure all improvement actions identified from the review are entered in the Continuous Improvement Register.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Review of data in relation to complaints**
   * 1. Review all records, statistical and other information kept in relation to complaints annually to enable:
2. review of issues raised by the occurrence of complaints. and
3. identify and address systemic issues.
   * 1. Conduct a statistical summary of complaints at least annually.
     2. Ensure all improvement actions identified from the review are entered in the Continuous Improvement Register.
     3. Disseminate relevant improvement strategies and information to other Workers with a need to know for implementation in support delivery to Clients.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Review Risk Related Data**
   * 1. Review Walk Around Checklists and other documentation kept in accordance with the Work Health and Safety Policy to enable:
2. review of risks and hazards raised by the occurrence of the risk or hazard in Workplaces. and
3. identify and address systemic issues.
   * 1. Review documentation kept in accordance with the Risk Management Policy to see if there are any improvement opportunities.
     2. Ensure all improvement actions identified from the review are entered in the Continuous Improvement Register.
     3. Disseminate relevant improvement strategies and information to other Workers with a need to know for implementation in support delivery to Clients.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Review improvement opportunities in support delivery**
2. Review and study information released from relevant industry associations (including the NDIS Commission) associated with the services and supports provided by Hope Disability Support Pty Ltd to keep up to date with improvement opportunities based on evidenced-informed practice.
3. Subscribe and study “Provider Alerts” issued by the NDIS Quality and Safeguards Commission in respect of best practice support delivery.
4. Attend relevant external training and continuous professional development to keep up to date with evidence-informed practice.
5. Review all Policies and Procedures relating to services and support provision annually to ensure they are up to date and reflect evidence-informed practice.
6. Ensure all improvement actions identified are entered on the Continuous Improvement Register.
7. Disseminate relevant improvement strategies and information to other Workers with a need to know for implementation in support delivery to Clients.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Implement improvement plans**

Implement improvement actions in accordance with the Continuous Improvement Register.

**RESPONSIBILITY**: The board, Principal and Key Management Personnel

1. **Provide training to Workers**
2. Provide relevant Workers internal and external training in the necessary knowledge and understanding of legislative requirements relevant to the work they are carrying out during their induction, and as part of ongoing refresher training and/or when processes change or where it is identified that training is needed or requested in connection with a Performance Review or Worker feedback.
3. Provide internal and external training opportunities in relation to evidence-informed practice in respect of the services and supports provided by Hope Disability Support Pty Ltd and in respect of which relevant Workers have a need to know.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Supervision of Workers**

Supervise Workers to ensure they are complying with relevant legislation and otherwise complying with their obligations under this Quality Management and Continuous Improvement Policy.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Policy adoption**

Adopt and maintain the Policy and Related Documentation which assists Hope Disability Support Pty Ltd to demonstrate the relevant NDIS Quality Indicators related to the Quality Management NDIS Practice Standard.

**RESPONSIBILITY**: The board

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and policies and procedures related to care and service delivery.

* Continuous Improvement Register

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# 3.8 MANAGEMENT OF RISKS POLICY

## **1. Overview**

Hope Disability Support Pty Ltd is focused on mitigating risk in their operating environment in order to provide high quality and excellence in service delivery.

As a service delivery organisation Hope Disability Support Pty Ltd has a dispersed workforce often working in environments created by other people.

We are committed to creating a safe environment through the identification, management, control and monitoring of risks.

## **2. Purpose**

To provide an organisational framework that supports the identification and management of risk so as to ensure a safe working environment for workers and the organisation.

## **3. Roles and Responsibilities**

Hope Disability Support Pty Ltd culture is an essential part of its risk management strategy. The Board of Management and the workers of Hope Disability Support Pty Ltd promote openness and willingness to discuss issues and risks and their management.

The Board of Management of Hope Disability Support Pty Ltd Disability in conjunction with Key Personnel aim to allocate resources and manage and monitor risks to ensure its workers, consumers and other people are not harmed by the risks associated with the provision of support and services.

Hope Disability Support Pty Ltd will conduct and regularly review its risk profile through assessment, control and monitoring of its risks across the service. Risks are identified and the plans to manage them are documented and reviewed at least annually or in the case of high-risk categories at least monthly.

It is expected that Risk Management activities will be undertaken in a manner consistent with the Procedures set out in the Risk Management Procedures.

Work Health and Safety Risks are managed in accordance with Hope Disability Support Pty Ltd Work Health and Safety Policy.

Hope Disability Support Pty Ltd is committed to continuous improvement in Risk Management. Internal Audits in accordance with the Quality Management Policy review the effectiveness of controls to manage risks in accordance with this Risk Management Policy.

Risk Management is a standard agenda item on both the Board and management agendas.

## **4.NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

* Standards 2 & 4
* Standard 2 Provider Governance and Operational Management
* Standard 4 Provision of Supports Environment

## **5.Relevant Legislation, Regulations, Rules and Guidelines**

Legislation, Rules, Guidelines and Policies applies to this Policy and Related Documentation as set out in the Legislation Register

* <https://www.legislation.gov.au/Details/F2018L00629>
* Risk Assessment Matrix
* Risk Register

## **6. Scope of this Policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and it**s** workers, contractors and volunteers.

## **7.Definitions**

* **Client** means a client of Hope Disability Support Pty Ltd (including an NDIS participant).
* **Key Management Personnel** means any person delegated by the board with responsibility.
* **Legislation Register** means the register of legislation, regulations, rules and guidelines maintained by Hope Disability Support Pty Ltd.
* **Policy Register** means the register of policies of Hope Disability Support Pty Ltd.
* **Principal** means the owner and or the Board of Management, or their delegate, of Hope Disability Support Pty Ltd.
* **Reasonably practicable** is that which is, or was at a particular time, reasonably able to be done in relation to ensuring workplace health and safety, taking into account and weighing up all relevant matters including:
  + 1. the likelihood of the hazard or the risk concerned occurring. and
    2. the degree of harm that might result from the hazard or the risk. and
    3. what the person concerned knows, or ought reasonably to know, about:
       1. the hazard or the risk. and
       2. ways of eliminating or minimising the risk. and
    4. the availability and suitability of ways to eliminate or minimise the risk. and
    5. after assessment, the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.
* **Risk Management** is a process whereby hazards are identified, the risks associated with the identified hazard are assessed and the control measures which will eliminate or minimise the risk of injury from the identified hazard are planned and implemented.
* **Worker** means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Hope Disability Support Pty Ltd and includes the principal

## **Procedure**

1. **Identifying and controlling identified risks**
   * 1. Risks are to be identified, classified and controlled using the Risk Management Matrix and entered into the risk register.
     2. Strategies for dealing with identified risks to Hope Disability Support Pty Ltd are documented.
     3. Appropriate control measures should be actioned to ensure identified hazards are eliminated or minimised.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Review of strategies**

Strategies to control risks should be reviewed contemporaneously with a Scheduled Review of the Risk Management Policy and Procedures by following these four steps:

* + 1. identify risks – undertake a review of Hope Disability Support Pty Ltd to identify potential risks
    2. assess risks – understand the likelihood of the risks causing harm and the potential consequences or impact if the risk eventuated
    3. manage and control risks – manage risks involves avoiding, reducing, transferring or accepting the risk
    4. monitor and review - regularly monitor and review the strategies to control risks to ensure the control measures and insurance cover is adequate

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Maintain Insurances**

Obtain and maintain an adequate level of insurance including Public Liability insurance, Professional Indemnity Insurance and Workers Compensation Insurance.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Welcoming feedback in relation to Risk Management**
   * 1. Create an environment where all feedback is valued including from Clients, Workers and others to identify areas where Hope Disability Support Pty Ltd can improve its Risk Management processes and procedures.
     2. Welcome feedback (including anonymously) and promptly deal with any complaints pursuant to the Feedback and Complaints Management and Resolution Policy.
     3. Actively consult with Workers, Clients, their support networks and other stakeholders to continually improve Risk Management processes at Hope Disability Support Pty Ltd.
     4. Conduct an annual survey of all Workers, Clients, their support networks and other stakeholders and ask them to suggest areas for improvement in relation to the Risk Management processes of Hope Disability Support Pty Ltd.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Reporting of hazards and incidents**
   * 1. Workers must report all incidents as soon as reasonably practicable including:
        1. injuries to clients or workers.
        2. emergency situations. and
        3. near-miss incidents where there is no injury but requires preventative action.
2. All incidents will be managed in accordance with Hope Disability Support Pty Ltd Incident Management System.
3. All incident investigations should include a review of the Risk Management Procedure.

**RESPONSIBILITY**: All workers

1. **Checking for new information when it becomes available**
   * 1. Where new information about risks in the context of Hope Disability Support Pty Ltd operations and support provision become available, this information should be incorporated (where relevant) into the documented risk management strategies.
     2. New information and advice about business risks should be confirmed with insurers and advisors

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Workers to commit to Policy**
   * 1. All Workers are provided with a copy of the Risk management Policy and this procedure in their orientation and induction materials.
     2. Under their employment, contractor agreement or binding letter agreement, each Worker at Hope Disability Support Pty Ltd is required to take responsibility for ensuring:
        1. full understanding of the commitments outlined in the Risk Management Policy and Procedure as well as procedures and other strategies designed to ensure that these principles are upheld. and
        2. ensuring that these principles and procedures and other strategies are applied in their daily work.

**RESPONSIBILITY**: All workers

1. **Train Workers**

Train Workers in the Risk Management Policy, Procedures and Risk Management process during their induction, and as part of ongoing refresher training and/or when processes change of Workers with a need to know

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Continuous Improvement and Quality Management**

In addition to the continuous improvement and quality management procedures set out above, the following Continuous Improvement and Quality Management measures should be implemented contemporaneously with a Scheduled Review of this Policy and Procedures:

1. analyse relevant legislation for any changes to the requirements of this Policy and Procedures and to determine new areas of potential risk.
2. analyse records of incidents, near misses and complaints to identify new areas of potential risk.
3. review this Policy in consultation with other Key Management Personnel.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Policy Adoption**

Adopt and maintain the Policy and Related Documentation which assists Hope Disability Support Pty Ltd to demonstrate the quality and safe service provision in alignment with the relevant NDIS Quality Indicators related to the Risk Management NDIS Practice Standard.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Risk Assessment Matrix**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Probability of Occurrences** | | | **Severity** | | | | |
| **Catastrophic** | **Critical** | **Moderate** | **Minor** | **Insignificant** |
| **Likelihood** | **Meaning** | **Value** | **(A)** | **(B)** | **(C)** | **(D)** | **(E)** |
| **Frequent** | * Risks that occur frequently * Will be continuously experienced unless action is taken | **5** | **5A** | **5B** | **5C** | **5D** | **5E** |
| **Likely** | * Risks that are highly likely to occur * Occurs less frequently if corrective action is taken | **4** | **4A** | **4B** | **4C** | **4D** | **4E** |
| **Occasional** | * Occurs sporadically * Discovered through surveillance | **3** | **3A** | **3B** | **3C** | **3D** | **3E** |
| **Seldom** | * Unlikely to occur * Rarely reported | **2** | **2A** | **2B** | **2C** | **2D** | **2E** |
| **Improbable** | * Highly unlikely to occur * Never previously reported | **1** | **1A** | **1B** | **1C** | **1D** | **1E** |

|  |
| --- |
| **Explanation of Risk Levels:** |
| Risk is **High** for codes 5A, 5B, 5C, 4A, 4B, 3A (in red). |
| Risk is **Medium High** for codes 5D, 5E, 4C, 3B, 3C, 2A, 2B (in orange). |
| Risk is **Medium Low** for codes 4D,4E,3D, 2C, 1A, 1B (in yellow). |
| Risk is L**ow** for codes 3E, 2D, 2E, 1C, 1D, 1E (in blue) |

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# 3.9 PROVISION OF SUPPORTS POLICY

## **1.Overview**

Hope Disability Support Pty Ltd exists to provide services to people with a disability who require ongoing support and care in order to fully participate in a life and lifestyle of their choosing.

## **Purpose**

Hope Disability Support Pty Ltd is committed to ensuring each participant’s support is planned collaboratively, managed to a high level, responsive to the participants needs, well-coordinated and that each participant has a full understanding of the supports agreed to.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **Access**

**Access to Supports**

* + 1. To be considered for a service or support from Hope Disability Support Pty Ltd, potential clients must:
       1. be a person with a disability of an age which Hope Disability Support Pty Ltd is permitted to provide services pursuant to its NDIS registration.
       2. live proximate to Hope Disability Support Pty Ltd base of operations.
       3. require assistance with a support or service which Hope Disability Support Pty Ltd provides. and
       4. have funding from an identified source (i.e., they are an NDIS client) or have a source of private funding.
       5. (**Support Information**).
    2. Hope Disability Support Pty Ltd will communicate with and provide a personalised, person-centred approach including providing support to access Information in the language, mode of communication and terms that the Client is most likely to understand.
    3. Hope Disability Support Pty Ltd will ensure that each person seeking to use its services and supports will be assessed on:
       1. the defined access and entry criteria in this Policy and as specified in this Policy Statement and in the Procedures.
       2. the organisational capacity and resources of Hope Disability Support Pty Ltd to provide the requested services and supports.
       3. as far as reasonably practicable, an open and accountable process for assessing the eligibility and entry needs of potential Clients and the capacity of Hope Disability Support Pty Ltd to meet their needs.
       4. subject to applicable law and this Policy and related Policies, non-discriminatory eligibility criteria and entry rules with respect to age, gender, sexuality, race, culture, religion, disability or other identifiers.
       5. any requirements of the NDIS Terms of Business for Registered Providers.
    4. Hope Disability Support Pty Ltd will review and discuss the Support Information and proposed support delivery environment with each potential Client and any family, carers, chosen community or advocate that the client directs us to, to identify and minimise any barriers that would prevent it from being fit for purpose and to otherwise ensure each client’s health, privacy, dignity, quality of life and independence is supported.
    5. Reasonable adjustments to the support delivery environment being made and monitored by Hope Disability Support Pty Ltd to ensure it is fit for purpose and each client’s health, privacy, dignity, quality of life and independence is supported.

**Services Agreements**

* + 1. Hope Disability Support Pty Ltd will collaborate with each client to develop a written Services Agreement which establishes expectations, explains supports to be delivered and specifies the conditions attached to the delivery of supports, including an explanation as to why these conditions are attached.
    2. Consideration will be given to the terms of the Services and Supports Schedule which forms part of the Services Agreement.
    3. Hope Disability Support Pty Ltd will provide clients and their support network, support to understand their Services Agreement and conditions using the language, mode of communication and terms that the client is most likely to understand including by:
       1. facilitating bilingual staff or an interpreter service to assist if required or upon request. and
       2. organising an advocacy service to assist if required or upon request.
    4. Hope Disability Support Pty Ltd will aim to ensure all Services Agreements are documented in writing and each Client receives a copy of their agreement signed by the client and Hope Disability Support Pty Ltd. In the unlikely event that a written Services Agreement is unable to be prepared, a record as to the reasons why a written agreement was not created and a record of the material terms of the service arrangement will be recorded in the Client’s Information File until such time as a permanent agreement can be prepared.

**Support Planning**

* + 1. Hope Disability Support Pty Ltd will ensure that clients receive services that are planned, designed, and delivered around their individual circumstances, needs and preferences.
    2. Hope Disability Support Pty Ltd support planning process will place the client and other members of the support network at the center of the client’s plan and is designed to assist them to build capacity to have as much control as possible over the planning, implementation, and review of the plans, supports and services.
    3. A collaborative assessment of the client and their individual circumstances, needs, support requirements, preferences, strengths, and goals as well as the terms of their Plan are used to develop the Support Plan. With consent from the client, information from the NDIA (or other government agencies) as well as other support providers to the client will inform the support plan.
    4. In collaboration with each client, Hope Disability Support Pty Ltd will conduct a risk assessment as part of the plan and appropriate strategies to treat known risks will be planned and implemented. Periodic reviews of the effectiveness of risk management strategies will be undertaken with each client to ensure risks are being adequately addressed and changes will be made when required.
    5. Hope Disability Support Pty Ltd will review each support plan annually or earlier in collaboration with each Client, according to their changing needs or circumstances. Progress in meeting desired outcomes and goals is assessed at a frequency relevant and proportionate to any risk, the client’s functionality and the Client’s wishes. Where progress is different from the expected outcomes and goals, Hope Disability Support Pty Ltd will work with the client to change and update their client Support Plan where necessary.
    6. Where appropriate, and with the consent of the Client, information on the support plan may be communicated to family members, carers, other providers and relevant government agencies.

**Responsive Support Provision**

* + 1. Hope Disability Support Pty Ltd provide services and supports that are based on contemporary evidence-based best practice with a strong focus on the person-centred approaches
    2. Hope Disability Support Pty Ltd will make sure its clients’ rights and best interests are protected and the support strategies used are planned, documented, and reviewable, based on the least intrusive options and reflect contemporary, evidence-based best practice and funded and legal requirements.
    3. Unless otherwise agreed in the Services Agreement, links are developed and maintained through collaboration with the Client’s other service providers to share information and meet the client’s needs.
    4. Reasonable efforts are made to involve the client in selecting their workers, including the preferred gender of workers providing personal care supports.
    5. Where a client has specific needs which require monitoring and/or daily support, Hope Disability Support Pty Ltd will ensure workers are appropriately trained and understand the client’s needs and preferences contemporaneously in accordance with the Service Access Procedure set out below.

**Transitions to and from the provider**

Hope Disability Support Pty Ltd will ensure planned transitions by a client to or from it are facilitated in collaboration with each client and their support network, when possible, in accordance with documented procedure.

Risks associated with the transition will be identified, documented and responded to accordingly.

**General**

Hope Disability Support Pty Ltd support potential clients’ right to complain and provide feedback about any aspect of their access to and the provision of support that are important to them and for them, their family, and carers. This is available through our feedback and complaints mechanism.

## **Definitions**

* **Client** means a client of Hope Disability Support Pty Ltd (including an NDIS client).
* **Key Management Personnel** means the principal and other Senior staff and other key management personnel involved in Hope Disability Support Pty Ltd.
* **Legislation Register** means the register of legislation, regulations, rules and guidelines maintained by Hope Disability Support Pty Ltd.
* **Plan** means the written plan developed with a client and on their behalf by the National Disability Insurance Agency or their delegate (for example, a Local Area Coordinator).
* **Policy Register** means the register of policies of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management, or their delegate,
* **Related Documentation** has the meaning given to that term in Section 1.1.
* **Worker** means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Hope Disability Support Pty Ltd and includes the principal.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standards 1 & 2

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management

## **Procedure**

**1.Support Information accessibility procedure**

* + 1. Provide Support Information about the services and supports Hope Disability Support Pty Ltd offers to clients and prospective clients by ensuring that:
       1. the Support Information is included in the Client Information Booklet and Client Information Booklet (Easy Read).
       2. all enquiries by a prospective client are responded to in a promptly by trained staff as outlined in the Service Access Procedure set out below. and
       3. each person who makes an inquiry about Hope Disability Support Pty Ltd and supports is treated fairly, honestly, ethically and without discrimination.
    2. Hope Disability Support Pty Ltd will provide support in the language, mode of communication that the client is most likely to understand in accordance with the Service Access Procedure below.

**RESPONSIBILITY**: Principal and Management

1. **Eligibility procedure** 
   * 1. A prospective client or family member, carer, advocate, or member of the prospective client’s community make a request for service by:
        1. phone or email. or
        2. a general enquiry via the Hope Disability Support Pty Ltd website.
     2. The principal or a staff member will contact the enquirer via telephone in a timely manner.
     3. After the initial telephone conversation, if the client continues to be interested in obtaining support and services from us, they will be assessed to determine their eligibility to receive services and support from Hope Disability Support Pty Ltd.
     4. A client will be provisionally eligible to receive services and supports from Hope Disability Support Pty Ltd if they:
        1. Are a person with a disability of an age which Hope Disability Support Pty Ltd is permitted to provide services under its NDIS registration.
        2. live in the geographic region Hope Disability Support Pty Ltd’s serves.
        3. are seeking assistance for services or supports that Hope Disability Support Pty Ltd provides. and
        4. have a source of funding, this may be individualised government funding (for example they have a Plan) or private,
     5. The following documents will then be sent or emailed to the client (and/or the person that made the enquiry) for completion to gather further information about the client’s eligibility to receive supports and services from Hope Disability Support Pty Ltd:
        1. Privacy Consent Form
        2. Client Information Booklet
        3. Client Information Booklet - Easy Read
        4. Client Intake Form.

**(Provisional Criteria**)

1. Where a provisional client is transitioning from another service provider to Hope Disability Support Pty Ltd, Hope Disability Support Pty Ltd will:
   1. seek consent from the client and/or their family/carer to contact the NDIA and other service providers (including any support coordinator) to discuss or obtain support requirements, schedules, plans, and understand their goals to assist in development of a transition to determine if it can provide the requested services
   2. Consult with the client and their family/carer to obtain the person’s NDIS Client No, date of birth and obtain the Client’s NDIS Support Plan or portion of the plan related to support that Hope Disability Support Pty Ltd is to provide.
2. If during the initial telephone conversation, it is evident that the caller may need support to understand the Support Information, Hope Disability Support Pty Ltdcan engage an interpreter service, bilingual staff or other forms of assistance to assist them to understand the Support Information.
3. The client will also be informed that they may have an advocate of their choice to assist with planning and that we can help them access an advocacy service (including an independent advocate).
4. If an interpreter service or bilingual staff are required, Hope Disability Support Pty Ltd will offer the prospective client information and assistance in relation to organising this.
5. If it appears from the initial telephone conversation that the client is likely to meet the Provisional Criteria, arrangements will be made for the client, their family members/carers and other significant people in their support network to meet with the principal or other qualified representative of Hope Disability Support Pty Ltd to discuss a potential engagement. This may take place at the client’s home or other place agreed to by all.
6. At the meeting, the principal or a qualified representative of Hope Disability Support Pty Ltd, the client, their support network and any other person(s) in attendance to assist the client to understand the Support Information (such as an interpreter), will:
7. discuss the client’s goals, requested supports and services and other service options (for example, based on the potential client’s Plan).
8. discuss the information provided by the potential client to Hope Disability Support Pty Ltd including the information provided in the Client Intake Form and Privacy Consent Form and any further information gathered at the meeting.
9. discuss the client’s expectations in relation to the proposed support delivery environment including if they consider that adjustments should be made to ensure it is meeting the needs of the client.
10. discuss the conditions where supports can be withdrawn. and
11. work jointly on the proposed terms of a Services Agreement, such agreement to be:
    1. based on Hope Disability Support Pty Ltd’s standard Services Agreement. and
    2. proposed expectations, explains the services, and supports to be delivered, and specifies any conditions to be attached to the delivery of supports, including why those conditions are included.
12. After the meeting, we will check any other checks and review the information to ensure the client meets the Provisional Criteria.
13. Assuming the client meets the Provisional Criteria, the Principal will decide, based on all information obtained, if Hope Disability Support Pty Ltd:
    1. has the capacity and resources to provide the requested services and supports to the client. and
    2. can effectively support the potential client to meet their goals, needs and expectations in a person, centred manner.
14. Hope Disability Support Pty Ltd will then:
    1. make an offer to provide supports and services to the client. or
    2. advise the prospective client if, based on the principal’s assessment, we are unable to provide support or services to them the reasons why.

If we make an offer to provide services and supports to the prospective client, Hope Disability Support Pty Ltd will deliver the client a completed Services Agreement between Hope Disability Support Pty Ltd (including a Services Schedule) and them based on the Client Intake Form and the discussions and collaboration at the meeting with the principal.

1. If the client understands and is satisfied with the terms of the Services Agreement, they will be asked to sign the Services Agreement and return it to Hope Disability Support Pty Ltd so the principal and/or other authorised
2. member of Hope Disability Support Pty Ltd can put the agreement in place. Once this has occurred the client will be provided with a fully executed copy of the Services Agreement and the terms of the agreement will be binding by them and Hope Disability Support Pty Ltd.
3. All information about the client will be stored in their Client Information File.

**RESPONSIBILITY**: Principal and Management

1. **Support planning procedure**
   * 1. Once a Services Agreement has been agreed and signed Hope Disability Support Pty Ltd will commenced client assessments to develop a support plan
     2. To do this the principal, the client and their support network will meet to discuss and create a support plan that mets the needs, requirements, preferences, strengths and goals of the client.
     3. Information and access will be from a range of resources including the NDIA and other service providers (including any support coordinator) to discuss or obtain support requirements, schedules, plans, and to understand their goals.
     4. If determined at earlier meetings that the client and/or their support network may need support in relation to the support planning procedure relevant assistance such as an interpreter service, bilingual staff, or other forms of assistance to can be arranged to assist them.
     5. The client will also be notified that they can have an advocate of their choice to help them with planning and that Hope Disability Support Pty Ltd can assist them to access an Advocacy Service.
     6. Where a client is transitioning from another service provider, the support planning process will also involve the development of a planned transition plan in relation to the transition of supports and services to Hope Disability Support Pty Ltd from the previous service provider.
     7. During the planning discussion, Hope Disability Support Pty Ltd will:
2. implement person-centred processes to ensure Hope Disability Support Pty Ltd understands the client’s strengths, likes, dislikes, personal needs, goals, and expectations.
3. review the Plan and any additional reports or attached information and encourage the client and their support network to express their needs and wishes and the determination of their specific support.
4. review the client’s documented goals, assess outcomes, and support the client and family to refine or identify and document, new goals.
5. ensure Hope Disability Support Pty Ltd clients’ rights and best interests are protected, and the support strategies used are based on the least restrictive alternative and reflect contemporary, evidence-based best practice and funded and legal requirements as part of any support planning process.
6. ensure the supports and services intervene in the life of the client in the least intrusive way possible with the smallest possible infringement on the client’s rights. and
7. conduct a client risk assessment in accordance with the Risk Assessment Form and WHS Walk Around Checklist, with appropriate strategies to manage known risks planned and implemented,
8. and develop a written Client Support Plan responsive to support needs of the client and support network that documents the provision of services and supports by Hope Disability Support Pty Ltd, within available funding and Hope Disability Support Pty Ltd’s program and service capacity.
9. Ensure the Client Support Plan names all involved in its development, the staff member(s) responsible for providing the supports, contains a review date and is signed and dated by the client and where applicable, parent (or legal guardian), with a signed copy provided to the client and where applicable, parent (or legal guardian).
10. Once the support plan has been developed, the Client Assessment completed and appropriate risk management strategies implemented, Hope Disability Support Pty Ltd will begin delivering the requested services and supports.
11. With the consent of the client (such consent to be provided in accordance with the Support Agreement), information on the support plan is communicated to family members, carers, other providers, and relevant government agencies.

**RESPONSIBILITY**: Principal and Management

1. **Reasonable adjustments to the support delivery**

In collaboration with the client, Hope Disability Support Pty Ltd will make reasonable adjustments to the client’s support delivery environment make sure it meets the client’s health, privacy, dignity, quality of life and independence is supported. This is achieved by:

* + 1. having an understanding that everyone is unique and recognising individual differences.
    2. understanding that the client’s support delivery environment and in particular their support preferences in respect of their health, privacy, dignity, quality of life and independence can be influenced by factors including race, ethnicity, gender, sexual orientation, socio-economic status, age, physical abilities, religious beliefs, political beliefs, culture, heritage, language, faith, sexual identity and relationship status and other relevant factors.
    3. making reasonable efforts to involve the client in choosing their workers, including the gender of workers providing personal care supports (to the extent that, Hope Disability Support Pty Ltd employs and engages the preferred gender of a worker, and such a worker is available and capable in providing the required supports).
    4. providing a safe, positive, and nurturing support delivery environment.
    5. using an interpreter service or bilingual assessment staff to ensure the support delivery environment supports the client’s health, privacy, dignity, quality of life and independence and is otherwise fit for purpose.
    6. meeting the client to gather information about the client’s background (including cultural background), individual needs, unique history, life experiences and personal choices may impact on their ability to engage with any services and supports and how, as a result, we may sensitively respond and could reasonably adjust the support delivery environment.
    7. respecting, promoting, and upholding the client’s rights and responsibilities including to respond to and support each client’s right to practice their culture, values and beliefs while accessing support as well as the other rights set out in the Diversity Policy.
    8. where supports are provided in the client’s home, work is undertaken with the client to ensure a safe support delivery environment in accordance with the Work Health and Safety Policy and WHS Walk Around Checklist. This includes, where relevant, work being undertaken with other providers and services to identify and treat risks, ensure safe environments, and prevent and manage injuries.
    9. where the support delivery environment includes the client’s home, respecting the privacy and dignity and cultural significance of different spaces in the home.
    10. understanding the cultural/ language needs of our client’s family and carers, where they are involved, respecting the social structure of the Aboriginal and Torres Strait Islander Communities and how this may impact on the service delivery environment.
    11. listening to what the client and where appropriate their family, friends and chosen community has told us about their needs and wishes and the reasonable adjustments to the support delivery environment they would like to see.
    12. using person centred thinking, planning and approaches when making reasonable adjustments to the support delivery environment to reflect the above considerations.

**RESPONSIBILITY**: All workers

1. **Review of the support delivery environment and support plan procedure**
   * 1. Monitoring of any reasonable adjustments made to the support delivery environment will occur c with the provision of supports to ensure they remain fit for purpose and that the client’s health, privacy, dignity, quality of life and independence continue to be supported as the client’s needs as they may change over time.
     2. Periodic reviews of the effectiveness of the risk management strategies to address client risks will be completed to ensure risks are being adequately addressed, at the earlier of:
        1. when changes to the support delivery environment occur. or
        2. when a support plan is reviewed.
     3. Each support plan will be reviewed annually or earlier in partnership with each client or as required by the Client’s Support Plan, according to their changing needs or circumstances and their progress in meeting their stated outcomes.
     4. During the review:
        1. progress in meeting desired outcomes and goals expressed during the support planning process will be assessed relevant and proportionate to risks, the client’s functionality and wishes. and
        2. where restrictive intrusions are used in the provisions of services and supports, their continued need for these will be assessed, with the aim of reduction or elimination of the need for restrictive intrusions.
     5. Where progress is different from expected outcomes and goals, we will work with the client and their representatives to modify the support plan. All changes are recorded in the client’s updated Support Plan and Client Information File.
     6. Where appropriate, and with the consent of the client, information on the updated support plan will be communicated to family members, carers, other providers and relevant government agencies.
     7. Hope Disability Support Pty Ltd’s staff should not be “bound” to the information provided or preferences expressed or needs identified at the client assessment or support planning stage when conducting a review

**RESPONSIBILITY**: Principal and Management

1. **Continuity of supports**

Reasonable efforts are made to ensure that the same worker (or group of workers) provides services and supports to the client without interruption throughout the period of their Services Agreement.

Where changes or interruptions are unavoidable (for example, due to leave arrangements), alternative arrangements are explained and agreed with the client.

**RESPONSIBILITY**: Principal and Management

1. **Identification of Workers**
   * 1. All workers will be provided with an identification card to be worn on an item of clothing or which is otherwise accessible and can be provided to a client. The card will have their name and photo printed on it.
     2. All workers will wear this identification card when providing engaging with clients.

**RESPONSIBILITY**: Principal and Management

1. **Withdrawal of Supports**

Services and supports provided to a client may be withdrawn by Hope Disability Support Pty Ltd if any of the following events occurs:

* + 1. the client ceases to be a person with a be a person with a disability of an age which Hope Disability Support Pty Ltd is permitted to provide services pursuant to its NDIS registration.
    2. the client ceases to live proximately to Hope Disability Support Pty Ltd’s base of operations.
    3. the client ceases to have a source of individualised government funding (i.e., they are an NDIS client) or have a source of private funding or that funding is otherwise used.
    4. the client’s support plan or the services provided by Hope Disability Support Pty Ltd are no longer able to meet the person’s needs or assist in achieving chosen goals.
    5. the client and/or their support network fails to communicate and provide information pertaining to changes to support needs.
    6. the client transfers to another service provider.
    7. the client dies.
    8. the client is unable or unwilling over a period of time to work towards agreed goals.
    9. the client is unwilling to meet the reasonable conditions required in their support plan that impacts on the safe delivery of a service to the client and the health and safety of the staff.
    10. the client is in breach of the terms of the Services Agreement
    11. the client fails to comply with the Policies and Procedures of Hope Disability Support Pty Ltd.
    12. changes to the client’s condition leads to care and services beyond the capacity Hope Disability Support Pty Ltd to provide
    13. there has been no contact between the client and Hope Disability Support Pty Ltd for a period of 2 months.
    14. the client and/or family member/carer engages in behaviour which is unacceptable to Hope Disability Support Pty Ltd such as violence, abuse, aggression, theft or property damage or which poses a risk to the safe delivery of a service to the client or the health and safety of the staff.
    15. the client ignores risk management procedures in accordance with the Hope Disability Support Pty Ltd Work Health and Safety Policy.
    16. the client fails to pay fees due and payable to Hope Disability Support Pty Ltd by the due date for payment in accordance with the Services Agreement. and
    17. either party gives at least four weeks’ notice to the other party in writing in relation to the termination of the Services Agreement.

**RESPONSIBILITY**: Principal and Key Management Personnel

1. **Transition from Hope Disability Support Pty Ltd procedure**
2. Ensure that a transition from Hope Disability Support Pty Ltd occurs in a professional, planned and collaborative manner in accordance with the Exit and Transition Form.
3. Make sure that a transition plan is conducted in consultation with the client, and any other important people from the person’s support network.
4. The transition plan shall be documented in writing and include:
   1. information about referral processes, introduction to other service providers and/or, community that can offer supports and services required by the client after they have exited Hope Disability Support Pty Ltd. and
   2. any identified risks associated with the transition and where relevant, strategies to manage those risks are planned and implemented.
5. As part of the transition, the client and their family/carer will be offered the opportunity to participate in an exit interview if they choose.
6. Hope Disability Support Pty Ltd will use information from the interview as part of an evaluation and feedback processes to improve Hope Disability Support Pty Ltd’s ‘s services and identify any staff training requirements.
7. Upon exit all documentation and information developed and implemented by Hope Disability Support Pty Ltd will remain the property of Hope Disability Support Pty Ltd.
8. All information in relation to the client will be retained, secured and stored in accordance with Hope Disability Support Pty Ltd’s Privacy and Dignity Policy.

**RESPONSIBILITY**: Principal and Management

1. **Welcome feedback and identify areas of improvement**
2. Create an environment where all feedback is valued and encouraged including from clients, workers, and others to identify areas where Hope Disability Support Pty Ltd can learn and improve its support of clients.
3. Welcome feedback (including anonymously) and promptly deal with any complaints or incidents in accordance with Feedback and Complaints Management Policy or Incident Management and Reporting Policy (as applicable).
4. Consult with clients to continually improve in delivering quality and safe services.
5. Conduct an annual survey of all workers, clients, their support networks, and other stakeholders and ask them to suggest areas for improvement in relation to Hope Disability Support Pty Ltd application of this Policy including its commitment to best practice service delivery.

**RESPONSIBILITY**: All workers

1. **Workers to commit to Policy**
2. All workers are provided with a copy of this policy in their orientation and induction materials.
3. Under their employment contractual agreements each worker at Hope Disability Support Pty Ltd is required to take responsibility for ensuring:
   1. full understanding of the the policy as well as procedures and other strategies designed to ensure that the principles of this policy are followed. and
   2. ensuring that the principles and procedures and other strategies within this procedure and accompanying policy are applied in their daily work.

**RESPONSIBILITY**: Principal and Management

1. **Train Workers**
2. Train workers to assist them to understand how to apply the Policy and these procedures in everyday practice during their induction, and as part of ongoing refresher training and/or when processes change.
3. Train and support workers to identify and report a breach of a client’s rights.

**RESPONSIBILITY**: Principal and Management

1. **Communicate so the client is likely to understand**

We will adopt communication strategies to assist clients to communicate their needs and provide feedback about the care and services they receive to ensure we are meeting their requirements.

We will do this by

1. using respectful, open, clear, and honest communication at all times (e.g., spoken, written, social media).
2. communicating with clients to promote their understanding of the conversation (e.g., listening, use of plain language, encouraging questions).
3. identifying barriers to effective communication and making a reasonable effort to address these including by providing information and materials on how to access interpreter services, legal and advocacy services.
4. working with bilingual assessment staff, interpreters (linguistic and/or sign), communication specialists and relevant advocacy agencies/services that can also assist client participation, inclusion, informed choice and control.
5. supporting clients to engage with their family, friends and chosen community if Hope Disability Support Pty Ltd has been directed to do so.
6. documenting all material communications accurately, clearly, and in a timely manner and including them in the client’s information file.

Aboriginal, Torres Strait Islander and all people from cultural, linguistic, and diverse backgrounds (CALD) are supported in accessing services and support in the community in an inclusive and supportive environment.

**RESPONSIBILITY**: All workers

1. **Providing access to advocacy**

Encourage and support clients to access legal or advocacy services that can assist them to express their preferences with respect to the provision of support by Hope Disability Support Pty Ltd by providing information in relation to how to access such services.

**RESPONSIBILITY**: Principal and Management

1. **Policy adoption**

Adopt and maintain the Policy and related documentation which assists Hope Disability Support Pty Ltd to provide excellence in provision of supports.

**RESPONSIBILITY**: The board

## **Other Relevant Legislation and Documents**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>
* Privacy Consent Form
* Client Information Booklet
* Client Information Booklet - Easy Read
* Client Intake Form
* Change of Support
* Client Support Plan
* Client Support Plan Office Checklist Form
* Client Survey
* Exit and Transition Form
* My NDIS Support Record
* Privacy Consent Form
* Risk Assessment Form
* Risk Taking Form
* Service Schedule
* Service Agreement
* Service Agreement (SIL)
* Service Agreement Checklist

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# 3.10 INCIDENT MANAGEMENT AND REPORTING POLICY

## **1.Overview**

Hope Disability Support Pty Ltd committed to ensuring that each client is protected by the provider’s incident management system, making sure that incidents are recognised, responded to and well-managed. Hope Disability Support Pty Ltd views all incidents as an opportunity for learning and ongoing continuous improvement to provide quality and safe services for clients.

## **Purpose**

The Board of Hope Disability Support Pty Ltd will:

1. Ensure that any of Hope Disability Support Pty Ltd clients, families, carers, advocates, statutory bodies, government agencies, stakeholders, workers or any other person report incidents, including near misses.
2. Hope Disability Support Pty Ltd understand they can report incidents, including near misses, and that these will be managed without negative impacts on them as clients or employees.
3. Monitor trends of incidents, including near misses, and use these for ongoing continuous improvement or services delivery
4. Monitor the effectiveness of the incident management and reporting process.

## **Roles and responsibilities**

The Board at Hope Disability Support Pty Ltd will:

1. Ensure that all people associated with Hope Disability Support Pty Ltd are free and are supported to report all incidents, including near misses.
2. Monitor trends in incidents and take a proactive approach to ongoing continuous improvement to minimise risk and prevent recurrence
3. Will regularly review the Incident Management System and processes.

The Management at Hope Disability Support Pty Ltd will:

1. Ensure that all people associated with Hope Disability Support Pty Ltd are free and are supported to report all incidents, including near misses.
2. Investigate and manage incidents, including near misses, efficiently in accordance with the Incident Management and Reporting procedure.
3. take all reasonable steps to ensure that information related to an Incident iis kept confidential and only disclosed if required by law or if the disclosure is appropriate in the circumstances
4. Identify any required actions to address incidents to improve the care and service provided by Hope Disability Support Pty Ltd
5. keep an accurate Incident Register.
6. Monitor trends in incidents and take a proactive approach to ongoing continuous improvement to minimise risk and prevent recurrence
7. Will regularly review the Incident Management System and processes.
8. Keep all records related to the incident for 7 years from the day the record is made.
9. Provide staff incident reporting training.

The workers at Hope Disability Support Pty Ltd will:

1. Provide clients with information on incident reporting and management process.
2. Ensure that all clients associated with Hope Disability Support Pty Ltd are supported to report incidents without negative impacts on the care and services provided to them.
3. Manage and resolve incidents efficiently in accordance with the Incident Reporting and Investigation Procedure.
4. Implement any actions to address minimize risk, prevent recurrence to improve the care and service provided by Hope Disability Support Pty Ltd.
   1. provide clients with information on incident management, including how incidents involving them have been managed.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **External Incident Manager** means such a person as determined by the principal that would meet the criteria in the Criteria for Complaint Manager or Incident Manager document.
* **Incident Manager** means the person responsible for and qualified for managing Incidents being:

1. the principal. or
2. if the principal is directly and substantially involved in the Incident and that Incident is considered serious by the Principal, another Senior Staff Member at Hope Disability Support Pty Ltd determined by the principal and notified to Workers,

* **Incidents** are:

1. acts, omissions, events or circumstances that:
   1. occur in connection with Hope Disability Support Pty Ltd and its Workers providing supports or services to a person with disability. and
   2. have, or could have, caused harm to the person with disability.
2. acts by a person with disability that:
   1. occur in connection with providing supports or services to the person with disability. and
   2. have caused serious harm, or a risk of serious harm, to another person. and
3. Reportable Incidents that are alleged to have occurred in connection with providing supports or services to a person with disability.

* **Reportable Incidents** means in connection with the supports and services provided by Hope Disability Support Pty Ltd:

1. the death of a person with disability. or
2. serious injury of a person with disability. or
3. abuse or neglect of a person with disability. or
4. unlawful sexual or physical contact with, or assault of, a person with disability. or
5. sexual misconduct committed against, or in the presence of, a person with disability, including grooming of the person for sexual activity. or
6. the use of a restrictive practice in relation to a person with disability, provided that an act is not a Reportable Incident if:
7. the act is unlawful physical contact with a person with disability and the contact with, and impact on, the person with disability is negligible.
8. the use of a restrictive practice is in accordance with an authorisation (however described) of a State or Territory in relation to the person and such use is in accordance with a behaviour support plan for the person with disability. and
9. the use of a restrictive practice is in accordance with a behaviour support plan for the person with disability and the State or Territory in which the restrictive practice is used does not have an authorisation process in relation to the use of the restrictive practice and includes Reportable Incidents that are alleged to have occurred.

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Procedures**

The Incident Management and Reporting Policy is supported by the following Procedures on how to identify, respond, investigate, resolve and report incidents. In addition, the procedure outlines how to support clients or staff involved in incidents

**1.Identification of Incidents**

* + 1. If a worker observes or is involved in an incident, they must report the incident to the principal (or other Senior Staff Member if the principal cannot be contacted immediately).
    2. or a client or other person notifies a worker about an incident the worker must report the incident to the principal (or other Senior Staff Member if the principal cannot be contacted immediately).

**Responsibility**: All Workers

1. **Immediate response**
   * 1. The Incident Manager is the person responsible and qualified to manage incidents.
     2. First responder must contact police and other relevant emergency services as required to ensure the health, safety, and wellbeing of clients, workers or others affected by the incident.

**Responsibility**: Principal and Management

1. **Notification and reporting procedures**

Workers must report incidents to various agencies and persons based on the following priority system:

* + 1. for serious incidents which warrant contacting police and/or other relevant emergency services to ensure the health, safety and wellbeing of clients, workers or others affected by the incident.

1. Workers must report all incidents to the principal.
2. After consulting the client, the Incident Manager will notify families, guardians, and advocates of the c lient if this is the clients wish. and
3. for Reportable Incidents, the Principal shall notify the incident information to the NDIS Commissioner as outlined in 1.4
4. and notifying such other required state, territory, or federal authorities (or other persons) in accordance with applicable law.

The principal is responsible for completing an Incident Report Form as soon as possible after the Incident

**Responsibility**: All Workers

1. **Notifying Reportable Incidents**

**Notifying the NDIS Commissioner within 24 hours**

The principal must notify in writing the NDIS Commissioner of the following information in relation to an Incident that meets the definition of Reportable Incident within 24 hours after a Key Management Personnel at Hope Disability Support Pty Ltd becomes aware of the Reportable Incident:

(a) Hope Disability Support Pty Ltd contact name and details.

(b) 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 principal must notify the NDIS Commission by phone and by completing the [Create an Immediate Notification Form](https://www.ndiscommission.gov.au/document/1466) via the NDIS Commission Portal.

**Insufficient information available within 24 hours**

If, Key Management Personnel at Hope Disability Support Pty Ltd becomes aware of a reportable Incident occurred in the last 24 hours, there is insufficient information available the principal must in writing:

* + 1. provide the information within the 24-hour period. and
    2. provide the remaining information required within 5 business days after a Key Management Personnel at Hope Disability Support Pty Ltd became aware that the Reportable Incident occurred.

**Additional information to be provided within 5 business days**

Hope Disability Support Pty Ltd must notify in writing the NDIS Commissioner of the following information within 5 business days after a Management Personnel became aware that the Reportable Incident occurred:

* + 1. the names and contact details of any witnesses to the reportable incident. and
    2. actions to be taken in response to the reportable incident.

**Notification of other Reportable Incidents within 5 Business Days**

In relation to a Reportable Incident the Principal must notify the NDIS Commissioner in writing of the following information in relation to the Reportable Incident within 5 business days after a Management at Hope Disability Support Pty Ltd becomes aware of the Reportable Incident:

1. Hope Disability Support Pty Ltd contact name and details.
2. a description of the Reportable Incident.
3. if known—the time, date and place at which the Reportable Incident occurred.
4. the names and contact details of the persons involved in the Reportable Incident.
5. the names and contact details of any witnesses to the Reportable Incident.
6. 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.
7. any further actions proposed to be taken in response to the Reportable Incident.
8. the name and contact details of the person making the notification. and
9. any other information required by the NDIS Commission.

The principal must notify the NDIS Commission by completing the [5 Day Notification Form](https://www.ndiscommission.gov.au/document/1471) via the NDIS Commission Portal.

**Information need not be obtained or disclosed**

Hope Disability Support Pty Ltd is not required to obtain, or notify the Commissioner of, the information if obtaining the information would, or could reasonably be expected to:

* + 1. prejudice the conduct of a criminal investigation. or
    2. expose a client to a risk of harm.

**New information**

* + 1. If any Worker becomes aware of new information in relation to a reportable incident after the NDIS Commission have been notified they must provide that information to the principal immediately.
    2. If the new information provided to the principal is significant and:
       1. is or relates to a change in the kind of reportable incident previously notified to the NDIS Commission. or
       2. is a further Reportable Incident,

The principal must notify the NDIS Commission of the significant new information as soon as possible after becoming aware of the information.

**Report to the NDIS Commission**

Hope Disability Support Pty Ltd may be required to provide further information in writing within 60 business days (or a longer period specified by the NDIS Commission) after a notification in respect of Reportable Incident including:

* + 1. details of any internal or external investigation or assessment that has been undertaken in relation to the Incident, including:
       1. the name and position of the person who undertook the investigation. and
       2. when the investigation was undertaken. and
       3. details of any findings made. and
       4. details of any corrective or other action taken after the investigation.
    2. a copy of any report of the investigation or assessment.
    3. whether persons with disability affected by the Reportable Incident (or their representative) have been kept informed of the progress, findings and actions relating to the investigation or assessment. and

**Providing support to clients impacted by an incident**

Clients impacted by an incident will be supported throughout all stages of the Incident management by:

* 1. reassurance if the client reported the incident.
  2. assistance to access trauma and counselling services where required.
  3. changes to regular services and supports (if necessary and possible). and
  4. clear, ongoing communication regarding the progress and outcomes of any investigation in relation to the incident.

The support may vary depending on the needs of the client and/or the seriousness of the incident.

**Responsibility**: All Workers

1. **Assessment and investigation**
   * 1. The Incident Manager or an external investigator may wish to (but is not required to) follow some or all the process recommendations set out in the Hope Disability Support Pty Ltd Assessment, Investigation and Resolution considerations document when conducting an investigation.
     2. Incident investigations will be undertaken and conducted in accordance with the principles of natural justice and procedural fairness.
     3. Reportable incidents involving criminal allegations will be reported to law enforcement agencies.
     4. The incident investigation should establish:
2. the cause of the incident.
3. the impact of the incident.
4. organisational factors that may have contributed to the incident. and
5. corrective actions to be taken to minimize risk and prevent further incidents from occurring (if any).
   * 1. All information related to incident investigations, will be recorded and kept in strict confidence in accordance with the section below on *Record Keeping.*

**Responsibility**: Principal, Management and Incident Manager

1. **Incident resolution**

Based on the investigations, Hope Disability Support Pty Ltd may undertake action including:

* + 1. providing an apology.
    2. disciplinary action or sanctions of worker/s. and
    3. other actions as appropriate based on advice obtained by Hope Disability Support Pty Ltd.

**Responsibility**: Principal, Management and Incident Manager

1. **Consultation and final assessment**

Clients involved in an incident will be consulted on:

1. whether they view that the incident could have been prevented.
2. how well the incident was managed and resolved.
3. what, if any, action needs to be undertaken to prevent further similar incidents from occurring, or to minimise their impact. and
4. whether other people or organisations need to be notified of the incident.
5. the progress of the incident investigation at regular intervals.

After considering the client’s views on the incident, the Incident Manager shall make a final assessment.

**Responsibility**: Principal, Management and Incident Manager

1. **New information**

If new information in relation to an incident after the investigation has been concluded, must immediately provide that information to the principal who will review (or ask the Incident Manager to review) the information.

Hope Disability Support Pty Ltd ensure that all information in related to an incident is kept confidential. Information will only be disclosed if required by law or if the disclosure is otherwise appropriate in the circumstances.

Hope Disability Support Pty Ltd disclose confidential information in the following circumstances:

1. The disclosure is to a person or persons who is directly or indirectly involved in the Incident for the purposes of procedural fairness.
2. The disclosure of the information is to Hope Disability Support Pty Ltd’s lawyer or other advisor.
3. The disclosure of the information is required to enable an incident to be properly investigated. and
4. The disclosure of the incident is to the NDIS Commission, the police or others required by law.

**Responsibility**: All workers

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

* <https://www.legislation.gov.au/Details/F2018L00629>
* Incident Management Register
* Incident Report Form
* Incident Investigation Form

## **References**

National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018. <https://www.legislation.gov.au/Details/F2018L00633>

National Disability Insurance Scheme. 2019. Reportable incidents Detailed Guidance for Registered NDIS Providers

https://www.ndiscommission.gov.au/sites/default/files/documents/2019-06/detailed-guidance-reportable-incidents-detailed-guidance-registered.pdf

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |

# COMPLAINTS AND FEEDBACK POLICY

## **1.Overview**

Hope Disability Support Pty Ltd welcomes feedback and complaints and views these as opportunities for improving the quality and care and services it delivers. Hope Disability Support Pty Ltd is committed to ensuring that each client and their representative has knowledge of, and access to, the complaints management process.

## **Purpose**

The Board of Hope Disability Support Pty Ltd will:

* + 1. Ensure that any of Hope Disability Support Pty Ltd clients, families, carers, advocates, statutory bodies, government agencies, stakeholders, workers or any other person may make a complaint to, or about Hope Disability Support Pty Ltd, its practitioners, employees, contractors, volunteers and other workers.
    2. Hope Disability Support Pty Ltd understand they are able to provide feedback including complaints and that these will be managed without negative impacts on them as clients or employees.
    3. Monitor trends of feedback and complaints process and use feedback for ongoing continuous improvement
    4. Monitor the effectiveness of the feedback and complaints process.

## **Roles and responsibilities**

The Board and Management at Hope Disability Support Pty Ltd will:

* + 1. Ensure that all people associated with Hope Disability Support Pty Ltd are free and are supported to provide feedback and/or complaints about any activities provided by Hope Disability Support Pty Ltd.
    2. Respond to feedback and manage complaints efficiently in accordance with the Feedback and Complaints procedure.
    3. Identify any required actions to address complaints to improve the care and service provided by Hope Disability Support Pty Ltd
    4. Monitor trends in feedback and complaints and the management of complaints process and take a proactive approach to ongoing continuous improvement.

The workers at Hope Disability Support Pty Ltd will:

* + 1. Ensure that all people associated with Hope Disability Support Pty Ltd are supported to provide feedback and/or complaints about any activities provided by Hope Disability Support Pty Ltd without negative impacts on the care and services provided to them.
    2. Respond to feedback and complaints efficiently in accordance with the Feedback and Complaints Procedure.
    3. Implement any actions to address complaints to improve the care and service provided by Hope Disability Support Pty Ltd.

## **Definitions**

* **Key Management Personnel** means key management personnel, as defined in the organisational chart, involved in Hope Disability Support Pty Ltd.
* **Clients** means a client of Hope Disability Support Pty Ltd.
* **Participant** means a person involved in activities of Hope Disability Support Pty Ltd
* **Principal** means the owner and or the Board of Management or their delegate of Hope Disability Support Pty Ltd
* **Worker** means a person employed on a permanent, fixed term or casual contract. It also includes any contractors or volunteers employed by Hope Disability Support Pty Ltd and includes the principal
* **Complaint** is an expression of dissatisfaction with a support or service, including how a previous complaint was handled, for which a response or resolution is explicitly or implicitly expected.
* **Complaint Manager** means the person allocated to manage the complaint process.
* **Complaints Process** means the process followed for managing complaints.
* **Complainant** is an employee, client, advocate, entity, member of the public or other person who expresses their discontent about Hope Disability Support Pty Ltd to either the organisation or an external body.
* **External Complaint Manager** means a person external to the organization that is employed to manage complaints.
* **NDIS Commissioner Complaints Website** means <https://www.ndiscommission.gov.au/about/complaints>**.**

## **Scope of this policy**

This policy applies to the Board of Management of Hope Disability Support Pty Ltd and its workers, contractors and volunteers.

## **NDIS Practice Standards**

In maintaining and managing a quality organisation this policy relates to the following Practice Standards as outlined in <https://www.ndiscommission.gov.au/document/986>

Standard 1, 2 & 3

* Standard 1 Rights and Responsibilities
* Standard 2 Provider Governance and Operational Management
* Standard 3 Provision of Supports

## **Procedure**

A Complaint Manager, Incident Manager or external investigator is the person nominated to investigate a complaint. More than one person may manage the complaint to avoid the appearance of bias or manage conflict of interest issues. In this role they are to abide by the following procedural fairness steps**:**

* 1. Identify whether the complaint or relevant information was provided on a confidential basis. If so, consider how confidentiality can be maintained for all parties.
  2. Where confidentiality may be difficult to maintain, consult with the person/people who made the complaint or provided relevant information to notify them that confidentiality cannot be assured and seek their input into how they want the complaint to be addressed. (National Disability Scheme 2018).
  3. Decide on a suitable process to manage the complaint.
  4. Investigate the complaint using the principles of procedural fairness ((Australian Law Reform Commission 2016), (National Disability Scheme 2018).
  5. Where the complaint relates to a worker, notify them of the allegations and relevant details (e.g. what they are alleged to have done or forgotten to do, when the incident occurred, and of the information that supports the allegation. It is not necessary to identify who made the allegation (this may be inevitable in providing other details. (National Disability Scheme 2018).
  6. Inform the worker how the complaint is to be investigated, including who is conducting the investigation, how long it is expected to take, and how the investigation will be reported. (National Disability Scheme 2018). Reassure the worker that the overall process will be conducted fairly and without prejudice.
  7. Consider whether any decision to impose a sanction. Where this is the case, a separate person should be appointed to undertake this to avoid prejudgment or prejudice.
  8. In line with the Human Resources Policy and Procedure inform the worker of any potential sanction that may be imposed.
  9. In line with the Human Resources Policy and Procedure allow the worker to respond to the allegations.
  10. Allow the worker to choose how they will respond. For example, face-to-face interview, written submission, or a meeting at which the worker is accompanied by a support and who that may be.
  11. Give the worker a reasonable opportunity to respond to the allegation(s) against the worker and possible sanctions.
  12. Inform the worker in writing of the decision that has been made following the investigation and allow them the opportunity to follow up (National Disability Scheme 2018).
  13. Where a sanction is inflicted on a worker detail the nature of the sanction and the appeals process.

Information provided in a complaint is kept confidential, and only disclosed if the disclosure is:

* + 1. required by law. or
    2. is otherwise appropriate in the circumstances.
  1. Procedural fairness principles recognise that protection of identity and confidentiality are important elements of effective complaint handling and dispute resolution. This must be balanced against the obligation to provide procedural fairness to a person whose interests may be adversely affected by an administrative action, particularly if a sanction may be imposed on a person as part of the resolution of a complaint or allegation. This means that the obligation to provide procedural fairness may override – in whole or in part - the obligation to maintain confidentiality, depending on the circumstances. (Australian Law Reform Commission 2016), (National Disability Scheme 2018).

## **Other Relevant Documentation and Legislation**

This policy is to be read in conjunction with the legislation listed in the Legislation register and other policies and procedures as mentioned.

<https://www.legislation.gov.au/Details/F2018L00629>

* Feedback and Complaints Assessment, Investigation and Resolution Form
* Feedback and Complaints Criteria for Complaint Manager or Incident Manager
* Feedback and Complains Form
* Feedback and Complaints Summary
* Feedback Compliments and Complaints Register

## **Policy Review**

Hope Disability Support Pty Ltd may make changes to this policy and procedures from time to time to improve the effectiveness of its operation. Generally, this entire policy will be reviewed in consultation with people using the service, their families and carers and workers every year.

All service planning, delivery and evaluation activities will include workers, participants and other stakeholders and their feedback.

All activities related to service planning, delivery, and evaluation will include workers, participants, and other stakeholders, and their feedback.

By signing this document, I acknowledge that I have read and understood this Policy and Procedure. I need to comply with this policy and procedure, and that Hope Disability Support Pty Ltd can change or update the policy at any time.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Endorsed | Endorsee | Reason/Section Update | Next Review |
| 1.0 |  | Erfan Ranjbar | Initial Release | 27/04/2023 |