

Internal Investigation Plan Template

Forge Clarity PTY LTD

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Next Review: 10/12/2026

Incident Details

Date/Time:

Service: (Telehealth session / Grief Support Group)

People Involved:

Description:

Initial Assessment

Risk Level: (Low / Medium / High / Critical)

Immediate Actions Taken:

Notifications Made:

- NDIS reportable incident
- Police
- Mandatory report

Investigation Required: Yes / No

Investigation Plan

Objectives:

Evidence to Collect:

People to Interview:

Timeline: Start:

Complete by:

Evidence Matrix

Evidence / Source / Status

Quick Reference: When to Investigate

Situation NDIS Report? Police? Investigate? When?

Death, serious injury, abuse, neglect Yes 24hrs If criminal Yes After police

Client complaint If serious If criminal Assess Immediately if safety risk

Privacy breach If NDIS client If criminal Yes Immediately

Volunteer concern If affects client If criminal Yes After police if involved

Approved by: Tegan Elza Banks, Director

Date: _____

Final Report

Practice: Forge Clarity PTY LTD – Remote Telehealth Therapeutic Supports

Incident Form Number / Investigation Reference Number: INV-[YYYY]-[###]

All incidents require an initial internal investigation.

1. Incident Details

Date/Time of Incident:

Date Investigation Commenced:

Location of Incident:

- Private Telehealth Session (Remote)
- Grief Support Group (Zoom)
- Via written correspondence

Service Type:

- Telehealth Counselling Session
- Weekly Grief Support Group (Zoom)
- Other:

NDIS Participant Details:

Participant Unique Client Code (As a replacement to their name):

NDIS Number:

People Involved:

- Tegan Elza Banks (Director/Lead Therapist)
- Volunteer:
- Other:

Description of Incident/Complaint:

Incident Category:

- Death
- Serious injury
- Abuse and neglect (physical, sexual, emotional, financial, neglect)
- Unlawful sexual or physical contact
- Sexual misconduct
- Privacy breach
- Service complaint
- Other:

2. Initial Assessment

Risk Level

- Low
- Medium
- High
- Critical

Immediate Actions Taken to Ensure Safety:

Mandatory Notifications Made:

NDIS Commission Reportable Incident:

Yes – Reported via NDIS Commission Portal on (within 24 hours):

No – Reason:

Incident Form ID Number:

Police Notification:

Yes – Reported to:

Station:

No – Reason:

Police Report Number (if applicable):

State/Territory Mandatory Reporting:

Yes – Reported to:

Relevant Authority:

- NDIS
- ACA
- Police
- Ambulance
- Fire
- Other:

Date/Time:

Reference Number:

No – Reason:

Participant/Client Notification:

- Participant notified of Internal Investigation Commencement – Date:
- Nominee/Guardian/Emergency Contact notified of Internal Investigation.

Details:

Commencement of Initial Investigation– Date:

- Not yet notified:

Date:

Reason:

Investigation Required

- Yes
- No

If No, reason for not proceeding:

If Yes, Investigation Type:

- Internal Investigation
- External Investigation (if conflict of interest or serious matter)

3. Investigation Plan

Lead Investigator:

Support Person (if required):

Investigation Objectives:

Evidence to Collect:

- Telehealth session recordings/notes (if consent obtained and applicable)
- Zoom meeting recordings/logs (Grief Support Group)
- Client/participant records and service agreements
- Email and text message correspondence
- Incident reports and file notes
- Written statements from all parties
- Volunteer documentation and training records
- Policies and procedures relevant to incident
- Previous incident history (if relevant)
- Communication records with NDIS Commission
- Other: _____

People to Interview

- NDIS Participant (if appropriate and with support person):
- Staff member:
- Volunteer(s):
- Witness(es):
- Other:

Natural Justice Considerations

- All parties will be given opportunity to respond to allegations
- Support is offered to participant and staff/volunteers
- Procedural fairness maintained throughout investigation

Timeline:

Start Date:

Target Completion Date (within 60 days unless exceptional circumstances) :

5-day update provided to NDIS Commission (if reportable):

4. Evidence Collection

Evidence Item 1:

Type:

Source:

Date Collected:

Privacy/Confidentiality Considerations:

Status:

- Collected
- Pending
- Unable to obtain

Evidence Item 2:

Type:

Source:

Date Collected:

Privacy/Confidentiality Considerations:

Status:

- Collected
- Pending
- Unable to obtain

Evidence Item 3:

Type:

Source:

Date Collected:

Privacy/Confidentiality Considerations:

Status:

- Collected
- Pending
- Unable to obtain

Additional Evidence:

Challenges in Evidence Collection:

5. Investigation Findings

What Happened (Factual Summary):

Root Cause Analysis:

Contributing Factors:

Impact Assessment:

Impact on NDIS Participant Safety/Wellbeing:

Impact on Service Delivery:

Impact on Other Participants:

NDIS Practice Standards Compliance:

- Core Module: High Quality Supports
- Incident Management
- Therapeutic Supports
- Privacy, Dignity and Confidentiality
- Other:

Compliance Issues Identified:

Systemic Issues Identified:

6. Recommendations and Actions

Immediate Actions (Risk Mitigation):

Action 1:

Description:

Responsibility:

Timeline:

Status:

- Complete
- In Progress
- Pending

Medium-Term Actions (Process Improvement):**Action 2:**

Description:

Responsibility:

Timeline:

Status:

- Complete
- In Progress
- Pending

Long-Term Actions (Systemic Change):**Action 3:**

Description:

Responsibility:

Timeline:

Status:

- Complete
- In Progress
- Pending

Training Requirements Identified:**Policy/Procedure Updates Required:****Follow-Up Actions:**

Review date for implemented actions:

Monitoring arrangements:

Additional Actions Taken:

7. Participant Outcomes and Supports

Supports Provided to NDIS Participant:

Ongoing Monitoring Arrangements:

Participant Feedback on Investigation Process:

Changes to Service Delivery (if applicable):

8. Worker Screening and Employment Considerations

If investigation involves staff or volunteer misconduct:

Worker Screening Check Status:

- Current
- Requires review
- N/A

Employment/Engagement Actions:

- No action required
- Additional training/supervision required
- Performance management initiated
- Suspension (with or without pay)

- Termination of employment/engagement
- Reportable conduct notification to Worker Screening Unit

Details:

9. NDIS Commission Reporting

Initial Report (within 24 hours):

Date/Time Submitted:

Incident ID:

5-Day Update:

- Not required (incident resolved/low risk)
- Submitted on:

Final Report of Internal Investigation(within 60 days of incident):

- Submitted on:
- Extension requested – Reason:

Key Information Reported to Commission:

Investigation findings:

Actions taken:

Systemic improvements:

10. Sign-Off and Approval

Investigation Completed By:

Reviewed By: Tegan Elza Banks (Director / Lead Therapist)

Signature:

Date:

Independent Review (if applicable):

Reviewed By:

Signature:

Date:

Outcome Communicated To:

NDIS Participant

Date:

Method:

Participant Nominee/Guardian

Date:

Method:

Volunteer(s)

Date:

Method:

NDIS Quality and Safeguards Commission

Date:

Police

Date:

(If there is an ongoing investigation the Internal Investigation can not be completed.)

State/Territory Authority

Date:

Other:

Date:

Complaints Process Advised:

Participant advised of right to complain to NDIS Commission

Contact details provided: 1800 035 544 or www.ndiscommission.gov.au

Records Management:

Investigation file stored securely

Participant records updated

Incident register updated

Retention period: 7 years (or longer if required)

Attachment: Quick Reference Guide

NDIS Reportable Incidents (Report within 24 hours via NDIS Commission Portal)

- Death of a participant:

Report immediately. Police notification required if suspicious or unexpected.

- Serious injury of a participant:

Includes injuries requiring medical treatment or hospitalisation.

- Abuse and neglect:

Physical abuse, sexual abuse, emotional/psychological abuse, financial abuse, or neglect. Police notification is important if criminal conduct is suspected as a mandatory reporter.

- Unlawful sexual or physical contact:

Report immediately. Police notification required.

- Sexual misconduct:

When to Notify Police (Australian Context)

Immediately notify police if:

- Death (unless clearly from natural causes)
- Suspected criminal conduct (assault, sexual offences, theft, fraud)
- Physical or sexual abuse
- Serious injury from suspected criminal act
- Financial exploitation/fraud
- Threats to safety

Police can be contacted via:

Emergency: 000

Non-emergency: Local police station.

International Emergency: 112

If participant is an adult at risk: Contact relevant state adult safeguarding authority such as the NDIS (where available) or police.

Investigation Timeframes

NDIS Commission Requirements:

- Initial report: Within 24 hours of becoming aware
- 5-day update: If incident unresolved or high risk
- Final report: Within 60 days (unless extension approved)
- Ongoing updates: As required by Commission

Internal timeframes:

- Investigation commencement: Within 48 hours
- Evidence collection: Within 14 days
- Investigation completion: Within 60 days
- Action implementation: As per risk assessment

Compliance: NDIS (Practice Standards—Worker Screening) Rules 2018; NDIS (Incident Management and Reportable Incidents) Rules 2018; NDIS Code of Conduct; Privacy Act 1988 (Cth); Australian Privacy Principles