

Internal Investigation Plan Template

Forge Clarity PTY LTD

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?
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Death, serious injury, abuse, neglect	Yes	24hrs	If criminal	Yes After police
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Client complaint	If serious	If criminal	Assess	Immediately if safety risk
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Privacy breach	If NDIS client	If criminal	Yes	Immediately
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Volunteer concern	If affects client	If criminal	Yes	After police if involved
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Approved by: Tegan Elza Banks, Director

Date: _____

Final Report

Practice: Forge Clarity PTY LTD – Remote Telehealth Behavioural Support & Counselling

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
- ☐ Behaviour Support
- ☐ 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