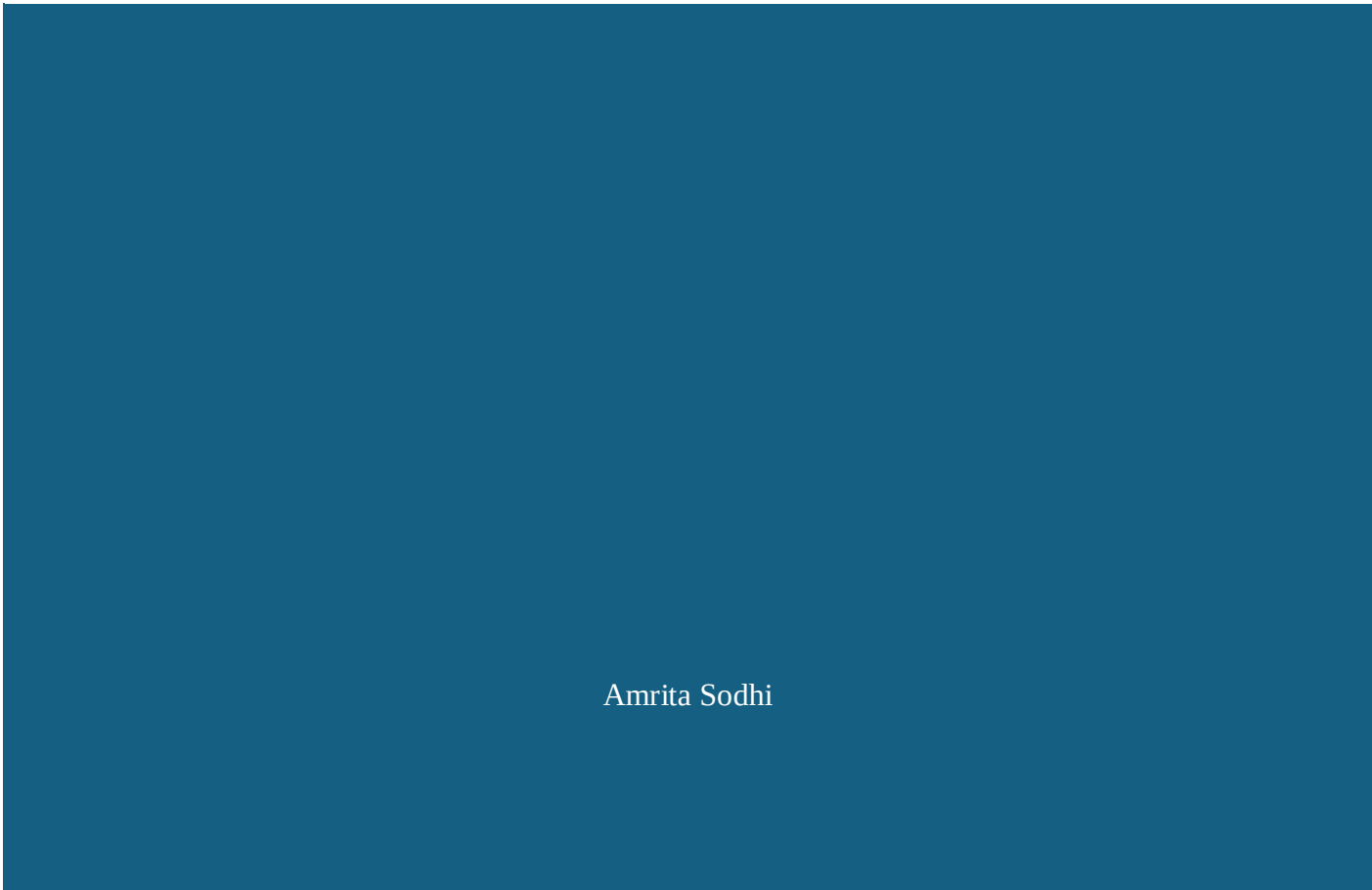




SMILING PEOPLE POLICIES & PROCEDURES



Amrita Sodhi

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1. Cultural Diversity Policy

Cultural diversity ensures that the differences of all are appreciated. Awareness of culture and encouraging the cultural diversity of all individuals is a key component of the activity planning and service delivery of Smiling People.

The Cultural Diversity Policy aims to ensure awareness and understanding of the cultural differences of clients, carers, families, employees, and associates of Smiling People.

Purpose

The purpose of the Cultural Diversity Policy is to ensure awareness and understanding of the cultural differences of clients, carers, families, employees, and associates of Smiling People.

Scope

The Smiling People Cultural Diversity Policy applies to all services and activities provided by the organisation, its employees and associates. The policy encompasses the planning of activities and how services are provided to all clients.

Policy Content

Smiling People appreciates and respects the differences in all individuals. It is the policy of Smiling People to promote cultural awareness, diversity, and inclusivity at all times.

Awareness of culture is promoted by incorporating cultural activities into the provision of service. This may be through music, arts and crafts and other activities that the client may choose to include in their service.

Inclusion of all cultures is an important aspect of all activities planned at Smiling People. At times, Smiling People will include activities provided by external service providers specialising in a particular cultural activity to engage clients in awareness and inclusion of cultures different to their own. These activities may be identified due to a particular request or the awareness of a cultural learning opportunity.

Planning – Smiling People employees are encouraged to plan activities based on cultural awareness and differences to promote acceptance of cultural diversities. Team planning sessions may be a part of staff meetings or planning-specific meetings.

Regular training around cultural diversity will take place through information sharing and staff meetings where discussions around cultural events, activities and plans can be had.

Policy Review

Smiling People may change 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, carers, and workers every year.

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

2. Conflict of Interest Policy and Procedure

Purpose and Scope

Smiling People utilises this policy and procedure to determine the correct protocols to manage any conflict situations, should they arise. It identifies Smiling People's focus and commitment to the honest and sensible management of conflicts of interest.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

Smiling People utilises the Conflict-of-Interest Policy as a strong reference point in aims to ensure Smiling People is taking appropriate measures to minimise the occurrence of Conflicts.

The Conflict-of-Interest Policy specifies how Smiling People will operate through truthfulness, accountability and honesty. Smiling People strives to develop and implement the correct standards and protocols to ensure there are no potential risks of conflict of interest between relevant parties.

Where deemed necessary, disclosure of information for suspected or established conflicts of interest will be monitored and dealt with.

This is to ensure that all care, services and operations of Smiling People are kept at optimal quality and do not become affected.

Procedures

The Conflict-of-Interest Procedure should be adhered to by all personnel when making decisions that impact both themselves and all other relevant parties. It outlines the considerations an individual must take into account when situated at Smiling People, as well as performing all care and services.

Smiling People adopts certain measurements to prevent any potential internal issues that may surface throughout the duration of operations.

Should the situation arise where there is a conflict of interest, it must be escalated to the Owner/CEO/Director for management. However, if the conflict of interest is minor, the

Owner/CEO/Director may delegate a member of the Management Team to find a resolution. Conflicts of interest must be registered and tracked in Smiling People's Risk Register.

If the conflict is unavoidable, workers must disclose it to the Owner/CEO/Director as soon as they are informed of it. Workers who are uncertain if there is a conflict shall seek guidance from either the Owner/CEO/Director or a delegate. All workers must avoid getting involved in any situation that conflicts with Smiling People's duties and the participants they support.

When an individual is required to make a decision, workers should consider many aspects that could impact themselves or others. They should consider if friends or families rendered revenue in the future if they are involved in a matter. It is also essential to consider how others may interpret their participation; concerns may be voiced by anyone related to Smiling People. For example, suppose a worker believes the participant is not of sound mind and unable to make personal decisions based on their health and support. In that case, an advocate may be utilised for further examination.

Also, they should contemplate if they have any professional or private concerns in issues that could conflict or be interpreted as conflicting with their duties.

Workers shall not accept any cash gifts, incentives or grants that may interfere with their willingness or preparation to behave in the participants' best interests. Neither will they instantly or implicitly take the opportunity of their circumstance to gain a personal benefit or benefit to another person or goods.

3. Protecting Participants from Violence, Abuse, Neglect, Exploitation and Discriminations Policy and Procedure

Purpose and Scope

This policy and procedure aim to outline Smiling People immediate response requirements following a verbal assault, bullying, discrimination or racism or an allegation of physical or sexual abuse/assault or neglect involving a Participant.

The aims of the policy and procedure are to:

- ensure timely and effective responses are taken to address immediate Participant safety and well-being;
- support participants who have experienced physical or sexual abuse/assault or neglect;
- be accountable to participants for actions taken immediately and planned in response to their experience of abuse, assault or neglect or unexplained absence;
- ensure due diligence and responsibilities to participants are met; and
- hold perpetrators of physical and sexual abuse/assault and neglect accountable for their actions

Policy

Smiling People takes proactive steps to prevent abuse and neglect in its services and to its participants.

Staff should be aware that many Participants, including children, young people, people with a disability, and older people, are at greater risk of physical and sexual assault than the general population.

Smiling People has a moral, ethical, and legal responsibility to ensure that all participants are safe and will provide training, resources, information, and guidance to support this. Smiling People is committed to:

- ensuring that the health, safety and well-being of Participants using the service are protected at all times;
- fulfilling its duty of care obligations under the law by protecting Participants from any reasonable, foreseeable risk of injury or harm;
- supporting the rights of all Participants to feel safe and be safe at all times;
- developing and maintaining a culture in which Participants feel valued, respected and cared for;
- encouraging active participation from parents, guardians, families, and other stakeholders using the service and ensuring that best practice is based on a partnership approach with shared responsibility for Participants' health, safety, wellbeing and development; and

Procedure

Prevention

The Directors will:

- Ensure Smiling People employs skilled staff who respect the rights of people with disability and older people, are aware of current policies and legislation pertaining to abuse, neglect and unexplained absences and will support people and their families, guardians and advocates to access complaint mechanisms and raise any concerns they have about services;
- ensure all staff, volunteers, and contractors undergo criminal history screening as per Smiling People Human Resources Policy and Procedure;
- provide a safe physical environment for the delivery of services;
- ensure volunteers, students, parents, guardians, and other visitors are not left with sole supervision of individual Participants or groups of Participants (where possible) and that adequate staff-Participant ratios are maintained at all times; and
- identify and provide appropriate resources, supervision and training to assist staff, contractors, visitors, volunteers, students and other relevant stakeholders in implementing this policy.

The Directors (or delegates) will:

- Identify the potential for abuse at Smiling People and develop and implement effective prevention strategies in consultation with other staff.
- Ensure Participants are advised of Smiling People obligations and requirements in relation to reporting suspicions and allegations of assault, as well as unexplained absences at their initial contact with Smiling People.

The Directors (or delegates) are also responsible for the following:

- ensuring educators, staff, contractors, volunteers and students undertake appropriate training and education on child protection and protection of other vulnerable people, including recognising the signs and symptoms of abuse, knowing how to respond, and understanding processes for reporting, obligations for mandatory reporting and managing concerns/incidents;
- identifying the potential for any signs of abuse at Smiling People, and developing and implementing effective prevention strategies in consultation with staff; and

Staff are responsible for the following:

- Keeping up to date and complying with any relevant changes in legislation and practices about this policy;
- undertake appropriate training and education on child protection, including recognising the signs and symptoms of child abuse, knowing how to respond, and understanding processes for reporting and managing concerns/incidents;
- undertake appropriate training and education on the abuse and neglect of other vulnerable people, including people with a disability and older people, including recognising the signs and symptoms of abuse, knowing how to respond, and understanding processes for reporting and managing concerns/incidents;
- protecting the rights of Participants and encouraging their participation in decision-making; and
- maintaining confidentiality at all times.

Suspicions and allegations of abuse should always be treated seriously. The Participant's feelings about themselves may be influenced by initial reactions to their fear and/or allegation. If abuse is disclosed, or a staff member is suspicious of abuse or becomes aware of abuse, a helpful response may include the following:

- telling the person that you believe them;
- making it clear that whatever has happened is not their fault;
- reassuring the person who disclosed the abuse that they did the right thing;
- telling the person that some people do wrong things and that the perpetrator is responsible for the abuse; and
- Doing everything possible to listen carefully to and reassure the person, including explaining the actions you will take next.

When an allegation is made, a staff member suspects abuse or a staff member becomes aware of abuse; staff should immediately assess the situation to ensure a safe environment. Once safety is established, the priority is to care for the Participant, and they must be given maximum support and assistance.

Where a Participant or other Smiling People stakeholder is subject to any form of verbal or emotional abuse (including racism, discrimination, or cultural abuse) from another Participant, Smiling People staff will consider terminating the perpetrator's service provision by Smiling People Rights and Responsibilities Policy and Procedure.

Any verbal, racism, discrimination, or cultural abuse perpetrated by a staff member towards Participants or other Smiling People stakeholders will be dealt with in accordance with the Disciplinary Action provisions in Smiling People Human Resources Policy and Procedure.

Responding to Abuse, Assault, Neglect or Unexplained Absences

If the victim requires immediate medical attention, a medical practitioner or ambulance should be called, or the victim should be conveyed to the nearest hospital emergency department.

Where a staff member is the alleged perpetrator of abuse, assault or neglect, any medical practitioner called should be independent to Smiling People.

The report must be made as soon as practicable once immediate safety and medical needs are met.

All suspicions, allegations or assaults must be reported to the Directors immediately or as soon as practicable.

After reporting to the Police, every attempt must be made to ensure the victim's safety and to prevent any further contact between the victim and the suspected or alleged perpetrator.

Advising Parties involved in Police Report

About a victim of assault, the staff member or volunteer who first becomes aware of the allegation must advise the person that the allegation will be reported to the police.

Staff should consult with police about an alleged perpetrator about whether the person should be told of the police report. It is important that any steps taken must not undermine action that police may instigate.

Contact the local Centre Against Sexual Assault.

The National Sexual Assault, Family & Domestic Violence Counselling Line is for any Australian who has experienced or is at risk of family and domestic violence and sexual assault. Their number is 1800 737 732, and they are open 24 hours a day, 7 days a week.

In alleged sexual assault cases where the Participant consents, the most senior staff member in the work area should contact the local Health Department at the same time the Police are informed of the allegation.

The Health Department should always be involved unless the Participant does not want contact with this service. Where the allegation is of sexual assault and the Participant is examined by a forensic medical officer or forensic nurse examiner, staff must ensure that the Participant is offered the assistance and support of a counsellor-advocate from the Health Department.

If the Participant is a person with a disability who cannot consent, consent should be obtained from the person's guardian, where possible.

Health Department services are free and confidential to all victims/survivors of recent and past sexual assaults regardless of gender and include:

- immediate crisis support, including crisis intervention, provision of information, counselling, advocacy, liaison with the department on child protection matters, police, forensic and other medical personnel, and coordination of support
- follow-up, longer-term counselling, advocacy, and support
- information regarding options and rights within the legal system
- information regarding medical options, including follow-up medical treatment
- assistance to negotiate the management of sexually transmitted infections and pregnancy arising from the assault
- assistance in the management of other practical consequences of the assault, such as emergency housing and compensation
- support and information to non-offending family members and support people

In addition to the above activities, Health Department also provides community education, training and specialist consultation services to relevant individuals and services to facilitate meeting the broader needs and concerns of victims/survivors of sexual assault. The Health Department can also arrange culturally specific services for victims from culturally and linguistically diverse communities.

Supporting Documents

Documents relevant to this policy and procedure include:

- Incident Management Policy and Procedure
- Incident Management - Incident Register
- Incident Management - Incident Report

Policy Review

Smiling People may change 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, carers, and workers every year.

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

4. Participant Money and Property Policy and Procedure

Purpose and Scope

This policy and procedure aim to ensure an effective system is implemented within the framework of Smiling People that enforces careful handling of participants' financial and personal property. Smiling People and its workers must ensure to implement these practices with honesty, integrity and in a manner that reflects the participant's best interests.

Smiling People's workers recognise the importance of ensuring this policy and procedure's fundamental operations and practices reflect and adhere to the rights of the participants.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

The participant must manage their finances personally; however, if required, Smiling People's workers may be able to either assist or undertake the role. The participant must provide consent directly to the Owner/CEO/Director, and approval must be gained before commencement. Under no circumstances, can any worker offer unsolicited financial advice or try to influence a participant.

Measures and practical strategies will be implemented within Smiling People's framework that ensures participants' assets are managed and accounted for at all times to protect the property. Any financial assistance given should encourage independence and safeguard the participant and worker of Smiling People.

Smiling People understands the importance of ensuring that there is an even distribution between giving advice and support to participants in handling their financial affairs and protecting the rights of individuals who may be at risk of misuse and deception. Financial assistance or advice given by Smiling People's workers should always reflect the best interests of the participants best interests. Financial assistance or advice will not be provided to reflect the best interests of the participants best interests. Workers of Smiling People should also aim to protect and encourage independence in managing personal properties and finances.

Smiling People will refer to participants' individual NDIS Service Agreement and Support Plan to ensure adequate support, advice and assistance are given and upheld at all times.

Owner/CEO/Directors Responsibilities:

- Ensure the participant receives recurring invoices and bank statements.

- To ensure the participant's requested funds are appropriate and suitable for their position.
- To ensure the signatory personnel are suitable to the participant and are managing their funds appropriately
- To assist participants with budgeting when buying goods and services from Smiling People and other providers, ensuring that they reflect good value.
- Ensure transactions that occur towards received funds and expenditures are verified and are part of the participant's management plans.
- Ensure to safely and securely store every current and previous financial statement document and budget record.
- Participants are not to be given financial advice or information other than that which would reasonably be required under the participant's plan.

Procedure

If a participant seeks care or assistance from Smiling People, detailed information on how to handle the participant's assets, belongings, and finances will be created. Participants will be provided with detailed information.

Smiling People's workers are aware and understand that providing participants with advice that is not in the participant's best interests may result in disciplinary actions being taken against the worker.

Incidents/Accidents

This section should be enforced in ways that comply with the Participant Incident Management Policy and Procedure. Smiling People will ensure to investigate, report and manage any questionable actions that indicate or suggest a participant has been subject to financial exploitation or experienced loss or damage to property.

Smiling People's workers are aware and understand that severe disciplinary actions may be taken against them due to breaching compliance.

If a participant wants to file a complaint about their finances or asset management, all participants have access to the feedback and complaint procedures of Smiling People.

Smiling People's feedback collection mechanisms, such as participant satisfaction surveys, will assess:

- Participant awareness of their rights and the extent to which they feel able and supported to exercise them.
- Participant satisfaction with Smiling People's complaints processes.
- Whether the participant is satisfied with the choices they have been provided regarding their service delivery.

Property of Participants

To ensure Smiling People can manage participants' property effectively, the necessary measures will be enforced to safeguard their belongings, valuables and properties are safely managed. Smiling People also requires participants to do the following; however, it is not limited to:

- Label items with participants' names.
- Items brought during visits should be kept in storage when not in use.
- Items that are considered valuable should be registered upon arrival.
- Store all items in a safe and secure location.
- All valuable items should be documented (details of the product should be stated as accurately as possible)
- Provide a signature for the document that outlines their management of finances, properties, belongings and valuables.

Smiling People is responsible for collecting and documenting the participant's finances, properties, belongings and valuables; however, it cannot be held liable for damage, loss or destruction of the participant's property or possessions.

Participant Money

To ensure the most effective management of finances and participants' money or property is enforced, Smiling People will implement specific restrictive measures against workers to ensure participants are not subject to exploitation or abuse.

When managing or handling participants' finances, Smiling People's workers must always adhere to the following; however, they are not limited to:

- Treat financial affairs as confidential information that must NOT be shared with other persons.
- Report any individual inquiries regarding the participant's financial affairs to the Owner/CEO/Director.
- Ensure to report to the Owner/CEO/Director if a participant cannot manage their finances and financial affairs with a worker's assistance and support.
- Ensure to support and manage participants' financial assets in a manner that is in the best interests of the individual.
- Ensure consent is obtained and stored from the participant prior to providing support and assistance in financial affairs.
- Ensure not to use or loan participants money; doing so may result in disciplinary action.
- Ensure to assist participants with the safe handling of their money.
- Must not use participants' PIN codes or passwords to assist in handling finances.
- Ensure the NDIS Service Agreement and Support Plan contains necessary information regarding the management of their finances.
- Ensure the NDIS Service Agreement and Support Plan are reviewed annually, and the necessary changes are made if required.
- Ensure to act in accordance with the individual's NDIS Service Agreement and Support Plan.

- Ensure participants' money is only used to benefit the participant, not others.
- Ensure that cash is only used for the individual participant.

Smiling People understands that service delivery may include workers and participants sharing an occasional meal together, which should not jeopardise their position at Smiling People. If this instance arises, a Companion Card should cover the costs involved. If a Companion Card is not provided, workers must not allow participants or participants' families to use their funds to pay for activities or meals. In this case, it is the responsibility of the Owner/CEO/Director to address and determine the payment method to cover the expenses on a case-by-case basis.

Supporting Documents

Documents appropriate to this strategy and procedure include:

- Participant Incident Management Policy and Procedure
- Participant Rights and Responsibilities Policy and Procedure
- Financial Management Policy and Procedure
- Feedback and Complaints Policy and procedure
- Service Access Policy and Procedure
- Human Resources Policy and Procedure
- Staff Code of Conduct
- Compliance Policy and Procedure
- Risk Management Policy and Procedure
- Service Delivery and Participation Policy and Procedure
- Records and Information Management Policy and Procedure

Smiling People can occasionally adjust these policies and procedures to enhance the efficiency of its operation. Typically speaking, this entire policy should be checked every year with participants who use the service, their families, caregivers and workers.

Policy Review

Smiling People may change 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.

5. Privacy and Confidentiality Policy and Procedure

Purpose and Scope

This policy and procedure have been structured to communicate to workers the correct and appropriate means for the security of confidential information. This policy and procedure extend to all Smiling People's workers, and failure to abide by this will result in strict disciplinary action. This Policy and Procedure also relates to the Records and Information Management Policy and Procedure.

This extends to all workers and meets relevant laws, regulations, and standards.

This policy and procedure have been structured to communicate to workers the correct and appropriate means for the security of confidential information. This policy and procedure extend to all Smiling People's workers, and failure to abide by this will result in strict disciplinary action. This Policy and Procedure also relates to the Records and Information Management Policy and Procedure.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

Smiling People supports the privacy and confidentiality of their workers and participants by utilising records and Information Management Policy and Procedure. Smiling People is required to protect workers' and participants' privacy continuously. Every person has the right to decide with whom to share personal information. Workers remain responsible for the privacy and security of the participants and fellow workers. Before any data is gathered, Smiling People must ensure that the information is used correctly and appropriately.

The procedures of privacy and confidentiality communicate with the lifecycle of data as follows:

- Create a collection of all forms of participant details, relevant information, and service agreements to ensure they have given both verbal and written consent.
- Store all information securely per the Records and Information Management Policy and Procedure and limit access.
- Use the information to update when applicable, disclose the information to staff members and report if necessary.
- Archive the documents securely once the participant has exited the service as per the Records and Information Management policy and procedure and limit access.
- Once the archive period is complete, dispose of documents securely as per the Records and Information Management policy and procedure.

Procedure

The Owner/CEO/Director is committed to ensuring that Smiling People follows the 1988 (Cth) Privacy Act standards, as well as any other relevant government and territory laws and specifications.

All Smiling People's workers must read and comply with the state and federal legislation concerning privacy and confidentiality, including this policy and procedure. This includes:

- Collection/Creation
- Process
- Storage
- Utilisation
- Disclosure
- Disposal

Smiling People is required to give workers appropriate training regarding their knowledge of systems in place for the confidentiality of company data; this will be done through performance reviews. If it is found that a worker does not encompass correct knowledge, suppose it is found that a worker does not contain correct understanding. In that case, extra training may be given to ensure consistency throughout Smiling People, in conjunction with the Human Resources Policy and Procedure. The Smiling People Privacy Statement must be in the Smiling People Participant Handbook

Personal Information

Smiling People is required to provide workers with consent forms for personal information, which will be considered respectfully, and no information will be used without consent.

Personal information includes but is not limited to the following:

- Photographs
- Films
- Recordings

Participant Information Collection and Consent

Smiling People will only require confidential information to determine potential participants' suitability for plan management services and to monitor the services provided.

A participant is entitled to supply, access, update, and use any personal information if necessary to ensure correct information is in the system; they may refuse to disclose some information and have the right to revoke their consent to disclose personal information.

Before collecting personal information from participants or their advocates, Smiling People's workers must clarify why the information is being collected, exactly how it is being stored and used, as well as why Smiling People requires the information. Smiling People only gathers the

necessary personal information of participants for the protected and adequate provision of plan management services. All private and confidential information must be stored safely.

Smiling People implements and employs Privacy Statements for participants, their family members, and advocates. The Privacy Statement is a document Smiling People provided which has information on how Smiling People abides by all privacy laws whilst protecting participants who are in direct communication with participants, or their related personnel must do the following:

- Ensure they have signed their own privacy statement annually and it is kept up to date.
- Provide written information to participants if requested (such as this Policy and Procedure).
- Provide verbal information to participants if requested.
- Understand and comply with participants' (or their related personnel) communicational requirements, such as overcoming any language barriers.

Smiling People's workers will support participants if they need to gain access to an interpreter if required. Participants, their family members, and advocates are accountable for ensuring the correct use of others' personal information, the return of the consent form, respecting people's wishes not to be captured on camera, and ensuring the communication of accurate information.

Following the information provided in this policy and procedure, Smiling People's workers must use a Consent Form to verify and clarify the information stated in this policy and procedure. This consent form indicates whether participants have allowed Smiling People to hold, retain and use vital information of the participant. This information may include the following; however, it is not limited to:

- Full Name
- Nationality
- Date of Birth
- Preferences
- Personal Goals
- Medical Information
- Referrals
- Case/Progress Notes

Personal Worker's Data

Personal Worker's data includes but is not limited to:

- Personal Information (Contact, Residence etc.)
- Payroll Information
- Qualifications
- Contract of employment
- Consent Forms
- Specifics regarding qualified registration
- Tax returns
- Medical Information

- Results of Background checks

Audits

An NDIS-approved quality auditor has the right to request an interview from any participant file that requires assessment. Smiling People must ensure they are abiding by the standards outlined in the 2018 National Disability Insurance Scheme (Approved Quality Auditors Scheme) Guidelines. This automatically includes participants in the NDIS Practice Standards audits. However, a participant may refuse to participate in audits with a written notice directed to the Owner/CEO/Director.

Privacy and Confidentiality

Worker or participant personal information can only be disclosed in order to comply with legislative responsibilities such as mandatory reporting when required by law.

If an individual is in a situation where they are unsure about disclosing another's personal information, they should communicate and discuss it with the Owner/CEO/Director.

International: Smiling People is required to ensure that any foreign participants do not violate any Australian Privacy Principles (APPs); this is under the Privacy Act 1988. However, this requirement will not apply if the foreign participant is dependent on legislation or a critical system that has the power to protect private and confidential information in an approach significantly equivalent to that delivered by the APPs.

Storage and Access

View Smiling People's Records and Information Management Policy and Procedure for additional details on exactly how Smiling People systems can ensure privacy for storing and protecting private data.

Both the Owner/CEO/Director and workers will only access the personal information if it is necessary to fulfil any responsibilities or services for the Smiling People. All stakeholders can request access to any information regarding themselves. Any participant access or modification demands must be presented to the individual of Smiling People who is responsible for monitoring the Participant's personal information. All workers have the same access to or requests for modification as participants.

The Owner/CEO/Director should be notified immediately, within two business days, for any access or correction of information. The individual responsible for the acceptance status of information will either accept or reject it with reasoning as to why.

A request for access or correction may be rejected as it would have an unwarranted impact on the privacy and confidentiality of other individuals. The proposal is thoughtless and annoying. It may cause a dangerous threat to any individual's life or well-being. All participant requests for access or correction refused by the CEO/ Director must be authorised and documented in the participant's file. Any workers who have been denied access or correction requests must be approved by the CEO/ Director and recorded in the individual's file.

Notifiable Data Breaches Scheme

The Notifiable Data Breaches (NDB) Scheme is a federal scheme under the Privacy Act 1988 (Cth). Smiling People is required to report any incidents to the Australian Information Commissioner. A data breach happens when the private information retained by companies is damaged, or exposure to it is not permitted. A data violation can occur due to the failure of Management or security systems, deliberate intent, or technical failure. Additionally, damage can be done that causes significant economic harm.

Violations

Violations include but are not limited to:

- Devices and documents containing private or confidential information are lost or stolen
- Unapproved entry by a worker to personal information
- Unintentional release of private or confidential information.
- Hacking of electronic devices

Identifying a Notifiable Data Breach

A Notifiable Data Breach occurs when Smiling People cannot prevent the potential risk of harm through corrective measures. It also appears when the release or access to private information is not permitted, or data is lost in circumstances in which unauthorised access or release is probable to be present. Release or loss is expected to affect all individuals involved with the information.

Severe damage may include damage to credibility in the form of a breach of information which may result in:

- Physical damage
- Emotional damage
- Financial damage

Any suspected or current information breaches must be identified to the Owner/CEO/Director, who is responsible for assessing the action of Smiling People and if the breach is to be registered under the NDB Scheme. It will not be considered a notifiable data breach if the CEO/ Director of Smiling People responds promptly to reduce the information violation.

Responding to a Data Breach

Should the situation arise where any persons of Smiling People believe there has been a significantly damaging data breach, the Owner/CEO/Director is responsible for the immediate investigation of the incident. If required, the Owner/CEO/Director may liaise with external organisations to minimise the opportunity for reoccurrence, theft, and harm. If the data breach is considered notifiable by the Owner/CEO/Director, the Data Breach Response Team of Smiling People must be advised.

The Owner/CEO/Director is responsible for the following:

- assessing the risk from infringement;
- supporting the Human Resources Manager where the worker's actions caused the infringement;
- providing media/communications knowledge and helping to communicate with impacted people and deal with media and external stakeholders;
- acting as Project Manager, coordinating the team and supporting its participants;
- acting as Senior Worker to introduce privacy knowledge to the team;
- acting as Team Leader, accountable for guiding the reaction team and reporting to the CEO/ Director (unless they are the same person);
- legal assistance, identifying legal commitments and providing guidance;
- supporting information and communication technology (ICT) or forensics, helping to define the cause and effect of infringement involving ICT technologies.
- Providing information and documents management knowledge, assisting in the review of breach-related safety, tracking checks (e.g., access, authentication, encryption, audit logs) and providing guidance on recording data breach reaction.

All implicated individuals will be informed of the breach of information as promptly as possible by the Data Breach Response Team. Smiling People must continuously utilise and refer to the Data Breach Response Plan should the situation occur. This event should be documented in the Incident Register, with information on which efforts were utilised to prevent the situation from occurring again.

Should a data breach event occur, Smiling People follows a methodological process to minimise the damage of the event as well as appropriate input measures to prevent future occurrence. The Data Breach Response Team or the Owner/CEO/Director is responsible for managing this incident. They must begin with controlling information violation, meaning they must put into effect appropriate measures to minimise which information may be viewed or leaked. This can be done by removing electronic files from the location of the breach into an external hard drive inaccessible to others. They then must formulate a conclusive list/record of which information was breached and discuss or implement measures to minimise any associated or related threats to others. For example, Smiling People may have to change personal financial or business details to ensure the safety and protection of the organisation and its workers.

Smiling People must then evaluate the overall threat and the possible extenuating circumstances that may arise due to the breach. For example, it may be notifiable to the Australian Information Commissioner or notifiable to Management, workers, or participants of Smiling People. Smiling People must then input preventative measures to minimise the risk of recurrence. This may include liaising with an external organisation, such as an IT company, for further assistance

Other Reporting Requirements

Any breaches must be immediately reported to the NDIS Commission by the Owner/CEO/Director of Smiling People. Violations of information may also affect reporting obligations beyond the Privacy Act 1988, such as:

- Government Departments of the Federal, State or Territory

- Insurance providers
- The Australian Securities and Investment Commission (ASIC)
- Australian Reporting and Analysis Centre (AUSTRAC)
- Australian Tax Office (ATO)
- Australian Prudential Regulation Authority (APRA)
- Australian Cyber Security Centre (ACSC)
- Australian Digital Health Agency (ADHA)
- The financial service sector of Smiling People
- Professional and regulatory organisations
- The police or other law prosecution organisations

To ensure that Smiling People cooperates completely with the Standards:

- The CEO/ Director will collaborate with the Government on the implementation of risk-based reporting mechanisms and ensure that Smiling People takes reasonable steps to protect all Smiling People participant records.
- The CEO/ Director will create an immediate measurement of information security.
- Subscribe to the Stay Smart Online website at <https://www.staysmartonline.gov.au>.
- Review Smiling People's compliance with Essential Eight and rectify any identified gaps.
- This website helps with knowledgeable online behaviour patterns as well as how to respond to internet threats.

Supporting Documents

Documents relevant to this policy and procedure include:

- Governance - Continuous Improvement Register
- Records and Information Management Policy and Procedure
- Participant Handbook
- Participant - Consent Form
- HRM - Privacy and Confidentiality Agreement
- Human Resources Policy and Procedure
- Incident Management - Incident Register

Policy Review

Smiling People 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, carers and workers every year.

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

6. Feedback, Compliments and Complaints Policy and Procedure

Purpose and Scope

This policy and procedure are intended to provide workers and participants information on how they can provide feedback, compliments, and complaints about any aspect surrounding Smiling People. The discussion will be had to determine the most appropriate method to address or respond to it. However, for any issue that arises from a Smiling People worker, it will be the responsibility of the Owner/CEO/Director or Management to conform to a solution strategy. If required, Smiling People may refer to the Disputes and Grievances Policy and Procedure for further assistance.

This extends to all employees and meets relevant laws, regulations, and standards.

Policy

Smiling People abides by the Human Resource Policy and Procedure, ensuring workers are aware of rights and appropriate workplace behaviour. This is crucial to attempt to uphold an environment flooded with positive feedback and compliments, and limited complaints. This policy and procedures encourage Smiling People's workers and participants to voice any concerns or positive comments they may have regarding individuals, facilities, services, etc. Any comments made in relation to Smiling People will be utilised to improve the company's processes and services.

The purpose of this policy is to ensure all workers of Smiling People understand and acknowledge what is expected of them when delivering services of care. Workers should aim to adhere to and enforce the rights and responsibilities of the participants. This ensures the operations implemented within Smiling People's framework reflect the best interests of the participant.

In addition to this, this policy aims to ensure all workers have adequate knowledge, skills and resources to manage feedback, complaints and compliments effectively.

Owner/CEO/Director Responsibilities

- Primary accountability for this policy and procedure.
- Performing internal/external audits.
- Internal reviews.
- External audit schedule.

Worker Responsibilities

- Record feedback, complaints, or compliments.
- Receive constructive criticism where required.
- Observe and monitor overall operation as well as personal operation.

- Remain honest and truthful when completing a complaint form, survey, or feedback form.
- Encourage participants to complete a complaint form or feedback form when required.
- Provide any personnel wishing to complete a form with the correct and most up-to-date document at Smiling People.
- When corrective actions are put into place, ensure full endorsement.
- Ensure privacy and confidentiality are always upheld.
- Maintain respect for all persons filing a complaint or feedback.
- If the worker receives the form, pass it on to Smiling People's Owner/CEO/Director in an appropriate and timely manner.

Management Responsibilities –

- Implementing training for this policy and procedure.
- Undertake performance reviews annually.
- Recognise future needs.
- Review the efficiency of Smiling People.
- Ensure privacy and confidentiality are always upheld.
- Promote acknowledgement of all complaints quickly (within 1 working day).
- Ensure consultation with participants regarding acknowledgement and desired outcome if named.
- Respect anonymous complaint or feedback forms and conduct Management in the same manner as a named form.
- Respond to participants with a clear outcome or decision.
- Implement any Correct Action Requests if required.
- Should any systemic issues arise, conduct a thorough internal assessment or review.
- Prioritise complaint form resolution in lieu of harm and risk reduction.
- Begin the resolution pathway or be nominated to another personnel.
- Investigate any issues brought forth.
- Review alteration in service provision or care.
- Praise workers or Management when positive feedback is provided.

Procedure

Smiling People understands and recognises the importance of ensuring all participants, families, advocates, representatives, and other relevant personnel obtain the essential information in a way that is easily comprehensible to the participants and others. Smiling People will offer all persons a variety of ways to access the information documented in Smiling People's Participant Handbook, Participant Charter and the Feedback, Compliments and Complaints Form. These documents will contain all the relevant information on how to effectively manage feedback and complaints, as well as information on how participants should lodge feedback, compliments, or complaints.

In addition to this, Smiling People will ensure to display of the relevant information within the facility of Smiling People to ensure it is easily accessible to all persons. Workers are able to obtain a copy of these documents upon request. All complaints, compliments and feedback will be addressed during team meetings, in which the Continuous Improvement Plan will be

utilised to make the necessary modifications that would better suit the participants, workers and operations of Smiling People.

Feedback and complaints will be treated confidentially and will only be addressed directly with the individuals involved. All details regarding feedback and complaints will be maintained in a secure manner in accordance with Smiling People's Records and Information Management Policy and Procedure. The Smiling People will report yearly to the State Authority for Disability Services in the manner required by the Official and verify the number of complaints obtained and how the complaints were handled.

Management of Smiling People will encourage good quality practice, continuous improvement, and an honest, supportive, respectful philosophy that supports and encourages workers, participants, and all other individuals to make complaints and report matters without concern of retribution. This will be evaluated in yearly Performance Reviews of management and workers. A participant who wishes to submit feedback, compliment or complaint will be presented with the information involving this policy. If the participant's consent has been given, feedback, compliments and complaints can be submitted on behalf of the participant.

Feedback and complaint records will be tracked and examined to detect any continuing concerns. This will be reported on a three-monthly basis to the Director as part of the report on Continuous Improvement. The personal details gathered in order to manage feedback or complaints will be treated in compliance with the privacy legislation and Smiling People's Privacy and Confidentiality Policy and Procedure.

Smiling People will utilise the standard 5-step guideline to managing feedback, compliments and complaints as outlined below:

- 1- Receive
- 2- Record
- 3- Acknowledge
- 4- Resolve
- 5- Communicate Resolution

There are a variety of ways participants of Smiling People can provide feedback, compliments, or complaints. Below outlines the ways in which participants will be able to share their suggestions and provide feedback, compliments, or complaints to Smiling People:

- Mail (Post)
- Email Address
- Management Meetings
- Phone
- Satisfaction Surveys
- Feedback Collection by workers
- Participant Forums
- Feedback and Complaint Forms

Receiving Complaint or Feedback Documents

Smiling People utilises a variety of forms in order to analyse complaints or feedback from relevant personnel. Should any individual of Smiling People wish to file a complaint, they are encouraged to discuss the matter personally with any preferred worker of Smiling People beforehand. This is offered in order to attempt to resolve the concern before a reference to the complaints or grievance process.

Smiling People provides the opportunity for any participant who wishes to file a complaint to utilise an advocate to speak on their behalf. Any complaint received will be treated with respect and confidentiality.

Should a complaint allege real or perceived criminal acts, injustice, abuse or neglect, it is instantly addressed to the Owner/CEO/Director. The Owner/CEO/Director must immediately record the case and seek to resolve the allegation or issue with the appropriate authority.

All complaints and grievances shall be forwarded to the Management for resolution. As a first measure towards resolution, minor concerns will be discussed with the appropriate individuals. If the issue cannot be settled within 24 hours, this should be handled by Management in a timely and appropriate manner.

Management is responsible for ensuring diligence when handling complaints and feedback forms.

Grievances may be lodged immediately, either in writing by filling out a Feedback and Complaints form or verbally. They can be lodged through:

- By email to: amritasodhi@smilingpeople.com.au
- By phone on: 0430 179 262

Individuals can make a complaint directly to the following agencies at any time they wish to:

- NDIS Commission Complaints, Integrity and Privacy Unit
- The National Disability Insurance Agency (NDIA)
- Disability Services Commission

Recording Complaint or Feedback Forms

Smiling People's Management will record and document any filed complaint or feedback forms in liaison with the Information and Record Keeping Policy and Procedure. All documentation and outcomes will be retained for a minimum of 7 years; should the issue escalate to external agencies such as the police, documents will be achieved indefinitely. Smiling People maintains a Complaint Register and Feedback Register to assist with this process. Documentation will be stored in both hard copy and soft copy format in order to minimise the opportunity for theft, misuse, loss and error. Hard copy files will be retained at Smiling People's main office in a lockable and safe filing cabinet. Soft copy files will be kept at Smiling People's main office on the Owner/CEO/Directors computer under a lockable and password-protected document. Management and the Owner/CEO/Director will be the only persons who can access these

documents. The person filing the complaint or feedback will be provided with a copy upon submission for their personal reference.

Acknowledgement of a Complaint or Feedback Form

Smiling People's workers or Management will acknowledge any named complaints or feedback forms submitted by liaising with the person/s providing the form. Acceptance of the claim will be conducted within 1 working day as a preference; however, this can be conducted within 2 working days if the non-conformity or issue is seen as minor. This is done in order to establish a therapeutic relationship of confidence and cooperation with the individual filing the form.

Smiling People will provide the individual with an opportunity for anonymity. This is conducted if the individual has not nominated a preference when filing the form to Smiling People. Should the individual wish to remain anonymous, this suggests they may not be willing or expected to communicate, and therefore the issue should be resolved within Smiling People accordingly.

Should the individual remain named, the worker or Manager of Smiling People will employ direct communication in the individual's preferred method in order to establish a favourable outcome. Smiling People will hold realistic expectations and, if required, present the case or issue to other organisations where it has been identified as being more effective to deal with.

Smiling People will provide the individual filing with the complaint or feedback form with an appropriate time frame and the resolution plan. Acceptance and acknowledgement need to be given by the individual to ensure they approve the plan for improvement or resolution.

Resolving Complaints or Feedback Forms

When settling a complaint or grievance, Management will continuously involve the individual filing the form by keeping the individual informed of the complaint's development. This allows the individual to address any gaps found in the information supplied.

Smiling People provides the opportunity for the individual to request further information upon request as Smiling People recognises the importance of including the individual in order to promote trust and transparency.

Smiling People should document the outcomes of the resolution method and aim to improve their practices to avoid similar complaints or negative feedback.

Should a Corrective Action Request be required, Management of Smiling People will complete, monitor, and review accordingly. Upon notification of a complaint from the NDIS Commission, it is immediately forwarded to Smiling People's Owner/CEO/Director and nominated Management Personnel for action; this requires a Corrective Action Request Form to be completed immediately with appropriate monitoring and reviews.

Communication of Resolution from Complaints or Feedback Forms

Smiling People's Management will tend to all complaints, grievances and feedback forms as quickly and efficiently as possible. Issues or non-conformities will be resolved within 28 days of receiving the form. Should a complaint or grievance be unresolvable within 28 days, the complainant will be provided with a notification of the process completed so far, including the plan for the near future. The notification will also provide the expected date for a full response. The notification of the update will be provided verbally and then validated in writing.

Should the issue or non-conformity be resolved, Smiling People's Management will verbally discuss the outcome with the individual filing the complaint. Following the discussion, Management will deliver the outcome in a written format allowing them the opportunity to make further contact. Should the individual be happy with the outcome, Smiling People will request feedback on the complaint-handling process to ensure all appropriate measures are taken.

Assistance will be given to support complainants' knowledge of correspondence concerning complaints and grievances where required, for example, interpreters, referrals to advocates, etc.

Opportunities for measures responding to a complaint include but are not limited to:

- Explanation of procedures
- Resolving a concern
- Presenting an expression of regret
- Continuing monitoring of issues
- Providing training regimes, development and education to workers

The Owner/CEO/Director will use Smiling People's Registry of Complaints and Grievances to register each complaint, track the progress and results of the inquiry and how the findings were conveyed to the participants.

Reviewing Feedback and Complaints

To ensure Smiling People effectively responds to feedback and complaints, Smiling People's workers and Management will regularly review the complaints and feedback given to improve their practices when delivering quality services of care.

Smiling People and its workers understand the importance of recognising the specific issues identified through complaints and feedback, as well as implementing certain measures and strategies to improve the practices of Smiling People.

When reviewing complaints and feedback, it is important for workers and Management to consider the probable causes of the issue and how to minimise or eliminate these causes. Smiling People will also ensure to consider the development of improvement as a result of taking action and the progress of implementation of new strategies. All improvements should be documented in Smiling People's Quality Improvement Register.

Supporting Documents

- Complaints and Feedback - Complaints and Feedback Register
- Records and Information Management Policy and Procedure
- Governance - Continuous Improvement Plan

Policy Review

Smiling People may change 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, carers, and workers every year.

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

7. Disputes and Grievances Policy and Procedure

Purpose and Scope

All matters relating to complaints or disagreements from Smiling People's workers will have outlined steps within this policy and procedure of how to handle these matters. Workers can refer to Smiling People's Feedback, Complaints and Dispute Resolution Policy and Procedure to handle any complaints or disagreements. Smiling People will resolve all complaints and disputes in a way that is reasonable and understandable by all workers. This policy and procedure must abide by current legislation, regulations and standards and covers all workers.

This extends to all workers and meets relevant laws, regulations and standards.

Policy

It is the responsibility of Smiling People to maintain and continue to develop the connection between Management and workers.

Workplace complaints and disagreements can occur for an array of reasons but are not restricted to:

- Intimidation
- Harassment or prejudice
- Disagreements between a worker and his or her manager or supervisor or among workers/volunteers
- Concerns linked to in-house Smiling People procedures

Any complaints and disagreements arising within the corporation are to be managed efficiently and with discretion. This will involve all relevant parties working together and engaging in an open conversation to come to a resolution that is satisfactory for all. All employee duties remain the same during the resolution process unless any person may be in danger.

Procedure

Smiling People will utilise the Feedback, Compliments and Complaints Policy and Procedure to ensure an updated and maintained Dispute and Grievances Policy and Procedure suited to the workplace and relevant legislation. Often circumstances can occur where an individual is under the impression that action by Smiling People was taken unethically, incorrectly or adversely affecting them. When, with reason, the individual claims that judgment is unreasonable, they may present a grievance in compliance with this procedure. Any complaints must be examined with an unbiased approach, and all complaints will be considered in high regard.

Smiling People's Management for resolution of complaints and disagreements, including reaching an agreement that takes into consideration the opinion of all parties involved, reduces the occurrence of differences and allows all involved to represent their disagreement or complaint in an outlined method.

There are cases in which a complaint may not be filed, and other applicable policies and procedures protect these. For instance, issues that are being handled or have been settled by external agencies, a concern about work duties regarding a member of the workplace, decisions pertaining to employers' compensation claims, and when workers' issues have not been resolved. Disagreements and complaints must be treated with the utmost privacy by all concerned, and the claimant must not be mistreated.

Officially Reporting Grievances

If a conflict cannot be settled, a grievance should be submitted by the representative of the workers at Smiling People to the Owner/CEO/Director in writing form. These reported grievances have essential information that must be included in the record. These include a record of anyone involved or who observed the incident, the decisions made with reasoning, the date and time of the incident, a detailed explanation of the negative impact the experience had on an individual or group, any prior made decisions in an attempt to provide a resolution, and how you wish to proceed to resolve the situation. All this information must only be submitted to the Owner/CEO/Director unless there is a conflict of interest. The grievance will then be handled by your next in charge or an independent party.

Disagreements

Step 1: If any worker has a complaint, they must initially attempt to resolve the disagreement with the other party/parties before they submit an official grievance.

Step 2: Workers must notify and explain the situation to their supervisor. It is then the supervisor's responsibility to settle the dispute in a way agreed upon by all parties.

Step 3: Report the issues to the Owner/CEO/Director (unless the Owner/CEO/Director is the accused).

Step 4: Any matters relating to sexual harassment, abuse or discrimination should be reported to management immediately. These matters will be managed according to the Incident Management procedure.

Investigating complaints/grievances

Ensure the management of complaints holds up to equality and integrity, as it can result in strengthening or weakening the investigation of the workplace. Smiling People must upkeep procedural equality by relying on a worker's findings and the investigation regarding workplace decisions, and Smiling People must defend all parties involved and their interests throughout the investigation.

Owner/CEO/Director must investigate a formal complaint once it has been lodged within five working days. If the Owner/CEO/Director has a clashing concern regarding the formal complaint, the supervisor will be appointed to oversee the investigation; if this is also not practicable or possible, an investigative committee that has been outsourced shall be selected to perform the inquiry.

The selected investigator must ensure that the accused is innocent until proven guilty with a fair opportunity to respond, the matter is kept private, the accused are informed of all accusations, the investigation will be conducted in a reasonable amount of time, enough evidence is procured before judgment is passed, and those involved have the option of having a support person sitting in on investigative discussions.

Interviews are to be held with all parties involved, including the individual who lodged the complaint, the individual who is being accused (a support person may attend for both the accused and the victim) and any persons that have information regarding the matter and any other relevant parties involved. The support person's responsibility is to provide moral support; they cannot respond to questions on behalf of the person they assist or give their personal views, feelings or insights. The support people must not be involved in the investigation in any other way.

Throughout the investigation, all parties will be given a chance to detail the events and explain the situation on their account. All interviews are always to be performed while upholding administrative equality and being impartial to all involved. Any interviews or concerns conducted during the investigation must be documented.

Conclusion & Determinations

When a disagreement or complaint may be upheld, depending on the nature and severity of the complaint, the individual who caused the altercation may be required to but is not limited to, undertake additional training, given a written warning, apologise to the individual that filed

the grievance, undertake counselling, receive a demotion, be transferred or be let go due to the resentment.

When a disagreement or complaint may not be upheld due to the absence of evidence, Smiling People can recap all workers of their responsibilities regarding the Code of Conduct and Smiling People's Anti-Discrimination, Fairness and Workplace Harassment Policy and Procedure. Smiling People can organise workers to be retrained regarding discussion and disagreement skills and resolutions and addressing conflicts that may arise between workers that have been noticed by supervisors and given the opportunity for counselling.

If the disagreement or complaint is discovered to be a frivolous complaint, Smiling People may request supervisors to recognise potential problems and recommend all workers to undergo communication skills and conflict resolution. Smiling People will kindly inform all workers of their expectations under the Code of Conduct and Anti-Discrimination, Fairness and Workplace Harassment Policy and Procedure and provide counselling to their workers.

Based on the severity of the claims, the person that complained may be subjected to writing a formal apology document to the individual that had these accusations against them. Disciplinary actions of employment, such as a documented warning, demotion, dismissal, or counselling, are required to partake in further education.

If a solution regarding any complaints or disagreements cannot be reached, the individual that lodged the grievance has the right to outsource the matter to an external organisation, such as the Fair Work Commission.

Workers are entitled to petition against any ruling regarding disagreements. These petitions must be submitted to the Owner/CEO/Director in writing. Workers that successfully challenge the appeal will have all aspects reconsidered for correctness. Workers who fail to appeal will have their original judgment reaffirmed for them. The owner/CEO/Director will determine the definitive conclusion.

Supporting Documents

Documents applicable to this policy and procedure are:

- Human Resources Policy and Procedure
- Staff Code of Conduct
- Incident Investigation Policy and Procedure

Policy Review

Smiling People may change 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, carers, and workers every year.

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

8. Workers Code of Conduct

Purpose and Scope

The Code of Conduct outlines how we will deliver our services to Smiling People's participants and the measures we will implement to ensure the satisfaction and well-being of all participants. The purpose of this Code of Conduct is to ensure that the standards of ethics designed by the Owner/CEO/Director are implemented thoroughly throughout Smiling People's framework and operations. This is done to ensure all workers of Smiling People are treated in a way that reflects these standards of ethics.

The standards of ethics should reflect Smiling People's overall purpose, philosophy, values and legal requirements. These standards will be adhered to and implemented by all workers of Smiling People to ensure a consistent and effective Code of Conduct is enforced.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

The organisation is focused on being a leading provider and creating a safe, secure and productive workforce. Smiling People takes pride in the professional skills of its workers and the ability to meet participant and other stakeholder needs. This policy and procedure are relevant to all workers and participants at Smiling People.

Owner/CEO/Director Responsibilities

The Owner/CEO/Director must initially consider their desired standards of ethics and the way these standards will be implemented within Smiling People's framework and operations. It is their responsibility to ensure that the Code of Conduct is equally enforced across all workers and key stakeholders.

It is also the responsibility of the Owner/CEO/Director to effectively manage breaches or violations of the Code of Conduct, determining the consequences on a case-by-case basis, accordingly. Management may assist in managing breaches of compliance if required.

Management Responsibilities

Management of Smiling People is responsible for enforcing, supervising, and complying with the Code of Conduct. Management is encouraged to understand the standards of ethics set out by the Owner/CEO/Director and aim to enforce the standards within their operations to achieve this to a high standard.

In addition, Management is required to review this policy and procedure annually to ensure it is in accordance with regulatory standards and legislation.

As previously stated, Management of Smiling People may assist the Owner/CEO/Director with any breaches or violations of this Code of Conduct.

Worker Responsibilities

All workers of Smiling People are responsible for understanding the standard of ethics they are required to reflect and implement within their work practices. Smiling People and its workers recognise the importance of complying with the Code of Conduct and will ensure to behave in a manner that reflects the standards of ethics.

Procedure

Ethical Responsibilities

Smiling People recognises the importance of ensuring the health, safety and security of all workers, participants, stakeholders, and other relevant personnel. Smiling People will ensure to adhere to their ethical responsibilities to maximise the health, safety, and security of all persons.

To be considered an ethically responsible person, workers must not partake in actions, behaviours or activities that are deemed or considered:

- Harassment
- Discriminatory
- Sexual Harassment
- Bullying
- Misconduct
- Violent or Disorderly conduct

All workers of Smiling People must also ensure co-workers, participants, stakeholders or other relevant personnel are not discriminated against or harassed based on personal characteristics such as:

- Gender
- Age
- Ethnicity
- Religion
- Disabilities
- Pregnancy
- Marital status
- Sexual orientation

Honesty and Integrity

All workers of Smiling People must be fair and respectful towards other workers, participants, and stakeholders, and when in a public place, all workers must behave in a way that does not negatively represent Smiling People. Smiling People and its workers understand the importance of representation and will ensure to behave in ways that reflect the standards of ethics of Smiling People at all times.

In addition to this, Smiling People's workers are expected to remain truthful at all times to ensure honesty is maintained and implemented within the framework and operations of Smiling People.

Smiling People's Workers must not:

- Accept gifts, incentives, or favours that can be deemed as a way of influencing decisions.
- Work under the influence of illegal substances or alcohol or bring illicit substances to the premises.
- Steal properties or belongings of Smiling People, participants, stakeholders, or co-workers.
- Intentionally damage or destroy the property of Smiling People, participants, stakeholders, or co-workers.
- Smoke on the business premises.
- Smoke in Smiling People's company vehicles.

Compliance

To ensure compliance is upheld and maintained within Smiling People and its operations, Smiling People's Workers and Management are expected to comply with all policies and procedures of Smiling People. They must also adhere to relevant legislation, regulations and standards set out by the NDIS Commission.

Smiling People also recognises the importance of acting by instructions given by a superior authority, given that the orders are reasonable and lawful, promote quality care of work and reflect the standards of ethics.

Workers and Managers of Smiling People must ensure the organisation's framework, operations and practices are protected and kept confidential. This should be implemented during and after their employment with Smiling People. Smiling People and its workers understand that leaking personal information is a violation of Smiling People's policies and procedures, which may result in serious repercussions such as termination.

In addition to this, it is important for Smiling People and its Workers to always provide due diligence to all persons who ensure fairness, honesty, integrity, and equality for the health, safety and well-being of all workers, participants, stakeholders, and other relevant personnel. Smiling People and its workers should also strive to uphold a professional work ethic along with confidence and understanding to ensure positive representations of Smiling People. One way to achieve a high degree of professionalism is to abide by the dress code, act according to the standards of ethics, and present yourself admirably and professionally.

Behaviour Code of Conduct Violation

Under no circumstances does Smiling People tolerate violent or aggressive behaviour towards co-workers, participants, stakeholders, visitors, or any other persons. Any forms of abuse (whether physical or verbal), aggression and violence may result in severe consequences such as termination of employment.

If a person becomes abusive, violent, threatening, or aggressive and poses a risk to others, Management should be notified immediately. If the aggravated person refuses to be cooperative and ease the situation, Smiling People's Management or Owner/CEO/Director may be obligated to contact external services (Police: 000) to assist in handling and calming the situation. Smiling People's workers are encouraged to make attempts to manage or ease the situation prior to contacting external services.

Privacy and Confidentiality Regarding Sources Provided by Smiling People

All workers of Smiling People will be provided with Internet and an email to utilise during work. Smiling People will be sure to maintain the respect and privacy of all workers regarding their internet and email usage.

However, misusing these privileges may result in disciplinary action against the worker. If a worker fails to comply with the Code of Conduct and a breach is recognised, Smiling People may use these provided sources as evidence in court if legal action is being taken.

To ensure workers utilise these sources appropriately, Smiling People will ensure all workers keep their personal use of these sources as low as possible. Smiling People will encourage all workers not to disclose personal or classified information. All workers of Smiling People will be made aware of the possible repercussions if they utilise the sources in an inappropriate manner.

The unauthorised use of confidential information could potentially damage the service's credibility and compromise the individual's privacy. Any worker or management utilising devices must do so respectfully and abide by protocols by Smiling People, meaning the usage of electronic devices is restricted for work and duty purposes only. Workers and Management must keep their passwords confidential and are not allowed to share them with other workers.

Dress Code

All workers should be dressed in accordance with Smiling People's protocols as well as abide by Workplace Health and Safety Regulations. Workers and Management must uphold a neat, clean and tidy presentation whilst completing duties.

If supplied, workers should wear a uniform in accordance with Smiling People's standards and ensure it is kept in good condition. Workers should consult Management if they are unsure of the type of clothing that is suitable for their job position. Workers who knowingly break this dress code may receive a consequence as a result of disobeying Smiling People's standards of operation.

Policy Review

Smiling People may change 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.

9. Service Access Policy and Procedure

Purpose and Scope

The purpose of this policy and procedure is to ensure Smiling People implements the necessary measures and practices to support participants' access to Smiling People's service/s. Smiling People and its workers are dedicated to ensuring that participant rights are adhered to, enforced, and protected.

To comply with this policy and procedure, Smiling People will ensure all participants receive adequate services that support their needs and requirements in a fair and equal manner that allows them to access services that Smiling People provides safely.

Smiling People and its workers will advocate for the equal rights and freedoms of all individuals with disabilities to ensure all participants are receiving quality care during their time with Smiling People.

In addition to this, it is the responsibility of Smiling People to ensure participants and their families are provided with clear and concise updates regarding the delivery of services. This applies to all current and future applicants with disability-specific services of Smiling People.

If Smiling People's services are not suitable to certain applicants, Smiling People is obligated to help people access care elsewhere that would be suitable for their needs and requirements. Workers of Smiling People will be required to consider referrals and requests for participants to access another service.

This extends to all workers and meets relevant laws, regulations, and standards.

Definitions

Disability	A physical or mental condition that limits a person's movements, senses, or activities.
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Policy

The evaluation and eligibility of Smiling People, access priority and the strategic planning of waiting lists are followed in a fair, equal, and responsible way, in conjunction with the policy and procedure of the Client Charter Smiling People. Smiling People recognises the importance of ensuring fair and equal practices are implemented to prevent participants from feeling uninvolved or neglected.

Smiling People must consider the following prior to the approval of applicants:

- The specific needs and requirements of the participants.
- Smiling People's capacity to care for participants effectively and fairly.
- The resources Smiling People have to care for participants.
- Possible effects of current participants on Smiling People.

Smiling People will ensure to remain transparent, consistent, and non-discriminatory to promote equal opportunity and impartiality when dealing with facility admissions. In addition to this, Smiling People will ensure the services they provide are easy to comprehend and easily obtainable.

Smiling People is focused on delivering a clear and straightforward commitment to all individuals with a high level (and low-intermediate level) of care designed to meet needs and requirements and create a feeling of integrity, meaning and health. Smiling People is a secure and interactive system setting, easily available and sensitive to the care and contact requirements of its participants.

Owner/CEO/Director Responsibilities

- Liable to enforce this policy and procedure within the framework of Smiling People.
- Perform frequent internal and external audits and assessments.
- Utilise the information from the audits and assessment reviews to make the necessary adaptations to achieve high-quality care when delivering services.
- Ensure all workers of Smiling People are enforcing and adhering to this policy and procedure standards.

Management Responsibilities

- To ensure all workers of Smiling People are aware and understand the duties they must adhere to when delivering quality care services.
- To demonstrate reasonable vigilance through consistent assessments and reviews to ensure consistency with relevant legislation.
- To annually assess and review Smiling People's success through the Quality Improvement Plan and to communicate these achievements with Smiling People's Owner/CEO/Director.
- To investigate and review the admission and referral procedures implemented within Smiling People and address any concerns or achievements in regular meetings.
- To ensure all workers of Smiling People have the appropriate expertise, understanding and capability to meet the demands and requirements of Smiling People.
- To perform and attend admission interviews.
- To provide participants with Smiling People's Handbook and other relevant or requested documents.
- To manage the applications and inquiries of future participants of Smiling People.

Worker Responsibilities –

- To ensure they thoroughly understand the standards and expectations they must adhere to and meet while delivering services to participants.
- To execute tasks and practices in line with this policy and procedure.

- To report recommendations for improvement to Management.
- To ensure all participants are treated equally and with respect.
- To ensure the waiting list is used correctly, participants who applied earlier will receive the approval of admission to Smiling People prior to those who applied later.

Procedure

To ensure the most effective system of admissions and referrals is implemented, Smiling People will construct an organised and strategic way of operating this system. Smiling People must ensure that while utilising these organised and strategic practices, they must remain fair and equal to all participants. They must provide those unable to access Smiling People's services supported when searching for additional support and services that would adhere to their particular needs and requirements. In addition to this, Smiling People may provide participants with advice and information to support themselves, providing the service to an individual of their choosing, such as a supporter.

Service Access

Smiling People understands that certain participants require 24-hour care, and to adhere to this, Smiling People's delivery of service will be available 24 hours a day, 7 days a week. It is the responsibility of the Owner/CEO/Director and Management team to ensure a manager (or delegate) is available to assist persons who require care after work hours. Smiling People is open to expanding these hours upon request to provide participants with additional service opportunities. However, these decisions require approval from the Owner/CEO/Director or the Management of Smiling People.

To ensure the most effective and equal system is implemented within Smiling People, the Management will be responsible for dealing with relevant questions or inquiries of prospective participants or their representatives. Upon response to these questions and inquiries, if the prospective participant or their representative does not directly reply, Management must re-contact the person requesting care or their representative/advocate within one business day.

Below is an outline of the specific times Smiling People will operate and the other possible forms of contact for after-hour care:

Head office admin hours: 9:00 am to 6:00 pm.

Smiling People's services will be provided 24 a day, 7 a week. Service hours are 00:00 am to 23:59 pm, Monday to Sunday. Such periods could be expanded that will provide additional service opportunities for participants with the management's decision.

Smiling People's Management will utilise the steps below as a guideline when introducing a prospective participant or their supporter/advocate to Smiling People's service.

- Initially, the needs and requirements of the participant will be examined to determine if they have adequate resources to provide quality care and adhere to the needs and requirements of the participant.

- If an issue arises involving physical accessibility, consider ways to adapt that allow participants easily access their services.
- Management will then inform individuals about their ability to exercise their rights of having a personal advocate with them and any activities associated with the service.
- Once this is completed, Management will determine if the individual requires additional assistance during the intake process. Advocates for families may also assist in making this decision.
- If a communication or cultural barrier is identified, they may appoint a translator or interpreter suitable to the individual.
- Upon completion, Management will schedule an admission interview with the participant and their advocate/representative (if applicable) within 5 business days of the initial introduction, in which they will perform and conduct the interview.

One working day after the admission interview, management must notify the individual or their representative via telephone or email, informing them of the decision if the service environment is suitable for the participant. If the individual's application is accepted and service of care is offered, Smiling People will refer to their Assessment, Planning and Review Policy and Procedure to complete the administration process.

Smiling People recognises the importance of ensuring prospective participants are informed of all necessary important information before accepting admission. Details regarding the service environment should also be given to the participant. This information is recorded within Smiling People's Handbook and Client Charter, which will be given to participants prior to acceptance of admission to Smiling People.

Management must present the individual with knowledge about arrangements, which may refer to the delivery of services, any costs or payments associated, procedures for entering and exiting the service, conditions required to be eligible, means to access disability-specific services from Smiling People, and if the individual will meet specific eligibility requirements.

When considering disability-specific requirements, Smiling People's Management will conduct an unbiased compliance analysis to determine if the participant is eligible. When doing so, Smiling People should aim to recognise individuals' requirements, any potential or foreseeable hazards or risks and consider the individual's wellbeing. In addition to this, Smiling People should utilise the guidelines of the service when making a decision.

To be eligible to access Smiling People's disability-specific services, individuals would:

- Have a developmental delay or cognitive impairment (specifically for children)
- Suffer from a mental, psychological, emotional, perceptual or functional disability that is incurable and likely to remain lifelong.
- Suffer from one or more disabilities reported which are due to a neurological condition that is expected to be lifelong

Dissatisfactory Service

Participants dissatisfied with the outcome of the appeal should be allowed to make a formal complaint or give feedback. In this instance, Smiling People will inform participants of the necessary procedures to take to issue the criticism or feedback, which will be done in

accordance with Smiling People's Feedback, Compliments and Complaints Policy and Procedure.

Service Environment

Smiling People always aims to ensure every service environment is maintained as well as kept clean for all persons related to Smiling People. This, therefore, assists participants, workers, visitors, management, families, and other related personnel to feel safe and comfortable.

There are certain factors Smiling People must consider ensuring their facility and operations are suitable to the number of participants, their specific needs and accessibility requirements. Smiling People should consider the demographic data provided by the NDIA, waiting list data, prospects for improvement and development of Smiling People's framework, and the feedback collection from workers, participants and local networks.

Smiling People recognises and understands the importance of ensuring the environment of Smiling People's facility is maintained effectively at all times.

Prior to the acceptance of an applicant, Smiling People should consider the primary concerns outlined below to determine if Smiling People's services are suitable to the individual. If the services Smiling People provides are not suitable to the individual and their needs, Smiling People is obligated to assist in searching for an alternative service that would better accompany their specific requirements and needs.

Smiling People should consider:

- The ability of Smiling People to address and adhere to the individual's needs and requirements.
- The extent to which Smiling People has sufficient resources and equipment to support and adhere to the individual's specific needs.
- If the services inside Smiling People can sufficiently and effectively meet the requirements of the individual.
- If providing Smiling People's services to the individual is in their best interests.
- Where applicable, the individual's specific external requirements, including their relatives, caretaker or any other advocates.
- The individuals use other services.
- The participants' NDIS Plan and if they are able to implement the plan when delivering services of care effectively.

Participant Service Denial

Smiling People understands and recognises there may be varying situations in which an individual is unable to receive services of care from Smiling People. This may be due to the refusal of acceptance or the non-acceptance of an individual. A variety of measures have been implemented within Smiling People's framework to ensure all denials or non-acceptance of admission to Smiling People are dealt with in a fair, unbiased and respectful manner.

Smiling People understands the importance of ensuring all persons considered vulnerable have the opportunity to access quality care and will assist unsuccessful applicants in finding an alternative service provider. Smiling People is obligated to provide advice and referrals, where necessary, to assist individuals in accessing services suitable to them. This should be done in conjunction with Smiling People's Providing Information, Advice and Referrals Policy and Procedure. Smiling People will be sure to provide this assistance in circumstances when participants were refused acceptance or denied acceptance.

If Smiling People has refused to offer care to an individual, the individual or their representative should be given justified reasoning as to why Smiling People is unable to provide their services. There are certain reasons as to why Smiling People may refuse acceptance as outlined below:

- If Smiling People does not obtain the adequate resources and equipment to accommodate the individual's specific needs and requirements.
- If a certain prospective participant is evaluated as of higher importance, there is limited room for acceptance.
- If the individual does not satisfy the eligibility criteria for Smiling People.
- If Smiling People's facility has no capacity to accommodate new participants.

If a prospective participant is eligible to obtain services. However, Smiling People's facility cannot accommodate due to lack of space; participants will be given the opportunity to be placed on the waiting list. If participants agree to do so, Management of Smiling People will maintain regular contact (approximately every 3 months) to inform participants of updates regarding their positioning on the list and possible time remaining on the waitlist. Each time a participant on the waiting list is contacted, Management should confirm their place on the list and recommend appropriate alternative service providers. Smiling People will maintain a manageable list to ensure all individuals have the opportunity to receive an acceptance of admission to Smiling People and are not waiting for long periods of time.

If an individual is refused acceptance, Smiling People should document this information in a database. The information should contain the reasoning as to why the individual was refused acceptance. If individuals have been accepted but put on the waiting list, this information should also be documented within the same database. This is done to guide the continuous improvement of Smiling People's framework and practices.

In addition to this, if Smiling People grants service to an individual, in which they decide to deny their acceptance, Smiling People should not offer incentives or persuade the individual to pursue with Smiling People. Management and workers of Smiling People understand that acts of persuasion are considered manipulation, which is not tolerated under any circumstances. However, Management should ensure individuals are aware they are able to recontact Smiling People if their service of care is required. In doing so, individuals should also be made aware of the waiting list, if applicable.

Appeal

Smiling People understands that individuals who have been denied acceptance have the opportunity to challenge the decision made by the Management of Smiling People. Smiling

People has implemented an effective system that allows appeals to be dealt with fairly and in a timely manner. Below outlines the procedure Smiling People will follow when managing an appeal:

- Individuals should document their complaints or challenge in writing.
- Submit the document to the Management or Owner/CEO/Director of Smiling People.
- Management and the Owner/CEO/Director should come to an agreed decision that is fair and justifiable.
- Documented guidance will be given to individuals who are unsatisfied with the outcome of the appeal.
- Management should document the outcome in the same database used to document refusals of acceptance.

Individuals who are unable to communicate effectively are able to receive assistance when appealing. Smiling People's workers may assist in this instance, or a translator or interpreter should be contacted.

Participants who are successful in the appeal will be redirected to Smiling People's Assessment, Planning and Review Policy and Procedure to finalise the admission process.

Supporting Documents

Documents relevant to this policy and procedure include:

- Feedback, Compliments and Complaints Policy and Procedure
- Providing Information, Advice and Referrals Policy and Procedure
- Decision Making and Choice Policy and Procedure.
- Risk Management Policy and Procedure
- Incident Management Policy and Procedure

Smiling People can occasionally adjust these policies and procedures to enhance the efficiency of its operation. Typically speaking, this entire policy should be checked every year with participants who use the service, their families, caregivers and workers.

Policy Review

Smiling People may change 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, carers, and workers every year.

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

10. Decision-Making and Choice Policy and Procedure

Purpose and Scope

Smiling People understands the importance of ensuring all participants have the opportunity to make appropriate decisions and choices regarding their everyday lives. Thus, this policy and procedure aim to ensure all workers of Smiling People allow participants to exercise their right to make decisions that are suitable to their needs and do not pose harm or risks to themselves or others.

Smiling People's workers will support all participants in making their decisions and choices to improve individuality and independence. However, workers are able to intervene if the decision is considered harmful or inappropriate.

Smiling People's workers will assist participants where possible while adhering to their rights and ensuring the safety and security of all participants, workers, staff, visitors, and other relevant personnel of Smiling People.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

The purpose of this policy is to ensure all participants of Smiling People are able to exercise their right to make decisions on all facets of their life and the services of care they receive. The workers of Smiling People should assist participants in identifying their capability and potential to make decisions for themselves.

When doing so, workers must ensure they consider the obligations and duties of care they are responsible for when assisting a participant in making decisions. When determining if the decision is considered appropriate for the participant, workers must consider the following; however, are not limited:

- The likelihood of the participant being exposed to any form of harm or risk as a result of the decision.
- If the decision made by the participant will negatively affect other people.
- If the outcome of the decision is going to benefit the participant.
- If the decision is appropriate and suitable to the capabilities and skills of the participant.
- If the participant is a child, their parent or guardian should make choices and decisions on their behalf.

Smiling People understands that some individuals may be unable to make decisions themselves for a short period of time or permanently. To support these individuals, they will be informed of their opportunity to have an independent support person to assist them in making appropriate decisions. Smiling People will be sure to advise participants or their advocates of their eligibility to access a support person to aid in the processes of decision-making.

When conducting initial assessments and evaluations, all participants of Smiling People will be encouraged to utilise a support person for the duration of the decision-making processes.

Persons that are considered eligible to make decisions on the participant's behalf are listed below:

- A Nominee
- Court-appointed decision maker
- Participant-appointed decision maker
- Family member
- Advocate
- For children, a parent or guardian

In addition to this, Smiling People will also ensure all participants understand that they will be able to partake in decision-making in some circumstances, regardless of their individual capacity to make appropriate decisions.

Smiling People expects its participants to make educated decisions and choices that are likely to benefit themselves and lead to quality improvement. Smiling People and its workers will also guarantee that all participants are given the opportunity to exercise their opinions and suggestions that improve the delivery of services of care.

Procedure

Smiling People will ensure to enforcement of an effective system that allows participants to exercise their right to engage in important decision-making in relation to their daily lives and delivery of services.

Smiling People will ensure participants are aware of their opportunity to have their representative or advocate present during the initial process and will contact them upon request. During the process of the initial assessment and evaluation, workers of Smiling People will provide participants with relevant information regarding the decision-making process and their rights involved in this process. This information is documented in Smiling People's Participant Handbook and Participant Charter, which will be distributed to participants.

If a participant cannot understand or comprehend the information due to a language barrier, Smiling People will provide participants with the following opportunities:

- Provide participants with the Participant Handbook and Participant Charter in their preferred language.
- Access a qualified interpreter or translator.
- Access an advocate that can accurately translate the information.
- Less valuable information can be clarified verbally by a worker who understands the preferred language of the participant.

By giving participants a variety of formats to obtain the essential and requested information, Smiling People is adhering to the following policies and procedures:

- Participant Rights and Responsibilities Policy and Procedure
- Privacy and Confidentiality Policy and Procedure
- Service Access Policies and Procedures

It is the responsibility of Smiling People's Management to ensure all participants are given the essential information required for them to exercise their right to partake in making decisions that affect their daily lives. All workers of Smiling People should encourage participants to make decisions that allow them to access or achieve the following; however, is not limited to:

- Resources provided by Smiling People
- Development of independence and individuality
- Technological resources and materials
- Activities that allow participants to achieve their aspirations and desires
- Important life decisions
- Delivery of service

Smiling People understands and acknowledges that the needs and requirements of the individual may change over time. To manage this, Smiling People will implement certain measures and practices to ensure the necessary modifications are made which adhere to the participants' changing needs, requirements, aspirations, and decisions.

Requirements of Workers of Smiling People

Workers of Smiling People are expected to participate in an initial induction to ensure they understand the operations and practices of the organisation and the expectations of Smiling People when delivering services of quality care. To monitor the operations of workers, Management will assess workers through annual performance reviews. This adheres to the requirements outlined in Smiling People's Human Resources Policy and Procedure.

Inductions are an essential requirement of workers as it illustrates how to create an adequate plan that reflects and supports the participant's needs, the right to exercise decision-making and the risk integrity of the participant. Where applicable, workers of Smiling People should guide participants when making informed decisions.

Workers of Smiling People may be given additional training within the workplace to improve further their skills and knowledge of caring, supporting and assisting participants.

Duty of Care

All persons of Smiling People understand and acknowledge their duty of care towards participants and their obligation to adhere to their duties. Workers of Smiling People are aware that a breach of their duty of care can result in disciplinary action.

Smiling People and its workers understand that certain actions or behaviours made by individuals with a disability may expose workers to risk, harm, or injury. Smiling People has implemented the necessary measures to manage these occurrences. Refer to Smiling People's Positive Behaviour Support and Restrictive Practices Policy and Procedure for more information on the management of these occurrences.

- Below outlines the few responsibilities and duty of care the workers and Management of Smiling People are obligated to enforce and adhere to; however, is not limited to:
- Must provide an atmosphere that is considered safe and secure for all persons within Smiling People's facility.
- Must take the necessary measures, precautions, and actions to ensure the environment is free from any risks, hazards, or objects that could possibly harm an individual.
- Must consider if a participant's decision-making will pose risks to others and implement the necessary prevention measures to minimise the effects of risks or hazards.

If a participant's decision or choice is inappropriate or poses an extreme amount of risk, harm or injury to others, Workers of Smiling People may implement restrictions on the decision being exercised. If this situation arises, Management should be notified immediately, and the information on the event should be documented in the participant's file. The information regarding the management of the potential risks and dangers should also be documented. If workers are unsure of how to identify potential risks or dangers as a result of a decision being made, Management will intervene and assist.

NDIS Practice Standards

Smiling People recognises the importance of implementing a framework that is in conjunction with the NDIS standards. To ensure these standards are adhered to and implemented, Smiling People will enforce the necessary practices and measures that allow participants to safely and securely exercise their rights.

Below outlines, the way Smiling People will implement the requirements of compliance set out in the NDIS Act 2013. Smiling People's framework was constructed to allow all personnel of Smiling People to utilise this policy and procedure to adhere to the standards of the NDIS Practice Standards (2020), which are also outlined below:

- Workers will encourage all participants to develop skills to improve their individuality and independence. Workers will also take the necessary measures to ensure participants have the opportunity to engage in decision-making that allows them to pursue their aspirations and desires and allow them to further develop their skills.
- Workers should aim to ensure all participants are treated with the utmost respect at all times and are not discriminated against or neglected. All workers acknowledge that all individuals with disabilities share the same rights as all individuals in the community. To enforce these rights, workers will assist participants in expressing decision and control to their maximum capability, where necessary.
- Workers delivering quality care should always ensure participants' competence to implement control and decisions develops and increases over time in a manner that is suitable to their needs, requirements and abilities.

In addition to this, Smiling People and its workers recognise the importance of ensuring all participants' families, carers and other relative personnel are involved in the participant's life.

To ensure this is enforced within the framework and operations of Smiling People, all workers will do the following, but are not limited to:

- Workers will ensure participants' families and carers have the opportunity to partake in the decision-making process.
- Workers will ensure the cultural background and values of families and participants are respected and considered at all times.
- All decisions made by families and carers will be considered and respected.

Formal and Informal Decision-Making Process

Informal decision-making refers to an individual who is not court-appointed and is required to make a decision or choice on behalf of an individual with a disability. All informal decisions should be recorded and documented in the participant's file. Workers directly involved should also receive a copy of the documentation.

Utilising formal decisions ensures the participant's aspirations and desires are considered. They will utilise this form of decision-making if the participant doesn't agree with the informal decision made. Formal decision-making agreements should be documented in the participant's file, and any concerns should be made prevalent to the management.

Dignity of Risk

Smiling People and its workers understand the importance of ensuring all participants' capacity to make decisions can be exercised in a manner that is safe and secures themselves and others. Smiling People should involve all relevant personnel, including stakeholders, in the decision-making process and discuss all possible dangers, hazards, negative repercussions, and prospects.

Smiling People and its workers also understand and will ensure participants' requests for access to support cannot be rejected based on a participant's risk dignity. Where a participant makes a choice that is deemed 'at risk', the Smiling People is to complete a risk assessment with the participant and document it on the risk register to ensure monitoring and reviewing are continuous.

Below outlines the necessary measures Smiling People's workers should take in order to ensure all participant's decisions are suitable to their needs and safe to pursue:

- If a participant wants to pursue a previous aspiration or desire that failed to succeed or wishes to engage with new aspirations, and it involves a decision to be made, workers should address Management and other relevant personnel, in which the situation and decision should be addressed.
- Workers and significant individuals to the participant should discuss the possible negative repercussions on the participant and others as a result of pursuing the decision. Possible hazards, risks and injuries involved should be addressed and managed effectively.
- If the participant's original decision is safe to pursue without causing harm, damage or injury to themselves or others, the service must adhere to the participant's decision. If

the decision is not safe to pursue, workers should assess and plan ways to effectively minimise possible hazards and risks to increase the chance of the participants' decision being adhered to.

During this process, all participants should be made aware of and understand the potential injuries or risks that could occur as a result of the decision. If there is a significant disagreement between the participant and their advocate, Management should be notified and become involved in the discussion, or they may suggest and organise independent mediation.

Workers of Smiling People should always strive to enforce and adhere to the participant's decision and will be trained to do so through inductions and training. By undertaking inductions and training, Workers of Smiling People will obtain the necessary skills to assist participants in making decisions while limiting the use of restrictions.

A child may be eligible to make decisions on their own, with the approval of the supplied worker from Smiling People. A child's ability to independently make appropriate decisions and choices increase as the child develops. To ensure the child is capable of making these decisions, Smiling People will utilise the points below as a guideline when determining the child's capability:

- If the child comprehends the relevant information regarding the decision being made.
- The use of evidence and facts to come to an appropriate conclusion and make decisions suitable to themselves and the situation.
- If the child understands the possible repercussions and outcomes of the choices they make.
- If the child can effectively communicate their motivations for the decision

In addition to this, Smiling People's workers should consider the opinions and preferences of the child's representative, families and nominated worker while complying with legal or parental guardianship agreements. While doing so, workers must ensure they remain respectful of the child's predispositions and wishes and consider them when coming to an agreement.

Supporting Documents

Documents relevant to this policy and procedure include:

- Participant Handbook
- Positive Behaviour Support and Restrictive Practices Policy and Procedure
- Service Access Policy and Procedure
- Human Resources Policy and Procedure
- Participant Rights and Responsibility Policy and Procedure
- Participant - Risk Assessment Form

- Risk Management - Risk Assessment Template
- Risk Management - Risk Management Plan

Policy Review

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

11. Continuity of Supports Policy and Procedure

Purpose and Scope

The Continuity of Supports Policy and Procedure is implemented to ensure service delivery is continued within Smiling People for participants. This is implemented alongside a range of policies, procedures and key plans.

This extends to all employees and meets relevant laws, regulations, and standards.

Policy

Smiling People is to ensure it upholds appropriate processes and plans, such as the Fire Safety and Emergency Policy and Procedure and the Succession Planning Policy and Procedure, to guarantee business and service continuity for participants, especially during emergencies and times of hardship.

Smiling People is to ensure the quality and quantity of workers, contractors, and other services to meet the needs of participants in all situations.

Smiling People is to ensure operations are managed daily and efficiently to avoid discontinuation of support to participants.

Smiling People is to ensure if any disturbances or unavoidable discontinuations occur, that arrangements are in place for participants to continue supports along with the participant and their family's consent.

Smiling People is to ensure service continuity during the transition into or exit of Smiling People.

Smiling People is to ensure staff are trained correctly and informed on participants' requirements in order to meet the participant's needs.

Procedures

Smiling People follows the responsibilities of the provider as described in the participant's service agreement to ensure the participant receives services continuously without interruption. Smiling People will provide the participant with the supports agreed upon at the agreed-upon time in a manner consistent with all relevant laws and legislation, including the Australian Consumer Law and the National Disability Insurance Scheme Act 2013.

Appointment Changes

Appointments will be scheduled with the participant before the service is provided, and the participant must be given a minimum of 48 hours' notice if changes are going to occur to the service delivery, along with consent from the participant and their family. Emergencies may be sudden and can be unavoidable, which may reduce the time of notice.

If the appointment is to be changed, which will cause an interruption to services and Smiling People is not able to cater for the change, Smiling People will arrange for contractors to provide services or sign memorandums of understanding with other local service providers, for them to provide services during this time. Smiling People will ensure that these contractors and service providers:

- Have correct checks such as a Police Check, DWES check and, if needed, a Working with Children's Check
- Are suitably trained and qualified
- Have been inducted into Smiling People's services
- Have been provided with the correct information on the participants; they understand and are able to meet their needs.

Worker Retention

This procedure must be read along with Staffing Policy and Procedure, as well as Human Resource Policy and Procedure.

In order to facilitate continuity of service, Smiling People may engage contractors by advertising for suitable staff to provide services, sourcing staff from a hiring agency or signing Memorandums of Understanding with other local service providers to provide services.

- The Proprietor is responsible for checking that contractors and other temporary replacement staff have the following:
- Undergone mandatory criminal history checks.
- Have appropriate qualifications (where necessary) to deliver the service and have been inducted to deliver services on Smiling People's behalf.
- Discuss cooperative service-continuity plans with other local service providers.
- The [position title] or delegate will re-assess co-operative service-continuity plans with other local service providers and liaise with them to make improvements to the Smiling People's Emergency Plan.

Crisis

This Fire Safety and Emergency Policy and Procedure prepare Smiling People's service continuity and delivery against the impact of crises such as extreme weather events and their attending uncertainty.

Implementation of Plans

Smiling People is responsible for making sure Smiling People has appropriate plans in place to ensure continuity of support, such as:

- Strategic and Operational Plan
- Continuous Improvement Plan
- Emergency Management Plan
- Succession Plan
- Business Continuity Plan

Commitment to Uninterrupted Supports

We are committed to ensuring day-to-day operations are managed efficiently and effectively to avoid disruption and ensure continuity of supports; our supports are planned with each participant to meet their specific needs and preferences. The participants' 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 preference. We also have an arrangement in place to ensure support is provided to the participant without interruption throughout the period of their service agreement. Where changes or interruptions are unavoidable, we will make alternative agreements which we will explain to the participant and seek their approval. Where applicable, we have Emergency Management Planning in place to enable the continuation of critical support before, during and after a disaster.

Supporting Documents

Documents applicable to this policy and procedure are:

- Human Resource Policy and Procedure
- Staffing Policy and Procedure
- Fire Safety and Emergency Policy and Procedure
- Governance - Business Strategic and Operational Plan (Example)
- Governance - Continuous Improvement Plan
- HRM - Delegation of Authority
- Governance - Business Continuity Plan

Policy Review

Smiling People 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 careers and workers annually.

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

12. Person-Centred Supports Linkage Policy and Procedure

Purpose and Scope

People with disabilities have the same right as other members of Australian society to realize their full potential. They should be supported to participate in and contribute to social and economic life. The purpose of this policy is to ensure the inclusion of, and access for, people with disabilities to mainstream and community-based activities and other government initiatives.

This policy applies to all front-line Employees.

Policy

Smiling People will access links between other service systems, e.g., social activities, which will improve and support the varying needs of people with disabilities, their families and advocates.

Smiling People's commitment is to make sure people with disabilities are connected to their communities by:

- Providing information on mainstream services and community activities which will benefit participants.
- Smiling People ensures each participant accesses supports that promote, uphold, and respect their legal and human rights and is enabled to exercise informed choice and control.
- Smiling People's provision of Support promotes, upholds, and respects individual rights to freedom of expression, self-determination, and decision-making.
- Contributing to developing links and networks within the community.
- Working in partnership with community organisations to provide opportunities for active participation in local activities.
- Supporting key workers to build their capacity so that they can sustain their role, which could involve linking them to direct-carer support services.
- Linking the participant and their families to social and recreational activities that provide the family with a break from their caring role and connect them with the community.
- Sourcing activities that promote the participant's well-being, e.g., Personal development, peer support and mentoring.

Procedure

Smiling People will follow this policy to allow participants to maintain their ability to participate in and contribute to society. Front-line workers are required to ensure that participants are:

- Connected within their community.
- Informed about relevant activities to allow the participant to make decisions and choices.
- Provided with the necessary skills to participate confidently and contribute to the community and protect their rights.
- Assisted to use and benefit from mainstream services.
- Assisted in participating in, and benefiting from, community activities.
- Supported to contribute to leading, shaping, and influencing their community.

Supporting Documents

- Governance - Business Continuity Plan
- Participant - Consent Form

Policy Review

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

13. Work Health and Safety Policy and Procedure

Purpose and Scope

The Work Health and Safety Policy and Procedure are utilised and implemented throughout Smiling People to ensure that the optimal health, safety, and well-being of all related personnel are present at all times. It also clearly describes how Smiling People develops a strategy aiming to minimise health and welfare risks for all Smiling People workers, participants, their families and visitors. It is the responsibility of Smiling People to comply with and fulfil regulatory and cultural obligations. The Work Health and Safety Policy and Procedure established within Smiling People details the commitment of Smiling People to enforcing and supporting health and safety for all participants and providing excellent operating strategies for health and safety.

The phrase Work Health and Safety varies across the individual states of Australia and possesses different characteristics for each state. Irrespective of the state in which Smiling People operates, this policy and procedure will use the quotation "Work Health and Safety".

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

Smiling People's principal component when delivering care and services is to ensure all participants, workers, children, adolescents, volunteers and other relevant bodies' health, safety and well-being. Smiling People is committed to maintaining an adequate environment for all individuals who utilise Smiling People's facilities, premises and services. All surrounding environments must be eliminated from any potential disease, injury, illness or incidents.

If a participant is to encounter an accident or illness in connection with the services delivered by Smiling People, a Participant Incident Management Policy and Procedure is in place and will protect and maintain the participant's rights in agreement with this policy.

Smiling People does not require its workers to conduct any job deemed dangerous and, therefore, does not want its participants to conduct unsafe practices or working conditions. Smiling People recognises that communication and consultation with its workers and participants are vital for the identification, acknowledgement and resolution of any future risk. Smiling People Management must ensure that workers are able to recognise any type of work deemed dangerous and that all participants receiving services do not accept hazardous job procedures or service environments.

Worker Responsibilities

- All workers must adhere to and execute all work health and safety obligations developed by Smiling People.
- Workers will complete all training and induction programs for Work Health and Safety. Workers will not be permitted to perform tasks or duties unless they are considered competent.
- Workers will need to ensure that their actions or lack of ability to act will not put themselves or other Smiling People's workers at risk. This is in cooperation with all relevant Work Health and Safety laws and procedures introduced by Smiling People and put into this policy and procedure review.
- Workers are required to take responsibility for their own safety at all times.
- Workers, along with other relevant personnel, will receive knowledge and training of correct health and safety information, guidance and supervision, and workers shall ensure that these participants are not exposed to health and safety risks arising from the procedures of Smiling People.

Accountability of Smiling People's workers:

- Workers must follow all reasonable guidelines, safe working procedures and legislation and take responsibility for their own health and safety and not endanger the safety of any other individual.
- Workers will be required to report all accidents, incidents or near-misses as quickly and efficiently as possible and any risks or concerns related to the health and safety of any Smiling People participant.

- Smiling People workers will be responsible for the requirements for involvement in the health and safety procedures of Smiling People and for supporting a health and safety culture that is beneficial to continuous improvement.

Owner/CEO/Director Responsibilities

- Introducing and implementing Smiling People 's effective Work Health Safety services. They also must take into consideration the size and extent of the services it presents.
- Regularly monitor and review the health and safety effectiveness of Smiling People to identify any changes.
- Working closely and engaging with workers and participants on concerns of health, safety, and well-being that may affect them.
- Presenting health and safety guidance and information for all workers to conduct their duties in a safe manner.
- Providing workers with the appropriate personal protective equipment (PPE).
- Providing adequate financial resources to maintain the efficient operation of health and safety.
- Development and reviewing of work policies and procedures. All relevant work-safe policies and procedures should be incorporated.
- Handling risks to the extent that they are adequately practicable by removing or reducing them.
- Reporting and investigating all accidents and incidents.
- Handling risks to the extent that they are adequately practicable by removing or reducing them.

The Owner/CEO/Director must:

- Display the Work Health and Safety Policy and Procedure in a clearly visible position within Smiling People's facilities.
- Revise and correspond with alterations in the Work Health and Safety laws and procedures and ensure that they are communicated to workers, participants and other participants if necessary.
- Assign workers to be responsible for the Work Health and Safety duties and processes.
- Ensure and organise training programs for all workers to ensure they are competent in all of Smiling People's Work Health and Safety procedures.
- Ensure workers have an understanding of how to recognise risks.
- All workers must be communicated with all OH&S occurrences and issues. Known or potential hazards should be recognised and made known. Establish actions and decisions of ways in which will assist and manage risks to health and safety.
- Changes planned at Smiling People that could affect the health and safety of participants.
- Not discriminate against the health and safety of workers and allocate sufficient funds to monitor any identified hazards.

The CEO/ Director is responsible for supervising all present and future work health safety tasks of Smiling People. The following information is the requirements that the CEO/ Director must maintain responsibility for; however, it is not limited to:

- Ensure that all relevant equipment that is utilised by Smiling People's workers remain in accordance with the safety standards and is a regulatory review to ensure there are no potential hazards or risks.
- Ensure that all established work health and safety protocols are being adhered to by workers.
- Maintain and ensure that all appropriate and relevant licenses, registration and permits are in accordance with the current work health and safety standards and regulations.

Procedure

The Work Health and Safety Procedures outlines the correct and adequate measures which all personnel-related Smiling People must understand, comply and implement. Induction and training programs must be offered to the workers of Smiling People to ensure they are competent in recognising and managing work health and safety issues.

It is the responsibility of Smiling People's Owner/CEO/Director to maintain all work health and safety procedures within operations of care and services. Where there are surfaced Work Health and Safety issues within Smiling People, the Owner/CEO/Director is accountable for ensuring this has been communicated to all workers, participants and relevant personnel. Where a worker has recognised a hazard within Smiling People that has not yet been addressed, then it is their responsibility to ensure that the issue has been made known and immediately be reported to the Owner/CEO/Director. They will then be expected to document all witnessed incidents and safety concerns in the Incident Forms. Smiling People encourages all workers to submit suggestions, feedback and complaints regarding the current work health and safety measurements. Where there are any concerns based on Smiling People's actions regarding Worker's Health and Safety systems, then workers' feedback will be submitted into Smiling People's Risk Register. These concerns will be regularly reviewed and will be tracked for progress results. The only authorised personnel to track and review workers' concerns is the Owner/CEO/Director. It is also important that the recognised safety concerns are included in Smiling People's Continuous Improvement Register where applicable.

Where there are any past, current or future work health and safety apprehensions of Smiling People, it is the responsibility and duty of care for the Owner/CEO/Director to communicate these issues clearly to all personnel. The Owner/CEO/Director will conduct these meetings on a three-month basis to ensure that all workers and participants receive the most up-to-date information and potential amendments to current work health and safety procedures. Any concerns deemed a high-risk scenario must be immediately attended to and resolved as efficiently as possible.

Relevant Personnel of Smiling People

Relevant personnel are considered workers, volunteers, participants and their family members or advocates that are receiving care and services of Smiling People. All of the listed above individuals must have thoroughly read, understood and acknowledged this policy and procedure. It is the expectation of all personnel to comply with and implement work health and safety obligations and standards. Particularly, the participants will comply with all the Work Health and Safety legislation and guidelines implemented by Smiling People, which involves

supplying all the relevant personal information and enabling the required risk assessment to be carried out.

Delivering Care and Services on a Participant's Premises

Participants who are receiving NDIS Supports of Smiling People must have completed, reviewed and submitted their Risk Assessment. Smiling People's Risk Management Policy and Procedure.

Management of Work Health and Safety

Smiling People will assign multiple authorised personnel who will act as a management committee to ensure all work health and safety aspects of Smiling People are being implemented, adhered to and maintained. They will be responsible for ensuring communication with all workers regarding relevant work health and safety information. They will converse with the workers in Smiling People who are deemed to be most affected by potential health and safety concerns. This is to ensure that all hazards and risks are identified and assessed. Required measures and actions will be established to ensure the health, safety and well-being of all personnel.

Smiling People's Work Health and Safety Committee

The CEO/ Director of Smiling People will establish a Work Health and Safety Committee that will incorporate selected workers. The principal for developing this committee is to ensure that Smiling People provides an adequate working environment that is free from potential risks and hazards to a person. The members of this committee will be actively engaged in all work health and safety concerns of both workers and participants.

Smiling People's Work Health and Safety Committee will be required to conduct monthly meetings. In these meetings, all work health and safety concerns will be addressed and reviewed. An assessment of the previous meeting will be conducted to highlight the progress. It is also to ensure that all the necessary actions are conducted and nothing is missed. It is also essential that the committee is to conduct all risk assessments that are required and ensure that the risk register correctly reflects all of the actions that occurred. If any amendments have been made to any work health and safety regulations and legislation, then this must be addressed. If there have been newfound concerns regarding hygiene and safety that have been submitted in the duration of the previous meeting, then this must be addressed and discussed.

Health and Safety Representatives

Workers have the right to ask Smiling People to provide the company with a Health and Safety Representative (HSR). If this is asked by more than one worker, Smiling People will then implement it. Smiling People is required to provide the HSR with the relevant training needed for the work environment and inform the State Regulator. All workers are still expected to comply with health and safety regulations, regardless of an HSR.

Work-Related Stress

Smiling People is required to be aware of stress in the workplace and take precautions to limit workers' stress. Areas that may cause a worker's stress include excessive amounts of work, exposure to negative incidents, emotional attachment to participants, poor management assistance and not enough information about their role. The Owner/CEO/Director will conduct risk assessments to identify stress in the workplace; they will consider workers' commitment, participant feedback, motivation in the workplace, worker absences and prior assessments.

Work-related stress refers to a worker's reaction to the workplace and the tasks expected of them. This can be physical, mental, or emotional and may cause a decrease in worker motivation.

Issue Resolution

When an issue or incident occurs, Smiling People workers have the right to report it to either management or the Owner/CEO/Director. They will then have a discussion to resolve the situation; they may consider the following or more:

- Exactly who is affected
- The seriousness of the incident
- What can be done to resolve the issue?
- Who is responsible for the implementation of the solutions?

If a solution is agreed upon, it needs to be documented in Smiling People's Incident Management Policy and Procedure. It is the Owner/CEO/Director's responsibility to communicate the resolution to those involved. If no solution is agreed upon or the agreed solution has not worked, anyone involved in the incident can request an independent investigation.

Personal Protective Equipment (PPE)

When working with potential hazards, Smiling People is required to ensure all workers are equipped with the necessary PPE.

Electrical Safety

A certified electrician must do any electrical work, including the changing of light bulbs. It is the responsibility of the Owner/CEO/Director to employ an electrician.

A qualified electrician must be employed to complete an inspection, test, and tag electrical equipment in the workplace in accordance with AS / NZS 3760:2010 of all equipment being operated. Equipment not in use cannot be used until an electrician has inspected, tested, and tagged the equipment. All equipment bought second-hand is required to be tested and tagged prior to use on Smiling People premises.

Supporting Documents

Documents relevant to this policy and procedure include:

- Risk Management - Risk Management Plan
- Incident Management Policy and Procedure
- Incident Management - Incident Investigation Form
- Incident Management - Incident Report
- Governance - Continuous Improvement Plan

Policy Review

Smiling People change 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, carers and workers every year.

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

14. Emergency Planning Policy and Procedure

Purpose and Scope

The purpose of this policy and procedure is to ensure the safety of staff, participants and others during emergencies and other service interruptions.

It applies to all staff and meets relevant legislation and regulations, National Disability Insurance Scheme Act 2013, National Disability Insurance Scheme Rules 2018, and National Disability Insurance Scheme Guidelines 2018.

Policy

Smiling People' plans for emergencies in order to protect the safety and well-being of participants and staff and to ensure participants have access to support without interruption.

Smiling People' will ensure essential services are maintained as far as is practicable and that full-service delivery is recommenced as soon as possible after an emergency.

Procedures

Emergency Planning

Smiling People' must take an 'all hazards' approach when preparing for, responding to and recovering from emergencies. This includes planning for a range of possible emergencies such as fire, bushfire, flood, relocation, evacuation and prolonged service interruption.

The Director will prepare, test and annually review an Emergency Plan for Smiling People', in consultation with all relevant staff and participants.

The Emergency Plan, or a summary of key elements of the plan, must be readily accessible by staff and on display in Smiling People premises

The Emergency Plan must include the following:

- How serious accidents, fire, flood, and other natural disasters will be responded to, as well as how incidents relating to hazardous chemicals and clinical waste will be managed (only relevant if the business deals with hazardous chemicals and/or clinical waste);
- contact details for key staff who have specific roles or responsibilities under the plan, for example, fire wardens and first aid officers;
- contact details for local emergency services (e.g., police, fire brigade and poison information centre) and medical assistance;
- a description of how people will be alerted to an emergency or possible emergency, for example, sirens or alarms (at Smiling People office) and by phoning affected participants or their supporters;
- a map of the Smiling People workplace, illustrating the location of fire protection equipment, emergency exits and assembly points;
- evacuation procedures, including arrangements for assisting any people with hearing, vision or mobility impairment;
- testing of emergency procedures, including the frequency of testing; and
- information, training and instruction to relevant staff on implementing the emergency procedures.

The Emergency Plan must be tailored to the business' location and circumstances and be based on consultation with local health and emergency services.

In the event of an emergency, Smiling People Emergency Plan must be implemented. Directions from emergency services workers must also be complied with.

The Director will review Smiling People Emergency Plan at least annually and:

- when there are changes to the workplace, such as re-location or refurbishments;
- when there are changes in the number or composition of staff, including an increase in the use of temporary contractors;
- when new activities have been introduced; and
- after the plan has been tested.

Smiling People' will communicate any changes to the plan as a result of reviews as soon as practicable to all affected staff and stakeholders.

Emergency Evacuation Plans

The Director must also prepare and regularly review Emergency Evacuation Plans for how people should evacuate Smiling People premises, including where they should assemble if there is an emergency. Reviews should take into account the choices, safety, rights and

feedback of participants whilst also considering the risks. Where there are changes to Emergency Evacuation Plans, these must be promptly communicated to staff and other stakeholders who access the premises.

Emergency Evacuation Plans must be displayed prominently in Smiling People premises. Each Plan must clearly indicate its current location, where the exits are and where the assembly area is. This information must also be included in staff inductions and participant intakes.

Emergency and evacuation procedures must be practised with all staff at least annually. Smiling People' will utilise different scenarios as part of the drills, e.g., fire, flood, bomb threat, and mass illness. A record of who attended the exercise, who conducted the exercise and the date it was conducted will be kept with organisational records.

Operational Readiness

The Director must ensure Smiling People' is prepared to respond rapidly in an emergency. This includes:

- having an Emergency Plan in place;
- ensuring the Emergency Plan is tested and linked to broader community emergency frameworks;
- actively engaging with local emergency service agencies and local government about how to respond to different emergencies;
- regularly testing emergency management and evacuation procedures;
- being prepared to make informed decisions about staff and participant safety and whether to cease services, relocate staff or participants, or direct staff and participants to shelter indoors;
- considering how support for participants can be continued if services need to be altered or ceased in an emergency;
- planning how to respond if critical infrastructure (e.g., Client Management System) fails during an emergency, such as power failures;
- ensuring staff are aware of their roles and responsibilities in the event of an emergency;
- ensuring all relevant contact details (such as staff, participants, next of kin, emergency services, and relevant government agencies) are up to date and available; and
- training staff to implement emergency procedures, ensuring they are equipped to address individual participant needs

Staff must:

- ensure all participant information, including contact details for the participant and next of kin, are up to date and easily accessible;
- consider participants' needs in a range of possible emergency events;
- communicate the Emergency Plan to relevant stakeholders, for example, participants, family members and related service providers;
- as part of support planning, ensure alternative plans for participants exist if service delivery is interrupted;

- support participants living independently to develop their own personal emergency plans; and
- notify participants and their next of kin, where relevant, of all relocations and service cessations related to emergencies

Obtaining Emergency Information

In the event of an emergency situation, the Director will obtain information about current and forecast conditions from radio, television, the internet and its local networks.

Fire Safety

The Director must ensure that fire equipment is installed, suitable for risks specific to the Smiling People workplace and be readily accessible in accordance with the relevant Australian Standards. Fire extinguishers must be placed away from heat sources and regularly maintained, with at least 1 meter of clearance to access the extinguisher.

Signage within Smiling People premises must assist people in finding fire equipment quickly and identify what type of fire it can be used on.

The Director must ensure fire equipment is regularly tested by Smiling People local fire authority or fire equipment supplier in accordance with Internal Review and External Audit Schedule [or equivalent].

Emergency exits must be kept clear at all times. [The next sentence is only relevant for dedicated office/commercial premises with Exit Doors (as opposed to home offices).] Emergency exits must be kept unlocked, and all exit signs must be maintained and kept illuminated.

Code Red Fire

A Code Red fire danger rating forecasts the worst conditions for bushfires. A Code Red day may pose a significant risk to Smiling People participants, particularly those in high bushfire risk areas and extreme areas.

Staff must comply with directed actions where services are being delivered in extreme-risk areas. Directed actions involving the relocation of participants must be completed before the Code Red day begins, although some services and participants may be exempt and may relocate early on a Code Red day.

If a home or other service location is not considered to be in an extreme risk area, it is still necessary to assess whether a facility or property is exposed to high bushfire risk. This should be based on the following:

- Local knowledge and the advice of fire services or others with relevant expertise;
- bushfire risk assessments using a combination of factors such as vegetation type, distance from vegetation and slope; and
- other bushfire risk tools such as the bushfire management overlay or bushfire-prone areas.

- Where the service or a participant is the subject of a Directed Action, Smiling People' will implement the relevant bushfire leaving early plan or relocation plan when a Code Red is declared for the applicable weather district.

Smiling People' will notify the Department of Health and Human Services of all relocations or cessations:

- once completed (whether in accordance with an emergency plan or otherwise) – reporting this no later than 9 am on the Code Red day, and
- once returned to normal arrangements – reporting this no later than five days after the Code Red day

Power Failure

Power failures can be common and unexpected, so the Emergency Plan should include a plan to ensure support can continue to be provided during them. Strategies include:

- having access to a phone, such as a charged mobile phone or landline that doesn't rely on electricity to operate;
- having access to alternate lighting, such as a torch or a battery-operated light;
- having access to a battery-powered radio;
- having access to fresh water.

Extreme Weather

The Emergency Plan should also plan for extreme weather (such as extreme heat or cold) that is likely to occur where Smiling People' supports are delivered. The plan should help staff identify which participants are most at risk and the support they may require.

Organisational Resilience

In addition to planning for the safety and wellbeing of staff and participants in an emergency, Smiling People emergency planning is also based on strengthening its organisational resilience – or building the business' capacity to continue providing necessary services during emergencies.

To support this, Smiling People' undertakes organisational risk assessments related to business continuity and disaster management and recovery. It also develops specific Business Continuity Plans to complement its emergency planning activities. See the Risk Management Policy and Procedure for more detail.

Reporting

Incidents relating to emergencies and service interruptions should be reported in accordance with Smiling People Incident Management policies and procedures.

Policy Review

Smiling People may change 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, carers and workers every year.

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

15. Incident Management Policy and Procedure

Purpose and Scope

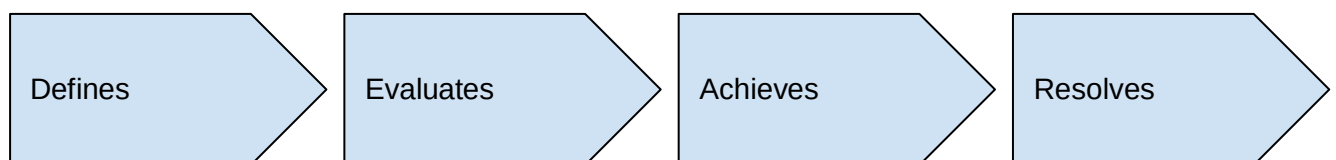
This policy and procedure are specific to the management of participant incidents. It aims to formulate a holistic and structured method when approaching and managing incidents. This policy relates to all participants, inclusive of disabled individuals.

This extends to all workers and participants and meets relevant laws, regulations, and standards.

Policy

This policy and procedure should be used in conjunction with the Feedback, Compliments and Complaints. Doing this provides Smiling People with the ability to be aware of any issues that could potentially cause harm to participants. Smiling People ensures that all workers are ethical and guarantee a safe and secure environment for participants. If an incident has occurred, Smiling People will provide the participant with any support necessary. Smiling People will ensure they appreciate and utilise the role of families' and communities' perceptions regarding this policy and procedure. Children/youth will be prioritised, and Smiling People guarantees their safety.

Incident Management System



Procedure

In compliance with the Human Resource Policy and Procedure, all Smiling People workers will partake in specialised training surrounding incident management procedures that have been developed and implemented by Smiling People. Smiling People workers will have an annual performance review; this will involve a discussion with the Owner/CEO/Director about their work, performance, work ethic and how they have been in general. An area that will also

be discussed is ensuring workers are using best practices and are continuously improving, always aiming to provide a safe environment for participants and complying with this policy and procedure.

Smiling People will ensure to address this policy and procedure in conjunction with the Continuous Improvement Policy and Procedure at every management meeting to ensure the safety of participants. Smiling People must ensure that all participants, family members and other stakeholders understand this policy and procedure. This can be done through various avenues, such as the participant charter or handbook. When providing stakeholders with this information, ensure they can understand it

Incident Identification and Response

1- Evaluate the situation:

- Ensure participants are safe.

2- Contact emergency services:

- If medical services are required, call 000 and request an ambulance.
- If force or legal action is needed, call 000 and request the police.
- If there is a fire, call 000 and request the firefighters.

3- Do not allow anyone to touch the scene:

- Sexual incidents require the individual not to shower until evidence has been collected.

4- Contact a medical practitioner:

- If emergency services are not required, but medical attention is, contact the participant's GP or another health practitioner, e.g., a psychologist or physiotherapist.

5- Separate/remove the perpetrator:

- The individual inflicting harm should be removed.

6- Contact next of kin:

- If the participant is under 18.
- If over 18 but in need of an advocate.
- If a participant has a legal guardian.
- Inform them of the incident.
- If the next of kin is the abuser, correct measures must be taken with the police.

7- Call any other relevant services:

- Victim support (counselling, legal aid etc.)

8- Support participant:

- Ongoing and appropriate support.

Incident Documentation and Accurate Reporting

It is crucial for any worker of Smiling People who observes an incident to report and document it as quickly as possible, passing it off to the Owner/CEO/Director. The Owner/CEO/Director is legally responsible for ensuring the incident is reported to the police if necessary. The incident will be documented in Smiling People's Incident Register.

The incident register must contain the following:

- Whether the incident is reported
- Time, date and place
- Details and results of the investigation
- Incident description
- Consultation with participants
- Evaluation Details
- Contact all involved parties
- Actions Taken

Privacy and Confidentiality

Smiling People is required to record incident data in an Incident Register. This data is guaranteed to be safely maintained and kept for at least seven years in compliance with the Records and Information Management Policy and Procedure. All data collected must follow Smiling People's Privacy and Confidentiality Policy and Procedure. All data is confidential, and only necessary information is revealed when required by law or if there is no threat to an individual.

Incidents Reporting

It is the responsibility of Smiling People's Owner/CEO/Director to ensure that incidents are reported to the NDIS Commissioner. Some incidents require reporting within 24 hours; they include:

- Abuse/Negligence
- Severe Injury
- Sexual Misconduct
- Sexual/Physical Abuse
- Death

More information can be found online at reportableincidents@ndiscommission.gov.au

The time, date and place of the incident, contact details of all those involved and extra information requested by the NDIS, if not applicable within 24 hours, can be supplied to the NDIS Commissioner within 5 business days by using the Reportable Incident-5 Day Notification Form.

Information provided to the NDIS will include the following:

- Description of incident
- Contact details of the person making statements
- Description of damage
- Time, Date and Place
- Contact details of the organisation
- Immediate action taken
- Authorities informed
- Contact details of involved parties

The procedure for reporting incidents to the NDIS commission is as follows:

STEP 1. Notify the NDIS Commission

Submit an Immediate Notification Form via the NDIS Commission Portal within 24 hours of key personnel becoming aware of a reportable incident or allegation.

The Immediate Notification Form includes a number of sections and questions concerning details of the reportable incident, actions taken in response to the incident and the individuals involved in the incident.

An exception to this rule is notifying the NDIS Commission of the use of a restrictive practice that is unauthorised or not in accordance with a behaviour support plan. In these instances, the provider must notify the NDIS Commission within five business days of being made aware of the incident. If, however, the incident has resulted in harm to a person with a disability, it must be reported within 24 hours.

To notify the NDIS Commission of an incident, the authorised 'Notifier' or 'Approver' needs to log in to the NDIS Commission Portal and select the 'My Reportable Incidents' tile at the top of the screen. From here, you will be able to complete an Immediate Notification Form.

The NDIS Commission suggests the 'Authorised Reportable Incidents Approver' is the person you want to have the authority to review and be responsible for submission to the NDIS Commission. This could be the person specified in your incident management system who is responsible for reporting incidents to the NDIS Commission. The authorised 'Approver' will have the ability to submit new Reportable Incidents and view previous Reportable Incidents submitted by their organisation.

The NDIS Commission suggests the 'Authorised Reportable Incidents Notifier' is a supporting team member who can assist the 'Authorised Reportable Incidents Approver' in collating and reporting the required information. The authorised 'Notifier' will have the ability to create new Reportable Incident notifications to be saved as a draft for review and submission by the authorised 'Approver'. The authorised 'Notifier' will need to inform the authorised 'Approver' that the Incident is awaiting their review and submission. The 'Notifier' can also view past Reportable Incidents they have created through the page.

STEP 2: Submit a 5-Day Form

The 5-Day form must be submitted via the 'My Reportable Incidents' portal within five business days of key personnel becoming aware of a reportable Incident. This provides additional information and actions taken by the NDIS registered provider.

The five-day form is also to be used for incidents involving the unauthorised use of a restrictive practice other than those resulting in immediate harm to a person with a disability.

STEP 3. Submit a final report, if required

You may be required to provide a final report. When this is the case, the NDIS Commission will notify you via email and tell you the date this is due.

If you are required to submit a final report, you will have access to the final report fields on the NDIS Commission Portal for that incident.

There are key considerations for registered NDIS providers. In all cases, providers must assess the impact on the NDIS participant.

- Whether the incident could have been prevented.
- How the incident was managed and resolved.
- What, if any, changes will prevent further similar events from occurring.
- Whether other persons or governing bodies need to be notified.

Where appropriate, the NDIS Commission may require a provider to take remedial measures. The NDIS Commission may work with the provider to implement these measures and monitor progress. Remedial measures may include, but are not limited to, additional staff training and development or improved services to support NDIS participants and updating policies and procedures.

On occasion, providers may experience difficulty accessing, using or submitting via the NDIS Commission portal 'My Reportable Incidents' page. This may occur when:

- The registered NDIS provider does not have access to PRODA
- The registered NDIS provider does not have access to the NDIS Commission Portal
- There is a technical IT issue the user cannot resolve with the quick reference guides or with the available support, and it is outside of business hours
- The NDIS commission portal is unavailable due to system updates and maintenance
- In these circumstances, providers must take all reasonable steps to resolve the issues within the required timeframe by calling the NDIS Commission for support.

Outside of business hours and if all reasonable steps have been taken, a provider should advise the NDIS Commission of these issues as soon as possible via email to reportableincidents@ndiscommission.gov.au with an email that includes:

- The steps are taken to complete the authorised notification form and the presenting issue
- The name of the impacted person
- Describe the immediate response and step taken to ensure the impacted person was safe
- Brief description of the reportable incident

- Whether other authorities, such as the police, were notified

You will receive an automated response from the NDIS Commission acknowledging receipt. As soon as practical, you will need to progress completion of the 24-hour form. If you continue having difficulties, please refer to the NDIS Commission website for detailed guidance or contact the Commission at 1800 035 544.

If the NDIS Commission portal or “My Reportable Incidents” page is unavailable for a period, the NDIS Commission Reportable Incidents team may:

- Provide an authorised form and request the information to be submitted via the reportableincidents@ndiscommission.gov.au address; or
- Take the 24-hour notification or further information over the phone

Incident Investigation

When conducting incident investigations, it is beneficial for the investigation that all those involved partake in the process; this includes providing them with any support or assistance needed to contribute. The investigation should prioritise the participant with a disability to ensure any wrongs are rectified and their needs met. The investigation manager should keep notifying and updating participants and their supporters with news about the investigation's progress. Investigations should be completed in a maximum of 28 days.

For both NDIS Commissioner-directed investigations and independently reported investigations, the Owner/CEO/Director is required to assign a worker or independent party to manage the investigation. This individual must then determine an action to investigate the incident within 72 hours of the incident being reported; they may request assistance from fellow workers. Owner/CEO/Director must ensure that Smiling People is managing incidents using procedural fairness, giving all information and any support needed to those involved. When managing a participant incident, the focus should only be on the direct incident.

Should the situation occur where an investigation report is required to be filled out, it must be completed by a manager of Smiling People, specifically, the Manager who is responsible for the management of the incident. It must be provided and submitted to the NDIS Commission directly. (reportableincidents@ndiscommission.gov.au), maximum of 60 days after the initial report.

Smiling People is required to notify the participant of any investigation progress within the first 7 days since it was reported, initially verbally and then documented in writing. Any discussion between Smiling People and the affected participant must be documented in writing.

Prior to the completion of an incident investigation, a review must be conducted; this benefits Smiling People by providing them with information on trends and information analysis to improve Smiling People's services and ensure the safety and well-being of all. The Incident Register will continue to be reviewed in management meetings. These reviews will take into consideration any feedback provided by workers or participants to improve Smiling People for future situations.

Investigation reports should include the following:

- Details of findings made
- Copies of all reports and assessments
- Name and position of individual conducting investigation
- When the investigation was done
- What information has been provided to the person affected
- Details of action taken after the investigation

Help, Assistance and Support

Smiling People is required to provide ongoing support for those affected by an incident (where the company/workers are at fault).

Arrangements to ensure their support include but are not limited to the following:

- Counselling
- A safe place for individuals
- Monitoring of affected individuals

In some cases, management may decide to complete a Quality of Support review; this will address areas such as the treatment of affected participants and their families, necessary adjustments, ongoing risk management, and the best form of support to seek justice for the affected individuals and/or their families. Furthermore, participants may complain about Smiling People's investigation outcomes or facilities, following the Feedback, Compliments and Complaints Policy and Procedure.

Abuse

Unfortunately, participants may come across a form of abuse, ranging from sexual abuse to verbal abuse. Smiling People workers must aim to be vigilant to become aware of any possible abuse of participants. Markers of potential abuse can be as obvious as a participant or worker reporting abuse they have experienced or absorbed. More subtle things to be aware of include noticing unexplained injuries or stress, behaviour changes or complaints of physical symptoms.

Ongoing Reporting/Documenting

If an incident has already been reported and new information arises, this should be communicated to the NDIS commissioner immediately by the Owner/CEO/Director of Smiling People.

What the NDIS Commissioner may do with incident reporting:

- Investigate incident
- Insist an internal investigation
- Refer to another service, e.g., child protection
- Insist Smiling People take action

- Request an expert be hired to investigate
- Any other action deemed necessary by NDIS Commissioner

Responding to Allegations of Abuse

Smiling People must ensure that any reporting of abuse is considered crucial and is reviewed immediately by management.

Consequences of abuse can be managed by reacting in the following ways:

- Listening critically to those affected
- Emphasising the fact they were right in informing someone
- Address all support needs
- With approval, inform other services involved with the participant
- Ensuring the safety and well-being of all
- Include family and advocates
- Discussing with them what can be done to make them feel safer
- Directing individuals to support services, e.g., counselling

Regarding incidents surrounding individuals from culturally diverse backgrounds, Smiling People should encourage the use of an interpreter to ensure clear understanding between all those involved. Moreover, if the participant belongs to a minority, further communication may need to be made with organisations for assistance. Some individuals are hesitant to speak with an interpreter as they do not want their community to hear what has been said. In this case, it is always necessary to respect the participant's choice regarding the gender and location of the interpreter; the participant may remain anonymous to the interpreter.

Police Department Dealings

Regarding reporting to the police, Smiling People should aim only to have the participant interviewed by the police to provide the details of the incident. Smiling People workers are required to ensure any allegations are reported to the police immediately. Workers should clarify with the police if the perpetrator was informed.

During the investigation, Smiling People workers may need to assist police, especially aiding with communication between the police and the victim.

Policy Review

Smiling People may change 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, carers and workers every year.

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

16. Infection Control Policy and Procedure

Purpose and Scope

The Infection Control Policy and Procedure are implemented throughout Smiling People to ensure all potential risks of disease and infections are eliminated from all relevant personnel and participants.

Smiling People will establish and utilise various protocols and measurements to minimise the possibility of infectious diseases circulating within Smiling People that may affect participants, workers and visitors.

Smiling People strives to provide an adequate facility in which all individuals are safe, healthy and content. The Infection Control Policy and Procedure should be read in concurrence with Smiling People's Occupational Health and Safety Policy and Procedure.

This extends to all workers and meets the relevant laws, regulations, and standards.

Policy

Smiling People acknowledges that establishing measurements to reduce any form of potential risks is significant. The Infection Control Policy specifies how Smiling People controls situations of infection and provides an understanding of the main aspects.

Droplet, airborne and bloodborne is significant ways of virus transmission and contamination. Transmission of infections may also occur using materials such as contaminated food, water, medicines and products or with appliances and equipment. That is why efficient infection control is crucial to delivering excellent assistance for participants and a safe working atmosphere for Smiling People's workers and visitors.

It is considered there are three principal components of infection. The first component is that infection control assists in the prevention of contagious organisms being transmitted and manages infections if they arise. The second component is an infectious virus. An infectious virus is a biological agent that can trigger its host's disease or illness. The final component of infection is an infectious disease. Infectious diseases are caused by pathogenic microorganisms, such as fungi, parasites and bacteria. How an infectious disease can be transmitted from one individual to another through touching and bodily fluid transmission.

Workers Responsibilities

Workers of Smiling People are to adhere, comply with and implement the standards and protocols of the Infection Control Policy and Procedure. They are also responsible for ensuring that participants are utilising disposable tissues where deemed necessary. They should ensure that all surfaces and areas are monitored and frequently attended to and cleaned.

Management Responsibilities

Management maintains accordance with the Infection Control Policy and Procedures, establishes and implements infection control services, and guarantees successful implementation and enforcement of the policy. Management will utilise Continuous Improvement Plan annually to review and assess the performance of Smiling People.

Owner/Director/CEO Responsibilities

It is the CEO/ Director's responsibility to implement the Infection Control policy and procedure and guarantee that all participants comply with the policy.

Procedure

Smiling People adopts the Infection Control Procedure to ensure that all elements of infection are eliminated within Smiling People.

All the correct protocols must be adhered to by all personnel. The health, safety and well-being of Smiling People's participants, workers and volunteers are a priority. It is significant if any worker of Smiling People becomes absent when suffering from sickness and disease.

Smiling People is also required to remain vigilant to any disease, as many diseases or infections are Notifiable diseases. Any found Notifiable diseases are required to be disclosed and mentioned to the Health Department.

As a precaution, any worker, Manager or volunteer of Smiling People with a notifiable disease shall not undertake work until their doctor advises them that it is safe to do so. If any staff/worker, members or Owner/CEO/Director have any infectious viruses/diseases (such as the flu or common cold) are required to remove themselves from the workplace until they have been examined and cleared by a doctor.

This means they are required to provide an electronic and hard copy of a medical/doctor's certificate to the Owner/CEO/Director before commencing employment.

Standard Provisions

Many various standard provisions should be adhered to regarding infection control. All of Smiling People's personnel must follow the standard provisions that are established to minimise any potential risk of infection or disease. It is significantly important that all workers utilise and implement the standard provisions in the event they come into contact with blood or body fluids. Workers must maintain the hygiene, sanitation and cleanliness of all surfaces and areas of Smiling People. This is to ensure that all areas that will be utilised by any individual are not at risk of infection or disease.

It is expected that the workers of Smiling People must wear Personal Protective Clothing and Equipment (PPE). PPE is equipment or clothing that will protect the user against health or safety risks at work. It can include items such as safety helmets, gloves, eye protection, gown

or apron, facemasks and enclosed footwear. It also includes respiratory protective equipment (RPE).

Where workers are conducting duties and tasks such as cleaning equipment and managing chemicals and foods that may have potentially become contaminated with body fluid, then PPE should be maintained. The form of PPE Disposable latex gloves should be utilised when performing the mentioned above tasks.

In the circumstance where a participant is displaying signs and symptoms of respiratory infection, it is significantly important that all personnel adhere to respiratory hygiene and cough etiquette. Various aspects are involved when handling situations of respiratory infections. The first measurement that should be taken is to ensure that all participants are utilising disposable tissue. It is important to ensure that the disposable tissue is utilised as single-use only and to be disposed of immediately after use. Allowing participants to only use a single disposable tissue will assist in the control of spreading respiratory infections. In the event a participant is unable to access a disposable tissue when needing to sneeze or cough; they must do so with their inner elbow. This will ensure that any airborne saliva or other body fluids have not contaminated the environment. As well as ensuring that tissues are utilised when sneezing and coughing, hand hygiene must be taught to participants as an additional method of infection control. Smiling People's workers are to create awareness and understanding to participants of these measures, which should be adhered to when controlling potential or present respiratory infections.

Where a participant is experiencing present or potential infectious disease, then Smiling People's workers must ensure they are complying with the correct and relevant standard provisions. It is important that they adhere to the standard provisions when they have come into contact with bodily substances, used equipment and supplies. Items such as bed linen and contaminated surfaces must be thoroughly sanitised and cleaned after every use. Workers of Smiling People are expected to maintain their hand hygiene frequently and must perform a 30-second hand wash. A 30-second hand wash must be conducted when a worker has come into contact with the following:

- a participant
- before and after eating
- after utilising the restroom
- using gloves of any kind

Participant-Centred Approaches & Good Practices

Smiling People promotes participant encouragement for participation in infection control. This is done by multiple steps, which include:

- Smiling People offers participants opportunities to recognise and discuss risks which allow participants to use feedback through the services feedback, compliments and complaint procedures.
- Smiling People will advise participants about the protocols for safeguarding their privacy and confidentiality

- Smiling People will inform participants about Smiling People's methods of infection control and advise participants to report their health or risk conditions where there is a possible source of infection.
- Smiling People will provide educational content using a range of flyers, posters and informative videos on the prevention and control of infections.
- Smiling People must consider participant feedback when implementing policies and services.

When conducting any routine surface cleaning of Smiling People, certain protocols are established. The first measure of routine surface cleaning is to ensure that surfaces are thoroughly cleaned and have disinfectant applied before and after they are used and when they are noticeably dirty. The flooring of Smiling People should be cleaned daily or as required with a vacuum cleaner/mop. It is essential that all leaks and spills should be immediately attended to and dealt with, and have been provided with the appropriate signage, to ensure there is no risk of slips, trips, or falls.

Smiling People acknowledges that other factors should be taken into consideration when controlling infections. Although physical transmission between people is deemed to be the primary way in which an individual may become affected by infection or disease, environmental surfaces contribute a minor role. It is significantly important that all surfaces and areas of Smiling People are thoroughly and constantly being attended to. Maintaining a clean and hygienic environment will support the minimisation of the spreading of infection or disease. When conducting the task of routine cleaning, it is recommended that warm water and washing detergent is utilised. Where a worker is required to conduct cleaning tasks on surfaces, then a disinfectant is to be used and must be in accordance with the manufacturer's instructions. Another measurement to reduce risks of infection throughout surfaces is to wash all mops and buckets with detergent. Once they have been cleaned, they must be thoroughly dried and stored away. It is encouraged that Smiling People establishes and implements a maintenance and cleaning schedule, to ensure all areas and surfaces are attended to and thoroughly cleaned.

Documentation

Like all incidents and occurrences that may arise concerning infection and infection control, it must be made aware to authorised personnel. Smiling People will be required to document and retain any incidents abiding with the Incident Management Policy and Procedure. All infections will be reported and recorded to authorised personnel, who will ensure all workers are made aware. This is to ensure that all workers, participants and other relevant personnel are taking the correct measurements when dealing with the situation and remain healthy and safe where possible.

Supporting Documents

Documents relevant to this policy and procedure include:

- Incident Management Policy and Procedure

Policy Review

Smiling People may change 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, carers and workers every year.

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

17. Child Wellbeing and Safety Policy and Procedure

Purpose and Scope

The Child Wellbeing and Safety Policy and Procedure are implemented throughout Smiling People to ensure the children and young people who are receiving care and services of Smiling People remain safe and healthy. Smiling People is committed to ensuring additional care to all children as they acknowledge they are also extremely vulnerable and are a priority of Smiling People. The Child Wellbeing and Safety Policy and Procedure entail the established protocols of Smiling People to maintain and ensure the safety and well-being of all participants, especially children and young people. These protocols will also include maintaining all children's rights and ensuring that they remain respected.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

It is Smiling People's duty of care to ensure the health, safety and well-being of all children and young people while receiving all care and services of Smiling People. Smiling People understands and acknowledges that children are equivalently as vulnerable as older participants. They require the same amount, if not greater, optimal care, support and services from Smiling People's workers. Smiling People strives to maintain a safe, comfortable, and adequate environment for all children under the age of eighteen. Young people must be content and experience a safe feeling.

As child abuse can pose a sensitive topic for some, it is an important factor that needs to be addressed. Smiling People will establish and maintain various procedures to assist in the minimisation and attempted elimination of child abuse. Potential risks that have been identified will be attended immediately.

Smiling People aims to establish a clear and strict zero-tolerance for child abuse policy. All personnel must understand that all allegations, suspicions and evidence will be treated extremely seriously, and severe consequences will occur. If for any reason Smiling People has been given a reason to believe that potential child abuse is occurring, it is the right and responsibility of Smiling People's CEO/ Director to contact relevant emergency services and organisations.

When workers establish an agreeance of Smiling People's legislation and standards when signing their employment contract, they accept the obligation of ensuring there is no child abuse with Smiling People's operations. It becomes their newfound duty of care and the right to ensure the protection and safety of all children and young people. Workers are expected to deliver care and service ethically towards the children and adhere to this policy and procedure.

The standards and regulations of this policy and procedure must be made clearly aware to all relevant personnel. It is the responsibility of Smiling People to ensure that all families, representatives and other relevant parties maintain and acknowledge this important aspect of Smiling People's operations. If there are families who require this information in a different language, then Smiling People must be prepared to organise an advocate to translate the information or ensure printed information is transferred to the correct language. The important aspect of this policy and procedure should be included in the Smiling People's Client Handbook and should be communicated during initial meetings.

It is the right of all children and young people to be actively involved in creating decisions, especially when it can impact their lives in both negative, positive, and everyday decision-making. Where a child or adolescent is not prepared or willing to engage in decision-making that affects them, then it is highly encouraged that they engage in the decision process.

It is important that all children and adolescents feel safe, comfortable, and inclusive in all activities, care and services. If a child participant has a disability, it is essential that they are receiving the same respect, optimal care and services and are not treated any differently from any other individual. Workers must ensure that the participation, cultural awareness and environment of all children and adolescents are acknowledged and encouraged. If a child or adolescent is of Torres Strait Islander nationality or has a unique background, then workers must ensure that all are treated fairly and not discriminated against. This also refers to any individual who is known to be same-sex orientated, intersex and transgender. For more information regarding inclusion and anti-bullying of individuals, please refer to Smiling People's Fairness, Prejudice and Workplace Harassment Policy and Procedure.

The Child Wellbeing and Safety Policy and Procedure identify the correct behaviour techniques and sets out the standards which should be implemented while caring for all children and adolescents. All workers and relevant personnel must comply with Smiling People's Workers Code of Conduct.

Procedure

The Child Wellbeing and Safety Procedure specifies the correct actions to which all workers must adhere when delivering care, support and services to children and adolescents. It is significantly important for Smiling People to implement these procedures to ensure the safety, well-being, and comfort of all children.

Training Regimes

Smiling People understands that there are multiple procedures and protocols that must be developed, established and implemented to ensure effective, safe and adequate operations of Smiling People. Smiling People strives to offer intense and strict training and education

programs concerning the care and supervision of children and adolescents. It is vital that all workers, personnel, and volunteers understand, acknowledge, and comply with the safety obligations of providing care and services to children. Smiling People is committed to providing a safe, adequate, and comfortable environment for all children. This is to ensure that all children and young people are content and do not feel uncomfortable while receiving services provided by Smiling People.

Smiling People educates workers on subsequent matters, recognising symptoms of damage or violence, reacting to complaints, recognising, evaluating, and mitigating child abuse threats, and identifying potential signs of child abuse.

Smiling People will offer ongoing education training and development for all workers to ensure all legislation updates are adhered to and are being compiled. Smiling People will establish safety precautions and support workers through the supervision of children. Where there are new workers, they must be routinely monitored in order to recognise whether they comprehend the dedication of Smiling People to child protection and acknowledge that everyone has an important role in safeguarding children and adolescents from violence and in ensuring that their conduct regarding children and adolescents is necessary or appropriate.

Smiling People will create an awareness regarding the significant importance of reporting all witness, suspected and surfaced child abuse allegations. All reports must be made aware to the Owner/CEO/Director, and reports will be stored in Smiling People's file. The affected individual's parents or legal representative should be contacted immediately after the event. There are various sources Smiling People will utilise in the event a child has suffered from any form of child abuse. The sources that Smiling People may utilise are state police services and the Department of Health and Human Services.

Compliance with Legislation

Smiling People must adhere to all regulations and standards when delivering care and services. Smiling People understands the importance of ensuring that all the relevant procedures are implemented and maintained. Smiling People maintains the integrity of all legal obligations in an especially important manner, such as the protection of children and adolescents from the opportunity for sexual abuse. Individuals in Smiling People may perform a crime if they are aware of a potential risk of sexual abuse of children and also have the authority and responsibilities to eliminate the danger but neglect to do so in a reckless manner.

Disclosing sexual abuse towards any child and adolescent is an obligation of the population in general. All personnel who have a reasonable belief that an individual has engaged in sexual offences against a child under 16 years are required by law to report that evidence to the police. The person who is establishing these allegations must report all evidence and beliefs to authorities. Failure to report these circumstances will result in serious consequences by both Smiling People and other authorised organisations.

Children and Adolescents

As people, we are required to make everyday decisions that will affect our lives in a both positive and negative ways. Smiling People acknowledges that the vulnerable may require

additional assistance when providing decisions that can impact their lives, health, and well-being. Smiling People is committed to providing optimal care, services, and guidance to all participants. Smiling People consistently pursues the perspectives of children and adolescents and promotes their engagement throughout the making decision process, particularly matters of health and their well-being. Evaluations will be periodically performed on the incentives for the engagement of children and adolescents and provide more guidance on decision-making methods.

When Smiling People conducts the recruitment process of hiring the most appropriate workers to deliver NDIS supports to participants, it is a vital part of the process to ensure all police check and records are completed thoroughly. In the event an individual has progressed to the interview section of the recruitment process, and a criminal record has been identified, then this should be made aware to Smiling People's CEO/ Director and to the individual applying for a position in Smiling People. The person who possesses a criminal record will then be given the opportunity to provide all the necessary information and evidence of the offence. This will then give authorised personnel who are interviewing to guide their decision-making and will offer sufficient information on deciding if the person is fit for the position. All individuals who are offered opportunities to attend an interview of Smiling People are expected to provide mandatory police checks, as well as to work with Children's Check.

As child well-being and safety is a significant important matter of Smiling People, frequent education and training programs will be provided to all workers and volunteers. These education and training programs will include the legislation and obligations of supervising and caring for children and adolescents. Smiling People's Child Wellbeing and Safety Policy and Procedure will be utilised and referenced when developing training programs. Smiling People will also ensure that procedures of mandatory reporting are covered throughout the training programs. Legislation regarding the Worker's Code of Conduct will also be a vital section of the education and training programs.

Management of Risks

It is the responsibility of Smiling People to ensure all potential risks and hazards remain managed, maintained, and eliminated where possible. As well as the expected Work Health and Safety risks that Smiling People may encounter, various protocols must be put in place regarding minimising the risk of child and adolescent abuse. Smiling People will ensure that these protocols are developed and established before delivering care and services to a child.

The procedures should entail the ways in which Smiling People strives to eliminate all potential risks of child abuse. Physical environments of Smiling People, which is utilised for the deliverance of care and services to children, will be assessed to ensure all potential risks are identified and actioned upon. An example of risks posed by the physical environment is if the doors are able to be locked from either the external or internal door. It is important that Smiling People maintain their Risk Management Plans and reflect the currently identified risks. Once these risks have been identified, it is the responsibility of Smiling People's Owner/CEO/Director to attend immediately and take action against the risks. This should be read in conjunction with Smiling People's Risk Management Policy and Procedure.

Privacy and Confidentiality

Privacy and confidentiality are an important part of Smiling People's operation and standards. Smiling People will ensure that all personal information relating to workers, volunteers, children, and participants is segregated from individuals other than themselves and authorised personnel. Smiling People will ensure that all personnel are made aware of the procedures in which their personal information is collected, stored, and maintained. The assigned authorised personnel of Smiling People will be the only body that is able to access personal files. Smiling People's Privacy and Confidentiality Policy and Procedure should be read in conjunction with this policy and procedure.

Smiling People will have protocols and measures in place to guarantee the security of all private information of all children, adolescents, and participants. Everybody possesses the right to be informed how this material is collected, what is going to happen with it, and who has direct connections to it under the Privacy and Confidentiality Policy and Procedure of Smiling People. Smiling People must have systems in place to seek permission from parents and children, and adolescents for applicable services and collecting of personal data.

Positive and Negative Feedback

In the event an allegation of abuse towards a child has suffered during the deliverance of care and services by Smiling People, these accusations must be immediately attended to. Smiling People will establish and implement various measurements which should be complied with when receiving any allegation, complaints or concerns about child abuse within Smiling People's operations. Smiling People will ensure that all workers are trained and competent on how to deal with potential accusations and apprehensions of child abuse appropriately. Smiling People will also provide information to all children, adolescents and their families on the correct protocols when reporting or witnessing abuse to children. They will have an understanding of the actions required to be taken when observing inappropriate behaviour of one individual to a child or have witnessed abuse.

If for any reason, a person has been given thought to believe that an incident regarding a child has surfaced within Smiling People, then this must be reported immediately by the person making the allegation. Various factors may contribute to individual decision-making when submitting a child abuse claim.

The first factor that may contribute to these allegations is that the child themselves has made vocal statements regarding receiving child abuse. Another factor may be that rumoured abuse is circulating through Smiling People and has not been made aware of two authorised personnel at that time. If a child displays concerning or unusual behaviour that is out of their typical characteristics or exhibits signs of potential child abuse, this could be an additional factor to initiate an investigation. If there have been claims made by another individual who is unwilling to report or cause possible confrontation, then the person who has been made aware now carries the responsibility of reporting the abuse allegations. If a person is not prepared to report a child abuser, then it becomes their responsibility and duty of care to report to another individual. It is essential that all alleged claims are reported.

Supporting Documents

Documents relevant to this policy and procedure include:

- Feedback, Compliments and Complaints Policy and Procedure
- Fairness, Prejudice and Workplace Harassment Policy and Procedure
- Participant Incident Management Policy and Procedure
- Human Resources Policy and Procedure
- Privacy and Confidentiality Policy and Procedure
- Workers Code of Conduct Policy and Procedure
- Record and Information Management Policy and Procedure
- Risk Management Policy and Procedure

Smiling People can occasionally adjust these policies and procedures to enhance the efficiency of its operation. Typically speaking, this entire policy should be checked every year in conjunction with participants who use the service, their families, caregivers and workers.

Policy Review

Smiling People may change 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.

18. Transporting Participants' Policy and Procedure

Purpose and Scope

The Transporting Participant's Policy and Procedure is maintained and implemented throughout Smiling People to ensure the safety of all participants when being transferred. Smiling People will provide adequate forms of transportation for all participants that require transportation needs. All individuals' requirements will be managed efficiently and effectively to ensure the safety and comfort of all participants.

This extends to all employees and meets relevant laws, regulations, and standards.

Policy

Smiling People recognises the importance of all participants' needs and requirements. It is the responsibility of Smiling People to organise all methods of transportation for participants that are in accordance with one's comfort, safety and any risks that may arise to Smiling People's volunteers, personnel and subcontractors.

Worker Responsibilities –

- Advising Smiling People of any transportation needs an individual may require.
- Safely transport participants if required.

Procedure

The Transportation and Discharge Policy and Procedure outline the organisation that Smiling People is required to create in order to transfer and discharge all participants safely.

Transportation or Discharge of a Participant

All vehicles utilised for the transportation of participants must be appropriate and safe. A participant may use their own vehicle or one provided by Smiling People. All vehicles that are utilised must possess the following qualities:

- Registered and roadworthy vehicle.
- Must have legitimate insurance.
- Must remain clean and safe, free from any obstructions.

All personnel who are carrying out the responsibility of transferring participants must obtain a valid and legitimate driver's license in accordance with the vehicle type.

It is essential that Smiling People maintain all required information in relation to all the vehicles that are being utilised to transfer and commute participants to different locations. The designated driver's license must contain a renewal date to create awareness to Smiling People of the duration period a driver can drive. It must also contain the vehicle's registration expiry date, along with the expiry date of their insurance. All vehicles that are being utilised to transport participants must always contain a first aid kit.

The Health Care Manager will be responsible for the following:

- Maintaining all documents relating to referral forms required for and by alternative service providers. They are responsible for submitting all emails, scans and faxes and storing them in the Participant File. The Participant Files shall be placed in the archive.
- Discussing and communicating participants' potential referrals and obtaining written and verbal consent.
- Notifying and communicating to all participant's health specialists of their progress notes.

Transportation via Motor Vehicles

All vehicles that are utilised to transfer participants from one location or another need to be frequently monitored, checked, and cleaned. There are many different requirements that enable a motor vehicle to be adequate and appropriate. Below outlines the factors that are considered appropriate utilisation of motor vehicles:

- Ensure all seat belts are in working order and maintain the restraint of participants.

- Ensure all doors are operating correctly, and ensure they remain closed throughout the duration of the travel.
- Guarantee that no individual is smoking on the bus.
- All vehicles must contain and be equipped with first aid kits.

If there is a trip plan that is out of the ordinary travel care plan, consent must be made by the HC Manager prior to leaving Smiling People.

It is important that if an emergency, incident, or accident of any kind occurs, emergency services can be contacted.

Transportation via Bus

It is the duty of the HC Manager and volunteers/key personnel to maintain awareness of all participants travelling.

All key personnel/volunteers must remain interactive and participate in all activities. It is also important that the HC Manager thoroughly plan all trips accordingly. All necessary items must be taken on the bus; this includes all required medication, mobile phones, first aid kits and a reliable map directory.

HC Manager is expected to ensure that the seating of participants on the bus is in accordance with their requirements. This should ensure that the safety and comfort of the individual are considered and actioned. They are also responsible for ensuring all participants' emergency contacts and information are taken on the bus in the event an emergency is to occur. They will also maintain a list of all participants' names and ensure all are accounted for once entering and exiting the bus.

Supporting Documents

Relevant documents relating to this Policy and Procedure:

- Participant - Referral Form
- Participant File
- Privacy and Confidentiality Policy and Procedure

Policy Review

Smiling People may change 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.

19. Vehicle Safety Policy and Procedure

Purpose and Scope

Smiling People utilises the Vehicle Safety and Policy and Procedure, which ensures all persons included in transportation are kept safe. It is vigilant that all recruits apply relevant laws, regulations, and standards to be compliant with the relevant information provided.

It is important to ensure all workers are meeting relevant legislation and regulations. It must be in conjunction with Smiling People's Work Health and Safety Policy and Procedure. All the relevance of the current Policy and Procedure entails adequate information to help engage in step-by-step requirements towards the health and safety risks applicable to the use of vehicles. The information provided will include relevant material to continuously enable safety measures for both workers and participants during services being provided to participants of Smiling People. This Policy and Procedure is in unity with the current legislative needs, the Work Health as well as Safety Policy and Procedures.

Policy

All relevant information mentioned below must be met with relevant laws, legislation, and standards. All staff and volunteers must have a valid Australian driver's license and are required to use a motor vehicle to complete assigned work at Smiling People. Management, workers, participants, and visitors who are required to use a motor vehicle must comply with health and safety at Smiling People.

When an employee is providing service that requires the use of a motor vehicle, it is important to ensure that the Risk Management procedure values are in process.

Management is required to ensure that first aid, as well as location-appropriate communication, is present while travelling to both remote and long distant locations. It is compulsory to ensure trips made in any circumstance provide the following:

- Driver fatigue management strategies.
- Communication plan in place.

Procedures

Owner/CEO/Directors must provide comprehensive insurance policy and roadside assistance to all motor vehicles provided by Smiling People. Staff who are assigned to roles that include operating motor vehicles must have a valid driver's license with the accordance of being reviewed each year to comply with Smiling People Human Resources Policy and Procedure.

The Owner/CEO/Director must ensure all vehicles accommodate emergency supplies and amenities, which will include first aid kits, torches, emergency contact numbers and reflective jackets and cones.

Owner/CEO/Directors must ensure all motor vehicles prior to them being operated have suitability in accordance with what the role may entail. A vehicle history check must be kept

on file to ensure Smiling People is aware of any type of incidents that may have occurred involving a motor vehicle. Enable a maintenance service for the motor vehicle to acknowledge what type it may fall under (this would include if it's privately owned or leased). This will allow Smiling People to evaluate vehicle protection and roadworthiness. Evaluate the car and driving ability of staff (a driver's history report can be asked for an accurate document to keep on file). Staff must acknowledge hazard and risk management strategies while operating motor vehicles owned by Smiling People.

The suitability of vehicles and guidelines will be provided by the company. See Smiling People's Incident Management Policy and Procedure.

The Owner/CEO/Directors must ensure that all staff who are operating their own motor vehicle for business purposes have current registration, maintain service as required and have insurance. If an accident occurs, there is an incident with the motor vehicles provided or/and there is hesitation from the staff member who is operating the motor vehicle; the Owner/CEO/Director will raise the issues privately and conclude in termination or warning to the staff member.

If an accident occurs, the staff must notify management and emergency services. Staff must notify management if there is a high risk of vehicle stoppage. This will include breakdowns, accidents as well as bogging with compliance with the Incident Management Policy and Procedure of Smiling People.

According to what the circumstance is, the termination will be made. Staff under no circumstance can be unlicensed, give untruthful information or be under the influence of illegal substances or alcohol. Staff must comply with road rules at all times. If the role entails consistent driving, it is crucial that staff must ensure they are taking regular breaks or at least two hours, as necessary. Owner/CEO/Directors must request a criminal history check prior to hiring staff and engaging in operating motor vehicles. Staff must ensure all participants are dedicated to being secure and safe while in a motor vehicle at all times; this includes participants to be seated on either side but behind the staff member whilst driving. Lastly, all safety inspections have been completed before operating a motor vehicle.

Speed

Staff are to comply with the following:

- Road rules: Speed limits in school zones, weather conditions, road works and driving experience. Under no circumstance should staff exceed the speed limit, especially if a participant is sharing the same motor vehicle.
- Fines: If an infringement has been issued whilst driving, the staff must appoint themselves and make relevant payments, inclusive of any demerits point that may be lost due to their infringement.

Safety

Safety can save lives. Below are the mandatory to be followed:

Seat Belts

Seat belts must be worn at all times from staff to participants. If participants have a medical condition that they cannot comply with the law to wear a seat belt for their safety, they must have a certificate from their doctor indicating the reasons why. Staff are required to have a copy of the documentation provided in case of any stopovers by police.

Seatbelts must be in immaculate condition for the safety of staff and participants. If there are any issues concerning safety due to wear and tear of seatbelts, the Owner/CEO/Director must be informed and not allow motor vehicles to operate until fixed. The motor vehicle must be replaced with a temporary car until the issue is rectified.

Mobile Phones

Mobile phones will not be available while driving. This includes when the motor vehicle is stationary in the park but running as well. Motor vehicle engines must be completely turned off and parked if needed. Under no circumstance is the mobile phone to be used whilst driving with or without a participant present.

Motor Vehicle Safety Check

The safety of the participants must always be a priority. To ensure the safety of participants, all motor vehicles must ensure that levels of fluid, brakes, transmission, power steering, windscreen washer fluid and radiator engine oil are checked. All windows and mirrors must be cleaned and adjustable for staff when necessary.

Services must be completed when due at all times. This will include tyres, wiper blades, and external lights being checked. Avoiding wear and tear at each service is required.

Incidents

All incidents in such forms must be reported with Smiling People's Incident Management Policy and Procedures.

Participant Transport

Participants' care assessment plan should be considered as well as all staff must complete a risk assessment to ensure their driving ability is not questionable. Some participants will need different measures taken to ensure that they are safe and that staff are avoiding any injuries that may affect them during their ride.

Supporting Documents

Documents relevant to this policy and procedure include:

- Incident Management Policy and Procedure
- Work Health and Safety Policy and Procedure
- Risk Management - Risk Management Plan

Policy Review

Smiling People may change 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, carers and workers every year.

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

20. Food Storage and Preparation Policy and Procedure

Purpose and Scope

This policy and procedure will relate to all workers and follows relevant legislation, regulations, and standards. It must be reviewed along with the Work Health and Safety Policy. This policy and procedure intend to guarantee that all foods produced and served at Smiling People are prepared and processed safely and hygienically that must comply with a high standard of occupational health and safety as determined by the relevant legislation. Procedures will ensure that all food is prepared in such a way that it will not become hazardous or unsuitable for consumption.

This extends to all workers and meets relevant laws, regulations, and standards.

Policy

It is the responsibility of the Smiling People within operational hours to guarantee that all persons possess the necessary expertise regarding food safety. Matters regarding storing, supplying and food processing are mutual obligations of interested parties, workers and participants and must be held with strong expectations.

All matters regarding food management, processing and the appropriate guidelines of safe hygiene standards will be the responsibility of Smiling People. Excellent sanitation and quality safety requirements in regard to food safety are enforced throughout Smiling People's services whilst ensuring compliance with all relevant legislation and guidelines.

Procedures

Workers must be acquainted with the Australia New Zealand Food Standards Code and Safe Food Australia- A Guide to the Food Safety Standards. This policy and procedure will control all aspects of food processing and handling and measures to control food-related sickness/contamination; workers must adhere to all policies and procedures.

Workers witnessed not complying with food processing, and management hygiene requirements are to account for the event to the Owner/CEO/Director at once so the matter can be resolved. The Owner/CEO/Director must ensure that hygiene obligations are enforced; this may include assigning workers to other tasks to uphold food safety requirements.

Prior to commencing work, workers are expected to present themselves in a neat and tidy manner; this includes multiple hygiene actions, such as ensuring long hair (exceeding their shoulders) is tied up. Sections, where food is kept, processed or managed will be the responsibility of the employee to ensure that no drinks, food or smoking is permitted with these items. Workers will guarantee that during food management, gloves will always be worn. Gloves must not be used when managing money. Where gloves are not suitable for the food management process, adequate tools will be used.

Workers are to ensure that their hands are clean and frequently washed with detergent and warm water. Examples of when a worker should clean their hands are prior to any contact with food, before entering new work zones, handling of any infectious materials/areas, commencing work following their break, encountering body parts or exchanges (e.g., sneezing, coughing, using tissue or handkerchiefs, touching of hair, face or any other body parts). Workers displaying symptoms of sickness, skin conditions, poor gut health, abrasions/injuries, or any conditions regarding their capability to operate must inform management. Management may decide that a worker will be assigned different tasks if needed.

Cross Contamination and Gloves

Cross-contamination happens when cooked food contacts raw food. Raw food should always be stored below ready-to-eat or cooked food in refrigerators and display cabinets. This is to prevent juices from raw food from dripping onto cooked food. Raw food must be kept separate from cooked and ready-to-eat food. Raw food may contain bacteria, which causes food poisoning.

Cross-contamination can also happen if you use dirty knives, chopping boards or other equipment. If possible, don't use the same equipment when preparing raw food and cooked and ready-to-eat food. Thoroughly clean and sanitize equipment after each use.

Bacteria can be transferred to food from your hands. Thoroughly wash and dry your hands before handling food and between handling raw food and cooked or ready-to-eat food. Also, use clean, sanitized utensils (tongs, spoons, spatulas) to handle cooked or ready-to-eat food.

Disposable gloves can aid in preventing cross-contamination; the same precautions should be taken when handling raw or cooked foods. It is extremely important that Smiling People's workers wash and dry their hands well before proceeding to use fresh gloves.

Smiling People's workers must change their gloves hourly unless they have become contaminated or damaged. They also must change their gloves if they are switching from raw foods to cooked foods as well as if they have switched tasks, e.g., taking the rubbish out/cleaning the kitchen.

Temperature Regulations

Workers should reduce the planning and handling of possible harmful food to a minimum, preventing the risk of contaminants and bacteria developing. The temperature danger zone is between 5 °C and 60 °C. Bacteria grow quickly in high-risk foods that are kept in this temperature range, which means workers need to make sure that the condition of potentially harmful foods processed, consumed, shipped or deposited will be either 5 ° C or cooler or 60 ° C or higher. Dividing foods into narrow containers and small quantities will ensure foods cool rapidly, reducing the contamination risk. Foods will be chilled from 60 °C to 21°C within a time from two hours, then within a limit of four hours from 21°C to 5°C. To minimise the risk of contamination and toxins being produced, food must be promptly reheated to a temperature of 60°C or greater within a time frame of two hours. Foods that pose a risk of becoming dangerous must be chilled to less than 5°C as efficiently as possible.

The food listed below are instances of possible dangerous foods:

- Protein products such as beans, nuts, eggs, or any foods containing these items.
- Handled vegetables and fruits.
- Any dairy cantered produce.
- All seafood.
- Fresh or cooked foods, including meats.
- Pasta and rice that has been cooked.
- All by-products of foods are included in this list.

Labelling and Serving Food

Store food in clean food-grade storage containers that are strong enough to support the food they contain. If containers are reusable, wash and sanitize them thoroughly before using them. Do not reuse containers that are only meant to be used once.

Food labels or tags can carry bacteria, which means that labels must be used on the containers and not on the food itself. When serving food, make sure that all cutlery and tableware are clean and undamaged.

Supporting Documents

- Incident Management Policy and Procedure
- Work Health and Safety Policy and Procedure

Policy Review

Smiling People may change 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.

21. Suicide and Self-Harm Policy and Procedure

Purpose and Scope

The Suicide and Self-Harm Policy and Procedure outline the important guidelines and protocols Smiling People must follow in the event a participant is disclosing and/or implying potential suicide and/or self-harm.

Smiling People will enforce training and awareness to all Health Care Workers, volunteers, and advocates, to ensure they retain the correct knowledge concerning suicide and self-harm prevention.

This extends to all employees and meets relevant laws, regulations, and standards.

Policy

The Suicide and Self-Harm Policy is utilised throughout Smiling People to maintain and ensure the safety of all personnel and participants. All Home Care services must follow and abide by this policy.

This policy indicates and offers adequate knowledge of the methods that must be utilised when responding to participants' surveillance, accusation and disclosing of potential suicide and/or self-harm.

It is important to acknowledge that Smiling People does not possess the authorisation for counselling and offered strategies to advise participants of their situation. However, Smiling People is committed to providing ongoing support to those who are suffering.

The initial safety of all personnel who are responding to potential suicide and self-harm of a participant is vital.

Worker Responsibilities

- Report any potential signs or concerns if they think a participant may be suicidal or going to self-harm.
- Seek external support and services if you experience the passing of a participant.
- Apply taught training and skills.

Management Responsibilities

- Utilise and document all correct forms.
- Inform personnel of the unfortunate event.
- Provide adequate training and knowledge in relation to self-harm and suicide prevention.

Procedure

The Suicide and Self-Harm Procedure implies the correct and paramount protocols when responding and dealing with a participant who has potentially caused self-harm and/or suicide. It is critical that all Healthcare Workers, Volunteers and Advocates are thoroughly trained and obtain all information necessary when a participant has disclosed or implied potential danger to themselves.

Evaluation and responses to suicide and self-harm threat are undertaken by Smiling People's skilled and qualified personnel, utilising primarily proven evaluation practices.

Smiling People ensures to provide accessible First Aid Kits in all public locations and utilised vehicles.

Workers of Smiling People will be trained and competent when responding to warning signs of potential suicide and self-harm. These signs include, but are not limited to:

- The increased utilisation of drugs or alcohol
- Hopelessness
- Depression
- Impaired behaviour and judgment
- Social withdrawal from family and friends

Workers will be trained and will be competent when responding to risk factors of potential suicide and self-harm. This includes, but is not limited to:

- Existing mental health issues and problems
- Substance and/or alcohol abuse
- A prior attempt of suicide and/or self-harm
- Gender
- Financial stresses
- Family disputes
- Geographical or social isolation
- Evidence of Post-Traumatic Stress Disorder

Assessment of Suicide and Self-Harm

It is the responsibility of the Health Care Manager to utilise the appropriate forms and documents when reporting an individual who is at risk of self-harm or suicide. They can utilise the Detailed Risk Assessment and Summary, Health and Safety Risk Assessment and the Client Risk Assessment Form. It is essential that when completing any suicide or self-harm assessment, that it is treated with dignity and respect.

If a participant is found to suffer from triggers of suicide or self-harm, it is crucial that they are regularly monitored. This is to ensure that the health, mental and physical well-being of the participant is at a stable level.

There are different levels of risk rating relating to self-harm and suicide. The following specifies the ratings that will be assessed when examining a participant with potential danger:

- Non- Existent
- Low/Mild
- Moderate
- High/ Severe
- Very High/ Extreme

Non-Existent

A non-existent risk will be conducted if there are no visible or identifiable plans or intent of self-harm.

In the unfortunate event that suicide or self-harm has occurred, it is the responsibility of Smiling People to create a future action plan. This is to ensure that all future potential occurrences are eliminated and prevented. All plans and information regarding suicide and self-harm must be documented.

Privacy and Confidentiality

It is the responsibility of Smiling People and their duty of care, to prevent all attempts of suicide and self-harm of a participant. In the sense of mental health issues encompassing suicide and self-harm, due to these situations being harmful, privacy and confidentiality agreements will not be adhered to, due to dangers of harming ones-self or committing suicide.

Staff Actions

Once a participant has taken their own life, it is the respectable manner that all Smiling People personnel are made aware. This is to inform the participant's service that some personnel may want to attend if they had a personal connection with the individual. It is encouraged that staff are to seek external programs to assist them in the support they require.

Supporting Documents

Relevant documents relating to this Policy and Procedure:

- Participant - Risk Assessment Form
- Risk Management Policy and Procedure
- Privacy and Confidentiality Policy and Procedure
- Health, Safety and Security Policy and Procedure

Policy Review

Smiling People may change 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.

22. Falls Prevention Policy and Procedure

Purpose and Scope

Smiling People implements the Falls Prevention Policy and Procedure to ensure that all potential risks of falls, trips and/or hazardous surroundings are recognised and eliminated in a timely manner. Smiling People is committed to providing adequate and safe environments for all participants to ensure they receive optimal health and services throughout their experience with Smiling People.

This extends to all employees and meets relevant laws, regulations, and standards.

Policy

The Falls Prevention Policy is utilised throughout Smiling People to ensure adequate and effective safety measures and precautions are put in place to achieve maximum safety of all participants, as well as to eliminate all potential risks of falls or injuries where possible. It is Smiling People's aim to provide all participants with ideal care and mobility throughout their experience.

Smiling People understands the importance of utilising the Falls Prevention Policy and aims to apply the most appropriate and effective measures to control and eliminate any risk of falls that have the ability to cause harm or injury.

Worker Responsibilities

- To recognise, report and manage any falls that may occur.
- To enforce appropriate interventions and techniques to assist participants where required.
- Ensure all surroundings are free from any hazardous objects that could encourage a person to fall.

Management Responsibilities

- To complete a fall risk assessment for each participant on a regular basis or when deemed appropriate.
- To ensure all surroundings are free from any hazardous objects that could cause a person to fall.
- Ensure all workers are taking the necessary measures and precautions to prevent and eliminate any hazards that could encourage a participant to fall or trip.
- Provide education or training to workers regarding the management and intervention of falls or injuries.

Procedure

The Falls Prevention Procedure is implemented within Smiling People to ensure all participants are receiving optimal health and care throughout their experience. This procedure

specifies the importance of recognising and eliminating all risks and hazards that may lead to a participant experiencing injury or harm due to a fall or trip. Smiling People aims to ensure that all surroundings will be free from any falling/tripping hazards. Frequent assessments and examinations will be conducted to identify any new-found hazards or risks that could lead to potential harm or injury.

All personnel within Smiling People will be expected and required to assist in the supervision and management of fall risks and potential hazards. They will also be provided with adequate training and information to manage and prevent falls/trips effectively.

It is essential that all participants are prevented and protected from encountering or experiencing any risks of falls that may arise due to a hazard. The following outlines the principles of the Falls Prevention Procedure:

- All participants will be assessed for fall risks and potential hazards, and all information obtained from the assessment will be recorded and stored in the participant's personal file.
- Participant's behaviour will be reviewed and monitored to determine the likelihood of each participant's behaviour initiating a fall or trip. A Registered Nurse will be the authorised personnel who is to complete the initial falls risk assessment.
- Each participant will be communicated to and is expected to engage in the decisions made in relation to managing falls and potential hazards. All information that is required to explain how to prevent falls thoroughly will be offered to participants.
- Smiling People aims to involve all participants and encourage them to engage and participate in all fall prevention programs and exercises Smiling People provides.

A physiotherapist may be present and attend the falls risk assessments. This is done to examine the mobility of participants who are more likely to experience a fall or trip. This is to review and create an action plan in accordance with a participant's ability to avoid any falls or trips.

Smiling People will maintain supplementary risk assessments if there has been an adjustment to a participant's health condition. This may occur when a participant has fallen, and as a result, the injury has impacted on their health or has caused a change to their pre-existing condition. In addition to this, reviews will be conducted in accordance with advice provided from an external health professional such as a GP or specialist. Post fall, reviews will be conducted annually, especially if there have been no changes to the participant's condition.

It is the responsibility of the Health Care Manager to create and maintain all fall risk management strategies, action plans and measures. However, they will be supported by an enrolled nurse, registered nurse, or any other external body that was contacted to provide assistance to participants.

Smiling People aims to ensure certain measures and strategies are implemented to improve the minimisation of potential risks of falls/trips. Implementing strategies to the following areas, Smiling People will significantly improve the safety of all participants:

- Walking and Mobility
- Footwear and Care

- Surrounding and Environmental Risks
- Medication
- Vision and Eyesight
- Restraint

Useful Interventions

Various methods and strategies can be utilised to aid in the prevention of participants experiencing falls and trips. The following outlines the specifications that should be monitored in relation to participants:

- Encouraging participants to drink 1.5 litres of fluids a day.
- Ensuring appropriate footwear is worn for the current surroundings. Examples may be shoes that contain a grip sole, no slippers or open-toed shoes.
- Utilisation of handrails around Smiling People or in a participant's home to improve the mobility of a participant.
- Ensure any spillages or mopped floors are made aware to all personnel and participants, and wet floor signs are visible to maximize prevention of a fall or trip.
- Remove all objects that are located in a place that proposes a potential risk or hazard, including objects that obstruct a walking path.
- Create a non-slip floor in areas that do not contain carpet. These locations may include bathrooms, kitchens, laundries, or communal spaces.
- Ensure all participants obtain the necessary equipment to maintain safe mobility. An example of this may be a walking stick, wheelchair, and shower chair.

Management Strategies

WALKING AND MOBILITY – it is essential that all participants are assessed and monitored on their ability to walk and move without struggle, trouble, or pain. This is to ensure that participants are frequently receiving the appropriate amount of exercise. It is encouraged that they participate in daily exercise or where possible.

This is to promote independence within participants as it encourages them to undertake an activity without assistance, thus further preventing the risk of falls or trips by maintaining safe and independent mobility. This will also maintain their dexterity of improvement and strength. It is crucial for participants to utilise the necessary walking aids for the duration of relocating. Different walking aids may include a single-point cane, quad cane, walker, crutches, and a knee walker. All participants will be supported and supervised by personnel in the duration of the mobility process.

FOOTWEAR AND CARE – it is important that all participants are frequently wearing the correct and appropriate footwear. It is crucial that all participants are clearly informed of the footwear requirements and understand what correct footwear entails. Slippers are not encouraged for participants to wear as they offer extremely limited support and increase the risk of falls or trips. To minimise the risks of falls, participants should wear footwear that is in accordance with the following criteria:

- Non-slip soles and laces

- Soft-quality footwear (memory foam shoes)
- Velcro or buckle footwear
- Footwear that contains a supporting collar on the rear end of the shoe

Smiling People recognises the importance of maintaining the foot care of all participants. It is the responsibility of the required personnel to ensure that toenails are trimmed and that all potential foot infections are managed and treated effectively. If a participant's foot is deemed as dry and the skin has begun to tear, this may affect the confidence in walking and thus must be dealt with accordingly.

In the circumstance that a participant has dried and cracked feet, a cream solution will need to be applied. However, an excessive amount mustn't be permitted to be applied as it can increase the risk of slipping. This cream may be over the counter medication that the participant has purchased or specialized prescribed cream. It is fundamentally important to operate in accordance with the manufacturer's instructions if it is safe to do so. Expiry dates should also be checked accordingly.

SURROUNDING AND ENVIRONMENTAL RISKS – All surrounding environments of a participant must not contain any forms of clutter or objects that obstruct a person's pathway. This is to ensure maximum prevention of falls or trips. Smiling People aims to take all necessary measures and action plans to manage sudden events as they arise effectively. If in the event of a sudden spillage, it is essential that it is attended to promptly and must be cleaned up. It is crucial for personnel to recognise and attend to any potential risks within the environment or surroundings of participants in a timely manner, to minimise the risk of participants encountering any hazards. It also assists in ensuring the workers or attendants themselves are safe.

MEDICATION – it is found that some medications can impact the risk of falls and is commonly known as psychotropic medications (antidepressants and sedatives), cardiovascular medications and analgesic medications. Research shows that more than four medications will increase the risk of falling. Ingesting nine or more medications will not only increase the risk of falls but will increase the risk of cognitive impairment. All personnel and participants must be made aware of the significant risks that are in correlation with Polypharmacy. It is also crucial for all personnel and participants to understand these risks, as well as have the necessary measures and actions put in place to prevent harm or injury if anyone encounters these significant risks. If staff have noticed that a participant is displaying changes in any aspects of their mobility, medical, physical, or cognitive status, then it must be immediately reported to the Health Care Manager. If it is apparent that there has been a change in a participant's behaviour, then an assessment will be arranged, and measures will be taken accordingly.

VISION AND EYESIGHT– Workers should maintain encouragement for participants to have their eyes tested annually. This aims to monitor the quality of eyesight and ensure if there is a significant decline in the participant's vision, effective measures are taken to prevent this from initiating potential hazards. In the event that a participant is required to wear eyeglasses, workers should encourage them to do so. Workers will be responsible for maintaining clean eyewear for participants and ensure correct placement in order to reduce the risk of falls. If a

participant suffers from impaired vision, then workers must ensure that all personal belongings are kept at a reachable and safe distance.

RESTRAINT – Usage of restraints such as physical and chemical constraints must be restricted until all other possible measures and actions have not succeeded, and the participant is at serious risk of harm or injury. These measures will only be taken in extreme cases where the participants are at serious risk of falls or slips. The requirement for constraint must fall directly in accordance with the Restraint Policy and Procedure.

Falls Management

In the event a participant has suffered from a fall, there are specific protocols that must be adhered to. The following outlines the strategies for applying care provision:

- Immediately attend to the participant and report to the Health Care Manager. Once the Health Care Manager has been notified about participants' falls or injuries, then it is their responsibility to report and document the events of the fall.
- Apply first aid to the participant and assess all potential injuries they may have sustained as a result of the fall or slip.
- If the participant has fallen and is unable to move or get up from the floor, it is essential that no personnel is to lift them or make any attempt to move them. Personnel must then immediately arrange to contact emergency services on 000.
- If a participant is able to stand autonomously, then personnel will support and guide them to a sitting position. It is important that they are not to lift the participant off the floor.

Ensuring personnel stay with the fallen participant, and frequently assess the vital levels to ensure the participant is conscious and breathing. If the event arises where a participant is unresponsive, personnel are required to contact emergency services on 000 immediately.

An incident/accident report form is completed and submitted to Smiling People.

Smiling People key personnel or will report to the participant's related personnel, advocate, and family member. During this process, it is essential for key personnel to explain the situation in total honesty to the relevant persons.

An assessment will be implemented by the Manager and all personnel to investigate why the fall happened. It will create an action plan on how to resolve and avoid reoccurrence in the future.

Relevant measures and actions will be taken by key personnel to eliminate the hazard or fall risk.

Relevant measures and actions will be taken by all workers of Smiling People to eliminate the hazard or fall risk of all persons, including themselves.

Supporting Documents

Relevant documents relating to this Policy and Procedure:

- Participant - Risk Assessment Form
- Risk Management Policy and Procedure
- Incident Management - Incident Investigation Form

Policy Review

Smiling People may change 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, carers and workers every year.

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