

	<b>Prevention and Management of Adverse Events in Community Care</b>
<b>Purpose</b>	<p>The Australian Community Industry Alliance (ACIA) is committed to upholding the safety, rights, and wellbeing of individuals receiving community-based support. This policy outlines ACIA's commitment to collaborative information sharing and proactive engagement with Scheme Funders and Certified Auditing Bodies (CABs) to:</p> <ul style="list-style-type: none"> <li>• Prevent serious incidents or adverse events through early detection of poor provider practice, or where other Client or environmental factors present significant risks that have not been sufficiently mitigated.</li> <li>• Enable timely and coordinated responses to support Client wellbeing and provider practice.</li> <li>• Support continuous quality improvement and risk mitigation across the sector.</li> </ul>
<b>Scope</b>	<p>This policy applies to all ACIA staff, contractors, and representatives engaged in quality assurance, certification, and provider support activities. It also guides ACIA's formal collaboration with Scheme Funders and CABs in relation to providers certified or seeking certification against the ACIS standard.</p>
<b>Guiding Principles</b>	<ol style="list-style-type: none"> <li><b>1. Proactive Prevention:</b> Emphasis on identification of provider risks and potential harm as part of the ACIS audit process, and through review of audit outcomes.</li> <li><b>2. Transparency and Accountability:</b> Promoting open communication while respecting confidentiality and procedural fairness.</li> <li><b>3. Collaboration and Coordination:</b> Working constructively with Scheme Funders and CABs to ensure a unified approach to risk management and information sharing.</li> <li><b>4. Respect for Privacy and Confidentiality:</b> Information will be shared in accordance with relevant privacy legislation and only when it is lawful, necessary, and related to the area of risk.</li> </ol>
<b>Objectives</b>	<p>ACIA will:</p> <ul style="list-style-type: none"> <li>• Establish structured channels for sharing relevant risk and quality information with Scheme Funders and CABs.</li> <li>• Contribute to early detection of systemic risks, provider non-compliance, or emerging poor practice.</li> <li>• Act as a conduit for escalating credible concerns about provider safety and quality.</li> <li>• Promote consistency in response protocols for serious risk across schemes and CABs.</li> <li>• Support learning and improvement through de-identified data analysis and trend reporting.</li> </ul>
<b>Roles and Responsibilities</b>	<p>ACIA will:</p> <ul style="list-style-type: none"> <li>• Maintain up-to-date records of the ACIS certified providers audit certification cycle.</li> <li>• Facilitate meetings with Scheme Funders prior to Service Provider surveillance or certification audits to identify risks and concerns, and to support CABs in their risk assessments and audit planning.</li> <li>• Facilitate regular meetings to discuss general trends and sector risks.</li> <li>• Provide CABs with guidance on escalating critical concerns.</li> <li>• Notify relevant Scheme Funders where a certified provider poses a</li> </ul>

	<p>significant or imminent risk to participant safety, as determined by the CAB as part of the audit process, or if a concern is reported to ACIA in some other way.</p> <p>CAB's will:</p> <ul style="list-style-type: none"> <li>• Report material findings or concerns about provider conduct, capability, or compliance to ACIA where appropriate and within agreed timeframes.</li> <li>• Apply consistent risk-based auditing approaches and flag emerging patterns of concern.</li> </ul> <p>Scheme Funders are encouraged to:</p> <ul style="list-style-type: none"> <li>• Share relevant, de-identified data on incidents, adverse events, or provider information that may impact safety or certification outcomes prior to scheduled audits.</li> </ul>
<p><b>Managing Serious Risks and Adverse Events</b></p>	<p>When a serious risk is identified:</p> <ul style="list-style-type: none"> <li>• ACIA will work with CABs and Scheme Funders to assess the nature and severity of the risk.</li> <li>• Where the risk is significant, ACIA, in consultation with Scheme Funders, may: <ul style="list-style-type: none"> <li>○ Require the CAB to initiate an early surveillance or spot audit.</li> <li>○ Issue guidance or conditions to maintain certification.</li> <li>○ Suspend or revoke certification, where warranted under ACIS protocols.</li> </ul> </li> <li>• ACIA will share lessons about learnt and de-identified findings with CABs and Scheme Funders, where appropriate, to promote sector-wide improvement.</li> <li>• ACIA has the ability to revoke certification as part of the ACICS scheme. Where a provider is not part of a scheme panel, ACIA will work with the CAB to determine how best to respond to identified risks.</li> </ul> <p>When an adverse event has been reported to a Scheme Funder:</p> <ul style="list-style-type: none"> <li>• The Scheme Funder should determine the need for review of the Service Provider's practice and processes and notify ACIA if they require a review.</li> <li>• If a review is required, ACIA will follow the same process as for the identification of a serious risk.</li> </ul> <p>The icare definition of Adverse Event has been included at Annexure 1 to this Policy.</p>
<p><b>Information Sharing</b></p>	<ul style="list-style-type: none"> <li>• ACIA has developed guidelines for information sharing (ACIA External 047 – Information Sharing Guidelines), which includes: <ul style="list-style-type: none"> <li>○ For CABs, the types of provider risks and major non-conformities they should immediately share with ACIA, and timeframes for reporting.</li> <li>○ For Scheme Funders, the types of information required by ACIA to coordinate risk reviews as part of the audit process, and time frames for information sharing.</li> <li>○ For ACIA, <ul style="list-style-type: none"> <li>▪ The types of information that will be shared with Scheme Funders, including CAB assessments, audit</li> </ul> </li> </ul> </li> </ul>

	<p>reports, and other communications related to provider risk.</p> <ul style="list-style-type: none"> <li>▪ The types of information that will be passed on to CABs to help inform audit planning.</li> </ul> <ul style="list-style-type: none"> <li>• All information exchanged must comply with the Privacy Act 1988 (Commonwealth) and related state legislation.</li> <li>• De-identified trend data may be published by ACIA to inform sector improvement efforts.</li> </ul>
<b>Review and Continuous Improvement</b>	<p>ACIA will:</p> <ul style="list-style-type: none"> <li>• Review this policy biennially or in response to emerging risks or sector changes.</li> <li>• Review this policy at the request of icare or other Stakeholders.</li> <li>• Evaluate the effectiveness of collaboration mechanisms through stakeholder feedback.</li> </ul>
<b>References/ Resources</b>	<ul style="list-style-type: none"> <li>• The Australian Community Industry Standards</li> <li>• The Australian Community Industry Certification Scheme</li> <li>• Privacy Act 1988 (Commonwealth) and State/Territory equivalents</li> </ul>

## Annexure 1

Extract from icare Attendant Care provider Agreement:

Adverse Events must be reported to the icare contact, case manager and Attendant Care Team within 24 hours of the event occurring. If an Adverse Event occurs out of business hours, the provider must send the information to [attendantcare@icare.nsw.gov.au](mailto:attendantcare@icare.nsw.gov.au) to be accessed the next business day.

Adverse Event reports can be in the provider’s own format but should include as minimum:

- the date the event occurred
- identification of the participant involved
- a detailed description of the event
- immediate action taken by the provider in response and the outcome
- remedial or preventative action taken by the provider to prevent the occurrence of further adverse events.

Providers must have a reporting and management system in place to identify and manage risks and incidents, including identification of Adverse Events.

Category	Description
Absent or missing participant	A participant is absent, missing, or uncontactable, and there are concerns for their safety and welfare, or that of others.
Alleged abuse, assault, or neglect of a participant or of another adult	There is an instance of abuse, assault, or neglect involving the participant or others involved in their care (e.g. family member or service provider). This includes physical, sexual, emotional, verbal, social, psychological, or financial abuse, assault, or neglect, and historical allegations of sexual abuse.
Child at risk	Where a child is at risk and/or a report has been or will be made to the Child Protection Helpline and there are implications for the participant or their services. This category relates to: <ul style="list-style-type: none"> <li>• a child participant or their siblings, or</li> <li>• the child of a participant.</li> </ul>
Death (of participant, their family member, support worker)	<ul style="list-style-type: none"> <li>• Death of a participant</li> <li>• Death of a participant’s family member where the family member is involved in the participant’s care</li> <li>• Death of a paid support worker involved in the participant’s care where the death has occurred while providing services or will result in significant disruption to services.</li> </ul>
Fraud	Alleged fraudulent activity undertaken by a participant, their family member, or any service provider or support worker.

Homelessness or risk of homelessness	The participant is at risk of homelessness or has become homeless.
Illegal conduct	Alleged illegal conduct undertaken by a participant, their family member or any service provider or support worker during service provision.
Inappropriate conduct or poor performance of support worker	Inappropriate conduct or performance by a service provider, including failure to follow appropriate procedures, or the inability of the service provider to deliver the services required.
Environmental emergency	An environmental emergency including flood, fire, severe storm etc where the participant's life, property and/or service provision are at risk.
Notifiable disease or serious illness	When a participant, their family member or a service provider has been diagnosed with a disease that will have a significant impact on their treatment, rehab or care, or an illness that requires mandatory reporting to an Australian health authority (e.g. COVID-19).
Privacy	Alleged inappropriate disclosure of the personal or health information of a participant or their family.
Significant or intentional property/equipment damage	Property damage requiring significant cost to repair that impacts the participant and/or their service provision.
Unauthorised use of restrictive or prohibited practices	Any unauthorised use of a Restrictive or Prohibited Practice on a participant such as physical, chemical, environmental, or mechanical restraint, or seclusion.
Risk of harm (to participant, support worker, health professional, icare staff member or others)	Any situation where there is a risk of harm including threatening behaviour, self-harm, refusal to accept services, atypical high-risk behaviour, or environmental risks that place the participant, providers, family members or icare staff at risk of harm.
Injury (to participant, their family member, support worker, or member of the community)	Injury sustained by a participant or other people involved in their care. This includes any injury sustained by paid support during the provision of services to the participant, or a member of the community as a result of the participant's actions. This may include falls, medical episodes, accidental injury, or medication mismanagement.
Service provider disruption or viability concern	<ul style="list-style-type: none"> <li>• Significant organisational disruption, mismanagement or change in ACIS Certification status affecting a service provider. This also includes the inability of a service provider to deliver required services because of recruitment or viability concerns.</li> <li>• Concerns regarding ongoing financial viability of the service provider.</li> <li>• Any issue that could have a potential or actual negative effect on icare's reputation or operations, for example as a result of media coverage.</li> </ul>

Suicide attempt	Any actions taken by a participant where it is reported they were taken with the intention to end their own life.
Suicide ideation	Any expression of the desire to end ones' life made by the participant directly to icare staff or a service provider.