Incident Register
Why is this important?

The register is a working document that shows what incidents you have managed, are currently managing and it provides a record of the outcomes and what action needs to be taken to address the identified incident.

It provides you with a way to ensure you keep a record of actions relating to responses or follow up actions to incidents and progress with these. It also assists you to demonstrate you are following the NDIS Commission (Incident Management and Reportable Incident Management) Rules 2018.

Note; For providers that have your own cloud based or computer based client management software, you may want to give some thought to how to integrate data capture and reporting using existing systems to make the best use of those other investments.

Contents

Incidents Register Information

The **Incident Register workbook** contains multiple worksheets to assist you in managing Incidents.

- Manual - Click to open Incidents Register Manual
- Incident Register - where details are kept of incident
- Example Worksheet - provides examples of incidents, for reference to how the register works
- Report - summary of all incidents in Pivot Table format (can be changed to suit your requirements)
- Investigation Report - summary of investigations when they are carried out in Pivot Table format (can be changed to suit your requirements)
- CI (Continuous Improvement) Report - summary of any improvements in Pivot Table format (can be changed to suit your requirements)
- Dropdown Lists - contains lists that standardise dropdown menus in the register

Incidents Register Worksheet

The **Incidents Register Worksheet** is where you will record the information associated with each incident or workplace health and safety report raised.

Figure 1 below provides an example of the register which contains populated examples. Ensure the examples are removed so your records only contain your information. To delete records, select rows and delete.

Number	Date Received	Category	Description of Incident	Impact/Injury to Subject	Immediate Action Taken to ensure the health and safety and wellbeing of person involved in the incident	Notifications Required to Whom	Type of reportable incident to NDIS Commission	Family, carer guardian no
001	15/01/2021	Assault	Minor assault by one participant to another participant	Facial bruising	Seperated residents, calmed and supported victim	Family	nil?	Reportable Commissio
002	4/02/2021	Environment	Employee slipped on wet tiles after cleaning	Suspected broken ankle	Emergency Services called Staff reassured. Another employee deployed to ensure continuity of support to participants	workcover?	HR Manager	
003	4/04/2021	Neglect	Participant stole another participants sandwich and choked	choked, distress, agitation	cleared mouth and checked airway, settled resident	NDIS Commission	Neglect	
004	7/03/2021	Restrictive Practice	Employee left Participant alone in Shopping Centre	Disorientation; agitation, distress	Reassured that	Family	HR Manager	
005	12/05/2021	Harm	Participant hit Employee in stomach	Pain in stomach	Calmed partipant; checked on	Family	HR Manager	

Figure 1: Screenshot of Incidents Register populated with examples

The register has been formatted in a table layout. This will allow you to add new items and be automatically included in the table.
(Refer to Dropdown lists for more information)

The register consists of the following in Table 1 below. The Column Reference is the identifier to a particular column in MS Excel.

Table 1: Incidents Register items

Column Reference	Item	Data Type	Purpose / Comments
A	Number	Free text	Unique identifying label You may wish to create your own unique numbering system e.g. 2021001 or 202103-001
B	Date Received	Date	Record date of incident reported
C	Category	Dropdown	Used to categorise types of incidents for reporting purposes You can edit or add any categories that you require (refer to Dropdown List section below)
D	Description of Incident	Free text	Brief description of what was reported
E	Impact / Injury to Subject	Free text	What was the outcome for the subject
F	Immediate action taken to ensure the health and safety and wellbeing of person involved in the incident	Free text	List your immediate response
G	Notifications Required to Whom	Free text	Who requires notification of the incident
H	Type of reportable incident	Dropdown	List of reportable incidents
I	Family, carer, guardian notified	Dropdown	Ensure this step is completed
J	Referred to Authorised Reportable Incidents Notifier/Approver	Dropdown	Ensure process can meet NDIS reporting requirements
K	Date and Time Advised	Free text	Purpose is to track timelines
L	Investigation Undertaken into possible causes	Dropdown	Reporting purposes
M	Investigation Record of What Happened	Free text	Record elements of your investigation
N	Investigation Findings	Free text	Show results of investigation and what you have found
O	Outcome / Action following to mitigate further incidents	Free text	List action identified to mitigate further incidents
P	Investigation Actions Completed	Dropdown	Record of action completion

Column Reference	Item	Data Type	Purpose / Comments
Q	Investigation Action Date Completed	Free text	Reporting purposes
R	Participant feedback on incident handling process	Free text	Note any feedback received from Participant When you are capturing information relating to internal Workplace Health and Safety incidents and Participant feedback is not required, enter in NA.
S	Participant Feedback Comments	Free text	Record relevant information
T	Improvement to Process. Actions Required?	Free Text	What actions are required for improvements
U	Process Improvement Implemented	Dropdown	Record of implementation completion
V	Process Improvement Strategies completed (Date)	Free text	When improvements are completed
W	Status	Dropdown	Status of Complaint This should only be marked Resolved when both Investigation and Improvement actions or outcomes are completed (where applicable). When a Complaint is marked Resolved, it will look greyed out in the register as a visual clue that it is resolved
X	Date Incident Closed	Date	Date complaint is no longer active
Y	Links to relevant information	Free text	You can insert hyperlinks to files or folders with further information e.g. statements or full investigation reports. Shortcut Ctrl+k, you can either put in a short text or leave the full path. Alternatively, this can be a note to where information can be located.

TOP TIP: To add a new paragraph within a cell, press Alt+Enter.

Filtering Your Data

Excel Filter allows you to view the rows you want to focus on and hides the other rows.

For example, if you want to view just complaints relating to Breach of Privacy, click the filter triangle in the heading of the relevant column and select the filters, click OK and only those selected will show (Figure).

You can tell that a filter has been applied as the filter now has a different icon (Figure 4). Also the row numbers on the left hand side will be blue (Figure 5).

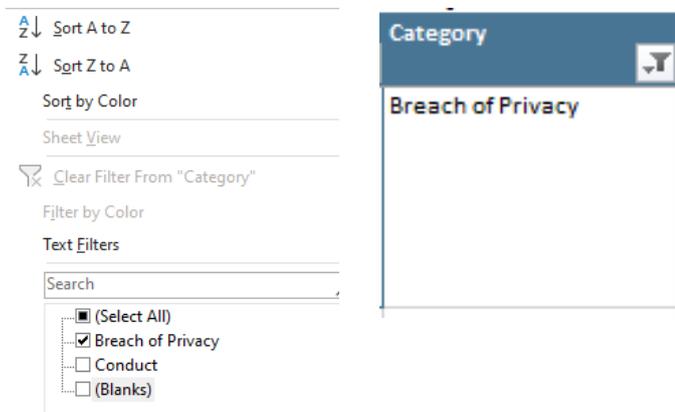| Number	Date Received	Category	Description and impact of complaint	Complainant Desired outcomes	Investigation Undertaken	Investigation Record of What Happened	Investigation Findings	Investigation Actions
001	1/01/2021	Breach of Privacy	Participant overheard a staff member (A)telling another staff member (B) about some information the participant shared with them(A) in confidence	Apology and for this not to occur in future	Yes	Interviewed staff (A&B)	Confirmed breach of privacy occurred	Apology provided to complaina
002	3/02/2021	Conduct	I wanted staff member (C) to work with me	Be able to choose who supports me	No		Unable to provide worker of choice on every occasion, but will endeavour. Explained to complainant.	Reassured would try but cant

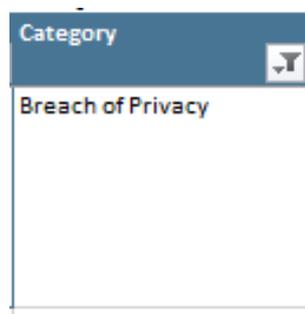Figure 2: Unfiltered table

Figure 3: Select filters   Figure 4: Change in icon (Risk Priority) indicating table is filtered

Number	Date Received	Category	Description and impact of complaint	Complainant Desired outcomes	Investigation Undertaken	Investigation Record of What Happened	Investigation Findings	Investigation
001	1/01/2021	Breach of Privacy	Participant overheard a staff member (A)telling another staff member (B) about some information the participant shared with them(A) in confidence	Apology and for this not to occur in future	Yes	Interviewed staff (A&B)	Confirmed breach of privacy occurred	Apology prov

Figure 5: Filtered table

Report, Investigation and Continuous Improvement (CI) Report Worksheets

These are optional worksheets should you wish to use them.

If you are familiar with pivot tables, you can create your own reports as required. (For more information on Pivot Tables, click here)

The **Report Worksheet** provides a summary of your Incidents Register. Two simple reports have been included in this template.

The **CI Report Worksheet** provides a summary of the proposed Improvement Plan.

These can be used to easily show you how many incidents, investigations or continuous improvement actions are still in progress and what categories they are (Figure 6) or you can see in what Categories the incidents are included in (Figure 7). You can also use the dropdown filters to adjust your report as required.

Over time, these may provide you with assistance in targeting areas of your business that need focussing on by showing you Incidents in each Category.

Category	Action proposed	Investigating	Resolved	Unresolved	Grand Total
Environment	1	1			2
Harm		2		1	3
Physical			1		1
Restrictive Practice				1	1
Abuse			1		1
Assault	1				1
Breach of Privacy	1	1			2
Financial			1	1	2
Conduct		1			1
Neglect		1			1
Grand Total	**3**	**6**	**3**	**3**	**15**

Figure 6 Example of Incidents Report in pivot table format

Status	Category	Count of Category
⊟ **Action proposed**	Environment	1
	Assault	1
	Breach of Privacy	1
Action proposed Total		**3**
⊟ **Investigating**	Environment	1
	Harm	2
	Breach of Privacy	1
	Conduct	1
	Neglect	1
Investigating Total		**6**
⊟ **Unresolved**	Harm	1
	Restrictive Practice	1
	Financial	1
Unresolved Total		**3**
⊟ **Resolved**	Physical	1
	Abuse	1
	Financial	1
Resolved Total		**3**
Grand Total		**15**

Figure 7: Example of Incidents Report in pivot table format

Updating Pivot Tables

Pivot Tables allow you to summarise particular information from your register into a table for reporting or analysis purposes.

The Pivot Tables have been set to update upon opening the MS Excel worksheet.

However, if you have been updating the Risk Register worksheet and want to see an updated report, you will need to manually update the Pivot Table.

- Right click anywhere in the Pivot Table
- A menu will open, select Refresh
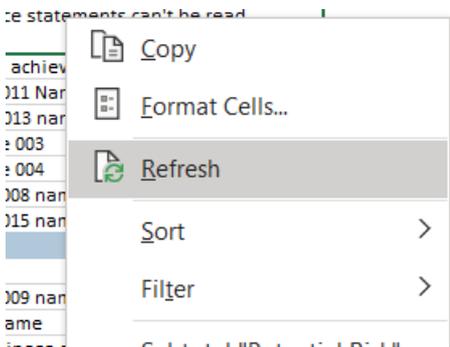
You also may notice that text may not automatically wrap in the cell.

You can adjust this by selecting the relevant cells, then click **Wrap Text** in the Home menu.

Dropdown Lists Worksheet

The **Dropdown Lists worksheet** contains various lists that appear in the dropdown menus in the Incidents Register.

These lists are to ensure consistency in capturing data which will allow you to see trends or patterns when analysing the data.

For the Incidents Category, there are currently 10 items to select from (Figure 8). You can customise this list to make it more relevant to your needs and items can be added to the list by typing a new item at the bottom of the existing list.

The lists have been formatted as a 'table', meaning if you add an item at the bottom, it will automatically include that item in the list.

A visual clue is the small blocks at the bottom right-hand corner (highlighted in blue in Figure 9). If the table doesn't automatically update when you add a new item, you can also select the blocks and drag down to include the new item(s).

Figure 10 shows how the table will look when you add another item to the list.

Figure 8: Example of dropdown list

Figure 9: Visual clue to where the table ends

Figure 10: Adding another category to the list

There are other dropdown lists that are available but are not editable. These are there for the functionality of the Incidents Register.