

Risk Incidents and Complaints Management



Investigation Plan Template

Instructions:



This template contains recommended elements of an Investigation Plan to guide investigations. The NDIS Commission requires you to have a way to conduct an investigation into an incident to identify what caused it and how to prevent it from happening again. It is intended for senior staff with formal responsibility for conducting investigations as part of their role on behalf of their service.

This template can be edited and is general in nature and can be used as a guide according to the needs of your service and the supports it provides.



Investigation Plan Template

Investigator Name:

Position:

Expected Timeframe for completion of investigation:

Date Completed:

Clearly define/summarise the issue /incident that requires investigation:

Persons Involved (Parties to the incident/issue/complaint and any support people/family members) Use this section to list people who are identified at this stage as being involved in or are a party to the investigation and could include:

- The person impacted by the incident
- Staff member/volunteer or other parties being investigated (called respondent)
- Witnesses or potential witnesses (e.g. other people who may be able to provide relevant evidence, may have witnessed the alleged incident, or other People with additional information but who may not be eye-witnesses)
- Other supporters (e.g. person's advocate, communication support, family member, union representative).



Identify the issues to be investigated: This might include particular events, usage of equipment, procedural implementation, documentation and records. This will form the basis for your lines of enquiry

Tasks: Identify the flow of evidence collection who will complete and by when

Interviews x (n)

Documents to review (List these)



Evidence Matrix Analysis:

Use the following table to help set out the evidence required and analysis in a clear and coherent way.

Tip: See Identification and Analysis of Evidence Handout to inform this plan.

Information required to clarify issue	Evidence	Source of evidence	Comments	Evidence concurs/ inconsistent	Finding



Communication Plan:

Identify who will need to be kept regularly up to date about the status of the investigation, how and when and peoples communication needs and preferences.

TIP: See Communication Plan Handout to inform this plan

Stakeholder	What to communicate	How to communicate	When to communicate	Notes