



Government of **Western Australia**  
Department of **Communities**

# User Manual: Serious Incident Reporting

Guidance for Form Initiators and Form Approvers



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## Introduction

Serious incidents that affect people with disability must be reported by disability sector organisations (funded services) and by service provision areas of the Department of Communities (Communities). This is required under the *Disability Services Act 1993* and under providers' service agreements with Communities.

Note: For DSOs this only applies to Communities-funded services under a Communities DSPP Service Agreement (e.g., not NDIS funded services or other Communities-funded services).

Under the [Delivering Community Services in Partnership General Provisions for the Purchase of Community Services by Public Authorities](#), which is part of each organisations' service agreement, funded services are also required to report 'notifiable incidents'.

Funded services and service provision areas of Communities are required to submit a Serious Incident Reporting (SIR) Form when any of the following have occurred to a person with disability:

- death
- serious physical injury
- serious illness
- abuse (physical, sexual, neglect, financial, psychological)
- suspected abuse, where there are concerns for the person's welfare
- action by person with disability that results in any of the above or risk of any of the above
- other serious incident/s
- a 'notifiable incident', as described above (i.e., domestic violence, drug abuse).

All SIR Forms must be submitted within seven days of the serious incident occurring.

## Purpose

The purpose of this manual is to explain how to use the SIR Application System. It will provide assistance to:

- create a login to Communities' extranet (Disability Services Sign On)
- create an SIR Form
- lodge an SIR to Communities
- monitor the status of SIRs.

## Scope

This manual describes how to lodge an SIR Form by using the SIR Application System. It does not describe basic tasks such as:

- browser usage
- general web navigation skills.

## Intended audience

This manual is intended for employees of Communities and staff at funded services who may be required to lodge or approve an SIR.

## How to use this manual

This manual is intended to be a reference when you are performing specific tasks within the SIR Application System and used in conjunction with the Application.

It is recommended that you refer to the table of contents (pages 2 and 3) to find the section that covers the task you are about to perform and follow the step-by-step instructions.

## Prerequisites

### Understanding the SIR submission process

Funded services and Communities must ensure their employees are aware of the processes to follow when serious incidents occur. It is the funded services and Communities' service area's responsibility to respond to and manage the incident, separately from reporting it. This could include investigation, provision of support, evaluation of practices, or involvement of other parties such as the Western Australia Police Force.

Chief Executive Officers (CEOs)/Executive Directors and/or their nominated Form Approver(s) will be responsible for the review and approval of SIRs before submitting them to Communities' Consumer Liaison Officer (CLO).

It is important that action is taken to minimise the consequences of the serious incident and, where possible, prevent the occurrence of a similar serious incident in the future. Immediate actions taken to manage the situation should be recorded on the SIR Form. This will lessen the need for follow-up enquiries from Communities.

When an SIR Form has been created by a Form Initiator (FI), this will be sent to the Form Approver (FA) to review and approve. If there is insufficient information on the SIR Form, the FA can return this to the FI and request additional information to be included and resubmitted.

Once the FA has reviewed and approved the Form, it is submitted to the CLO at Communities. The CLO is responsible for reviewing all SIRs received.

If the SIR Form is not completed correctly, the CLO can reject the Form back to the FA, requesting it to be rectified and resubmitted.

Where follow-up information is required, this will be requested from the relevant Directorate Key Contact in Communities. Follow up requested from a funded service will occur through the organisation's Relationship and Contract Officer (RCO). The CLO also has the option to reassign SIRs to the CLO Service – to provide assistance in reviewing forms. If the SIR Form has incorrect or insufficient information, the CLO/CLO Service can return the SIR to the FA to have the Form updated and resubmitted.

When the CLO has reviewed SIRs and obtained additional information where required, the Form is submitted to Communities' Director General (DG) Delegate to review and approve. The DG Delegate can return SIRs back to the CLO if they determine further follow-up is required. Once the Form is approved by the DG Delegate, the CLO is notified. The CLO will then arrange for the SIR to be closed and filed. The FA/FI will also receive a notification to confirm that the SIR has been approved and closed.

Refer to the Appendices for flow diagrams, which illustrate the following processes:

1. SIR submission from FI through to the CLO
2. CLO review through to SIR approval and close.

## Technical requirements to access the SIR Application System

To obtain access to the SIR Application System you will need a:

- PC with internet connectivity
- log on to the Communities' Disability Services Sign On (DSC-SO) portal
- supported web browser.

Note: If you choose to use an unsupported browser, you may experience unforeseen technical difficulties which Communities will be unable to assist you with.

## User roles of the SIR Application System

There are two types of users who have access to the SIR Application System, each with slightly varying functionality.

- Form Initiator (FI)
  - Any user who has access to DSC-SO will also have access to SIR as an FI. This will allow the user to create a new SIR and submit it to their organisation's FA for verification before being approved for processing by Communities. An FI will only be able to view the SIRs they have created.

- Form Approver (FA)
  - FAs are appointed users at funded services or Communities who are responsible for reviewing any SIRs created by FIs before they are sent on to Communities' CLO. By default, for new organisations, the CEO will be defined as an FA. Additional FAs can be added or removed by an FA.

Note: You can determine the role assigned once you log into SIR by looking at the role next to your name in the top left corner of the screen.

## Other user roles in the SIR Application System

- Consumer Liaison Officer (CLO)
  - Responsible for reviewing and processing SIR Forms from the FA through to completion.
- CLO Service
  - Responsible for reviewing SIR Forms that have been reassigned by the CLO. The CLO Service is a support role to the CLO. Any SIR Forms the CLO Service reviews will be submitted back to the CLO to continue in the workflow process.
- DG Delegate
  - Responsible for reviewing and approving all SIR Forms submitted from both funded services and Communities-provided services.
- Directorate Key Contact
  - Responsible for coordinating responses to any follow-up requests that have been sent by the CLO or CLO Service. FI/FAs will not be directly involved in this process. Any follow-up requests that are sent may require further discussion with funded services or Communities' service area. In these situations, the RCO would contact the relevant organisation to seek further information.

## How to navigate the SIR Application System

The following information outlines instructions for how to navigate the SIR system. Demonstration videos are also available via the [Serious Incident Reporting webpage](#).

### Accessing the DSC Sign On portal

Only funded Disability Sector Organisations (DSOs) and Communities staff are permitted to access the SIR System.

Before you can use the SIR Application, you must first have access to Communities' DSC-SO. The SIR Application lives within the DSC-CO portal.

Each staff member (either from Communities, or from a DSO) requires a separate account, i.e., a separate email address, to be able to access the DSC-SO and SIR Application. Staff members should never share log in details.

### Existing users, including those who have access to other Communities applications

1. Via the [SIR webpage](#), access the [DSC-SO link](#) from the sidebar.
2. A log in screen will appear. Log in using your existing details.

Note: Communities staff can access the SIR Application System through the [Communities' Intranet](#).

### New users

1. Email [SIR\\_CLO@communities.wa.gov.au](mailto:SIR_CLO@communities.wa.gov.au) to request access. Include in the email your full name, work email address, telephone number and organisation.
2. You will then receive a system generated email with log in details. **Validation is required within five working days.**

Note: If you provide an email that is different from your organisation domain/website name, an additional approval process will be initiated for security reasons. You will be prompted to complete additional steps to finalise your access request. Ideally, you should not use personal email accounts.

Notification emails should be received within 10 minutes of submission. In some instances, for security purposes, someone within your organisation (DSO) may need to review the request. This generally occurs when you are not using your organisation's domain as part of your email address. In this instance you will not receive an email until it has been manually processed.

### Access is denied

In the event you are denied access, you will need to discuss this further with the individual identified in the email who works within your organisation who denied your access. Communities cannot assist you.

### Access is granted

Follow the prompts within the confirmation email to complete your account set up. This will include creating a password and agreeing to the DSC-SO Terms and Conditions.

### Accessing the SIR Application System

Once logged in to the DSC-SO, select the SIR icon to open the SIR Application System in your browser.

Note: A validation check is in place to ensure all SIR users have a valid organisation setup before they access the system. On rare occasions, an error screen can appear at this point. If that happens, select the organisation you are working for and click Save. Once you have done that, you will need to select the SIR icon again to gain access.

You will be presented with the SIR help page which provides details about the SIR process, how to obtain further information and links to reference and training material.

Once you have read the information, select 'Click here to access the dashboard'.

## The SIR dashboard

The SIR dashboard page is the 'home page' of the SIR Application System.

The header will display on every page of the SIR system and features:

- the program version number and environment you are logged into (i.e., training or production)
- an accessibility link
- a contact us link, which will direct you to contact details for SIR General Enquiries
- a 'Log out' button
- text size adjustment option
- your name and user position (i.e., Form Initiator).

Note: By default, all users who have access to DSC-SO will have FI access. Usually for DSOs, the CEO will be defined as an FA.

The dashboard also features two navigation tabs:

- 'Dashboard', to be able to quick access your dashboard.
- 'Help', to quick access the help page.

Note: If you select either of these buttons, any changes made on the current page are not saved. Where applicable, remember to press 'Save' first to ensure your changes are saved.

Two action buttons are also available:

- 'Create New SIR Form'
- 'Create From Existing SIR Form'.

Instruction for these action buttons can be found on pages 11 and 17 of this Manual.

The main section of your dashboard will display two grids.

### **Grid one: SIR Forms Awaiting Action**

This grid includes all SIR Forms that require action by you. You can click on the action column button to access the Form. The columns outline who created the Form (FI) and who approved the Form (FA if defined) and the last action that occurred with the Form.

If more than one page of information is shown, you can use the navigation arrows within the grid to navigate to the next/previous page or a specific page of data.

If you are an FA, you can review an SIR record created by an FI before it is sent to Communities' CLO. Refer to the 'How to review an SIR Form and either submit or reject' section and for details.

If you are an FI or FA, you can edit an SIR you have created previously. Refer to the 'How to edit an existing SIR Form' section for details.

You can export your list to Excel by pressing the 'Export to Excel' button. This may be useful where FIs are required to inform their managers of the SIRs that they are dealing with.

### **Grid two: SIR Forms**

This section enables the FI and FA to choose a number of different filters (available from the 'Current Filter' drop down arrow).

The following views and filter criteria are available:

- My Open SIRs (default view): SIRs created by the logged in user that have not been closed.
- All My SIRs: All SIRs created by the logged in user regardless of status.
- My Closed SIRs: SIRs created by the logged in user that have been closed or marked as a duplicate.

For example, 'All My SIR' will show all the Forms you have created, the status of these and who approved them. Click on the filter drop down arrow to see the range of filters you can choose from.

**Note:** FAs will be able to select filters based on all Forms they have created as well as see all Forms for their organisation and/or Communities-provided service.

The following views are only available for users who are FAs:

- My Organisation – Open SIRs (default view): SIRs created by any member of the same organisation of the FA that have not been closed.
- My Organisation – All SIRs: All SIRs created by any member of the same organisation of the FA regardless of status.
- My Organisation – Closed SIRs: All SIRs created by any member of the same organisation that have been closed or marked as a duplicate.

If more than one page of information is shown, you can use the navigation arrows within the grid to navigate to the next/previous page or a specific page of data.

You can export this list to Excel by pressing the 'Export to Excel' button.

## How to create a new SIR Form

When creating a new SIR Form, you don't have to complete it in one sitting. You can click the 'Save Form' button at any time. This will allow you to save entered data and resume the Form at a later time.

If you do not click 'Save Form' and exit the screen you are entering details on, or you click 'Return to Dashboard', that information will not be saved.

Note: If the incident you are reporting involves more than one person with disability, you will need to complete a separate SIR Form for each person involved in the incident. You will not be able to include all persons involved on one SIR Form. You can, however, reduce entry time once the first SIR is added by using the 'Copy SIR' functionality as defined in 'How to create a new SIR Form from an existing SIR'. Please ensure you link each of the Forms to indicate that they are related.

**Select 'Create New SIR Form' from the dashboard.**

### Part 1: Enter 'Consumer' details

The system will prompt you to select if the individual you are reporting about (referred to as the 'Consumer') is registered with Communities (i.e., the person is known to Communities) or not.

By selecting 'Yes', this means you will be able to search for the person's details from Communities' Consumer database. Where a person with disability has been deemed eligible for services, their details will be listed in the Consumer database.

By selecting 'No', this means that the Form you are creating applies to individuals that are participating in the NDIS, individuals self-managing their own supports and services, individuals receiving services through block funded arrangements, or services being paid some way other than under a Service Agreement (e.g., paid on invoice) or those otherwise not registered for supports. You will be required to manually enter in the personal details of the individual.

#### **Person is known to Communities**

A filter grid will appear.

Enter one or more of the filter fields (Given Name, Surname, Date of Birth) to enable you to find the individual you are supporting.

Once you see the individual you are supporting in the filtered list, click the link that reads 'Select' that corresponds to the individual. This will take you direct to the 'Personal Details' screen (Refer to 'Part 1.1: Enter Consumer personal details').

If the individual does not display after including all fields this may indicate the person is not registered in Communities' Consumer database or there is a system issue (i.e., Consumer details setup differently in the Consumer database).

If this occurs, you can click the 'Back' button and select 'No' to be able to manually enter the details.

### **Person is not known to Communities**

A personal details screen will appear.

## **Part 1.1: Enter Consumer personal details**

If you have entered the Personal Details screen by selecting a Consumer registered with Communities, you can only modify the Contact Details (Guardian) section of the Consumer selected.

Please also review home phone number, mobile number and email address details that are displayed and adjust if they are incorrect. You must have a value in at least one of these fields to proceed. In situations where the consumer does not have a contact number, it is suggested that the FI/FA enter their work number.

If the Consumer displayed is not the person you are looking for, select the 'Back' button to reselect another Consumer.

If you have entered the Personal Details screen by choosing to enter details for a consumer that is not registered with Communities, enter all fields.

At least one of the contact fields of home phone number, mobile number or email address must be entered. Please note: If the consumer does not have a contact number/email address, the DSO or Local Coordinator can include their contact details in this section.

Once completed, click 'Next'.

## **Part 2: Enter organisation details**

This section records details of the person submitting the SIR Form.

When SIR Forms are submitted by DSOs, the organisation name will be pre-populated. Communities-provided services will be required to select the relevant Directorate name from the drop list provided.

If you are not the person to contact in regard to the incident, then update the Contact Person and their contact details, otherwise ensure your details are correct.

Follow the prompts to complete this section, then select 'Next'.

### Part 3: Enter incident details

This section records information about the incident being reported. Follow the steps to complete, then select 'Next'. Click the 'Save' button regularly when completing this section as the system will time out after 60 minutes.

Tips for completing some components of the incident details section:

- What was the incident?
  - Clearly and concisely describe what happened: Who was involved, names of all parties, primary disability, nature of the incident, where and when the incident occurred.
  - Expand any acronyms used to make your report clear.
  - Please state whether the Consumer is an NDIS participant.
  - 500-word limit. If your description exceeds this, upload the details as an attachment, using the 'Upload attachment' button (accepted formats include Microsoft Word, Excel, PowerPoint, PDF, JPEG).
- Was the person in receipt of a Communities-funded service at the time of the incident?
  - If a person with disability passed away while at a hospital, they were not in receipt of a service at the time of incident.
  - If a person with disability passed away at the organisation's accommodation service, they were in receipt of a service at the time of the incident.
  - Similarly, if a person with disability assaulted another person with disability while in the organisation's accommodation service, they were in receipt of a service at the time of the incident.
  - If a person with disability assaulted another person with disability while in supported independent accommodation during a time that no direct support service was being provided, they were not in receipt of services at the time of the incident.
  - Where an incident occurs and the person with disability resides in their own home and had rostered support at the time of the incident, the person was in receipt of a service at the time of the incident.
  - Where a person with disability has been admitted to hospital they were not in receipt of a service at the time of the incident. The hospital has the responsibility of caring for the person whilst they are in hospital.

General note: If the person was not in receipt of a Communities-funded service (under a Service Agreement), they were not in receipt of a service for the purpose of SIR reporting.

- Incident categories (select one of the following categories which best describes the serious incident):
  - Abuse – if the abuse is witnessed, the person completing the Form should select the ‘abuse’ category. Once selected, you then choose the applicable abuse type.
  - If the abuse of a person with disability is suspected but not witnessed, the ‘concern for person’s welfare’ category should be selected. Once selected, choose the applicable suspected abuse type.
  - Where a person with disability has undertaken an action that has resulted in the SIR Form (e.g., had a behavioural issue, engaged in violent behaviour toward themselves or others, or been involved in the justice system), the ‘action by person with disability’ category is selected. Once selected, choose the most applicable action.
  - Where a person with disability has undertaken an action that has resulted in harm to themselves, the ‘action by person with disability’ category must be selected, followed by ‘self-harm’.
  - Where a person with disability is having thoughts of harming themselves, the ‘action by person with disability’ category must be selected, followed by ‘other’ with text describing the incident, i.e., ‘threat to self-harm’.
  - Where a person with disability has undertaken an action whereby they abscond, the ‘action by person with disability’ category must be selected, followed by ‘other’ with text describing the incident, i.e., ‘absconded from group home’.
  - Where a person with disability has incurred a serious injury, the ‘serious injury’ category is selected. When selecting this option, you will also be required to select the relevant cause from the list provided.
  - Where the incident refers to a complaint/threat against a person with disability or unjustified restrictive practice, select the ‘other serious incident’ category.
  - Notifiable incident category should only be selected if all other options do not apply. You will be required to detail in the incident type. When using this category, the incident must be serious in nature (i.e., evacuation of residents due to a hazard, carer arrangements or accommodation arrangements significantly breaking down).

## Part 4: Enter safeguarding details

This section allows for entry of the actions taken to safeguard the individual and others after the incident occurred.

Follow the steps to complete, then submit the Form to your organisation’s FA for review. Press the ‘Save’ button regularly when completing this section as the system will time out after 60 minutes.

Tips for completing some components of the safeguarding details section:

- What actions have been taken to manage the situation? (Please outline the below)
  - Steps you undertook to address the issue.

- Strategies that have been put in place to protect the individual. Have these been effective?
- Measures that have been put in place to minimise future risks.
- If the individual has a behaviour support plan or other plan in place, what changes were made because of the incident?
- Strategies that have been put in place to monitor the situation, particularly if you are not satisfied the person is no longer at risk.
- Attach relevant documentation to support what you are doing to manage the incident (i.e., action plan, behaviour support plan).
- Were other statutory agencies involved?
  - If you select 'Yes', you will be able to select the agency and the date notified.
  - Press the 'Add Agency' button.
  - If more than one agency is involved, you can repeat the process as many times as required by selecting another agency from the list, enter in the date notified and select 'Add Agency' again.
  - If you have made a mistake, you can select the 'Remove' button for the agency you want to remove from the list.
- Is the organisation satisfied that the person is no longer at risk?
  - If you select 'No', ensure you outline what you are doing to monitor and review the situation in the 'what actions have you taken to manage' section.
- Has a People and Risk (PAR) plan been developed?
  - The PAR only relates to Communities-provided services. If you are a DSO and submitting an SIR Form, this section will be hidden.
- Local Coordinator's name
  - The system will default this value if held by Communities, but if incorrect or absent, update as required. If not known, leave it blank.
- Local Coordinator informed?
  - Select either 'Yes', 'No' or 'Unknown', or leave blank if there is no Local Coordinator entered.

## Part 5: Review

This section of the Form allows you to verify details entered, link related SIR Forms and submit the SIR Form for review by your organisation's FA.

Please ensure all details are correct before proceeding. To navigate quickly between parts of the Form, you can use the 'Skip to' links on the right-hand side of the page.

If you need to adjust details of the SIR Form, you can navigate back by selecting the part you wish to adjust and then select the 'Edit' button.

You may wish to link the current SIR Form to other SIR Forms if they relate to the same incident (for example, if multiple people with disability were involved). To link SIRs, navigate to the 'Linked SIR Forms' section and press the 'Link to other SIR Forms' button.

Enter in the Given Name and Surname of the individual you wish to search for to filter the SIR list and press the 'Search' button.

You can select one or more SIR Forms by selecting the checkbox and then press the 'Add Related SIR Form' button.

You can repeat the process as many times as required by selecting the 'Link to other SIR Forms' again.

If you have made a mistake, you can select the 'Remove Link' button for the SIR you wish to remove from the list. This option is very useful where there have been multiple incidents for the same person. You can link the previous SIR Forms related to the person. FIs can only link SIR Forms that they have created. FAs will have the ability to see all SIRs for their organisation/Communities-service area and will be able to link other related SIR Forms for the same individual if required.

Once you are happy that all information is correct, you are required to complete the 'Submission Checklist' if you wish to submit the SIR Form to an FA.

Select all declaration checkboxes and then press the 'Submit to FA' button. This will prevent you from making further changes to your SIR Form and send it to the FA for review and subsequent submission to Communities. The system will automatically send an email to FAs notifying them the SIR Form requires review and submission.

Note: If the SIR submission is not completed correctly, either the FA or Communities can reject the SIR Form and send it back to you for further information. If this is the case, you will be notified by email. The reason for rejection will be provided when you review the SIR Form. Rejected SIR Forms will appear on your dashboard under 'SIR Forms Awaiting My Action'.

If you wish to exit the Form without submitting to the FA, press the 'Return to Dashboard' button. By reaching this stage of the process, the SIR Form has automatically been saved.

## **How to create a new SIR Form from an existing SIR**

This feature should only be used when more than one individual was involved in the incident you are reporting.

It will allow for the selection of a different Consumer and will not copy any attachments. It will copy the SIR details from the following sections:

- Part 2: Enter organisation details
- Part 3: Enter incident details
- Part 4: Enter safeguarding details.

When using this option please ensure you review each section of the Form to ensure that this relates to the other persons involved in the incident. Please take care when changing the incident details, incident category and safeguarding details.

Starting from your dashboard, select the 'Create from Existing SIR Form' button.

Enter in one or more of the filter fields: Given name, Surname, Incident date, Incident category or SIR Number to enable you to find the SIR record you wish to copy.

**Note:** FIs will only see SIR Forms they created, while FAs will see all SIR Forms for their organisation.

Click the 'Select' button next to the SIR record you wish to copy to create a new SIR record.

The system will prompt you if you wish to link the two SIRs together. Select 'Yes' or 'No', or if you wish to select another SIR record, press 'Cancel'.

You will now be required to select the Consumer. Once the Consumer is selected, you will be able to review all data copied from the previous SIR record (from Parts 2 to 4).

## How to delete an SIR Form

When creating an SIR Form, there may be instances where you wish to delete what was created. As long as the SIR remains in draft state and has not been sent to Communities, it can be deleted. To delete an SIR Form, follow the steps below:

- Starting from your dashboard, select the 'View' button of the SIR Form you wish to delete.
- The SIR Form will open. Review to make sure it is the record you want to delete and then press the 'Delete' button.
- The system will ask you to confirm deletion and if you select 'Yes', the SIR Form is deleted, and you will be returned to your dashboard.

## How to edit an existing SIR Form

SIR Forms can only be edited when you have ownership of the record. If this action is available to you, an 'Edit' button will appear next to the SIR Form in the 'Action' column, otherwise it will display 'View'.

Starting from your dashboard, select the 'Edit' button in the action column of the SIR Form you wish to edit.

Refer to Parts 1 to 5 within the 'How to create a new SIR Form' for guidance.

Note: If the 'Edit' button is not displayed in the action column, then the SIR Form is not in draft mode and cannot be edited.

You will not be able to modify a Consumer SIR record if the previously selected value was incorrect. In this instance, you will need to delete the SIR Form and start again.

## How to view an existing SIR Form

If an SIR Form appears on your dashboard, you have permission to view its contents.

The Form would be in 'View' mode where you have either created the SIR Form as the FI or approved the SIR Form as the FA and the SIR has been submitted to Communities.

Starting from your dashboard, select the 'View' button in the action column of the SIR Form you wish to view.

The SIR Form will open. You can use the 'Skip to' links on the right-hand side to easily navigate to the sections you wish to view.

To exit the SIR, press the 'Return to Dashboard' button.

## How to run the PDF report

### For FIs

An additional function has been established to provide FIs with the ability to run a PDF report once an SIR has been created and saved.

This will enable FIs to email the PDF report to their line manager if required.

Starting from your dashboard: There will be an option in the grid next to the 'Action' column that reads 'Report'. This option will appear when an SIR Form has been created.

Click on the link that reads 'Report'. Upon loading, you will be asked click either 'Yes' or 'No'. When selecting 'Yes', you agree that the information in the report is confidential and is not to be distributed to any other party outside your organisation.

### For FAs

An additional function has been established to provide FAs with the ability to run a Report at any stage of the SIR process.

This report will enable FAs to keep their CEO/Communities Executive Director's informed of any key SIR Forms submitted.

Starting from your dashboard: There will be an option in the grid next to the 'Action' column that reads 'Report'. This option will appear when an SIR Form has been created.

Click on the link that reads 'Report'. Upon loading, you will be asked click either 'Yes' or 'No'. When selecting 'Yes', you agree that the information in the report is confidential and is not to be distributed to any other party outside your organisation.

## Specific information for FAs

### How to review an SIR Form and either submit or reject

As an FA, you will receive an email notification from either an FI asking you to review their SIR Form, or from Communities' CLO and/or CLO Service rejecting an SIR Form which you previously submitted to Communities. Each of these SIR Forms will appear on your dashboard under 'SIR Forms Awaiting My Action'.

From the dashboard, select an SIR Form which has the 'Review' button in the action column. All parts of the Form as entered will be displayed on the screen. Please review all details and ensure they are accurate before proceeding.

If the Form was rejected by Communities' CLO, the reason for rejection will appear in a comment box at the top of the screen on the review page.

If you need to adjust details of the SIR Form, you can navigate by selecting the part you wish to adjust and then select the 'Edit' button.

Once you are satisfied that all information is correct and ready for submission or resubmission to Communities, you must complete the Submission Checklist.

Select all declaration checkboxes and then press the 'Submit to CLO' button. This will prevent your organisation from making any further changes to your SIR Form and it will be sent to Communities for processing.

If the information is incomplete or inaccurate and you are unable to complete the SIR Form yourself, you can reject the Form and send it back to the FI to correct by pressing the 'Reject to FI' button.

If you want to exit the Form without submitting to the CLO, press the 'Return to Dashboard' button.

### How to reassign ownership of an SIR Form

As an FA, when you approve an SIR Form to be sent to Communities' CLO, you become a key contact for Communities should any issues with the SIR Form occur. In the event that an FA is unavailable, other FAs can take ownership of any SIR Forms that have not yet been closed.

Starting from your dashboard, select the 'Assign Approver to Me' button in the action column of the SIR Form you wish to take ownership of. This will change the FA to yourself.

## How to maintain FAs

As an FA, the system will allow you to allocate additional FAs to your organisation or remove existing FAs. This may be beneficial should an FA not be available at any given time or in the case of personnel changes.

To allocate a new FA, the user must have logged into the SIR Application System at least once before. They are not required to have created an SIR record.

Starting from your dashboard, select the 'Manage Form Approvers' button.

This will display the 'Manage Form Approvers' page which displays users in two lists. The first list of users displays the current FAs for your organisation. You use this list to remove FA access from an existing user.

You can filter this by typing in the Name or Email columns to find the person you are looking for. You can select the 'Remove Approver Role' button from the FA you want to remove the FA role from.

**Note:** You cannot remove yourself as an FA. You will need another FA to complete this action.

The second list of users displays all current FIs for your organisation. You use this list to allocate FA access to an existing user.

You can filter this by typing in the Name or Email columns to find the person you are looking for. You can select the 'Assign Approver Role' button for the FI you wish to add to the FA role from.

If the user you are looking for is not in the list, please ensure they have logged into the SIR Application previously.

## Specific information for DSO Authorising Officers

By default, all DSOs funded by Communities are granted one or more Authorising Officers to administer DSC-SO logon requests which are required to access SIR and any other applications that Communities provides.

An Authorising Officer's responsibility is to confirm the identity of staff who are requesting access to Communities' extranet.

### Administering the Request for Access

When a user attempts to create a logon to DSC-SO (as detailed in the 'Accessing the DSC Sign On portal' section), where their email address does not use the domain address of an organisation, Communities is unable to automatically accept the request and the Authorising Officer of the organisation the user claims to be from must authenticate the user's request.

When a request for logon is made, an email is triggered to the organisation's Authorising Officer to authorise access. The email message will contain the details of the authorisation required.

For organisations with more than one Authorising Officer, the first Authorising Officer to respond will approve or reject the request.

Click the link in the email notification to review the authorisation request.

**Note:** The Authorising Officer is required to login to DSC-SO before they can review the request.

Once logged in, the Authorising Officer will see the 'Authorise Access Request' page containing the details of the person requesting access.

The Authorising Officer needs to choose to deny or approve access.

### **Approving access**

Where you can verify the identity of the person requesting a login, select 'Approve Access'. An email will be sent to inform the user that their access request has been accepted.

### **Rejecting access**

If you are unable to verify the identity of the person, you must reject the request by selecting the 'Deny Access' button. You will be prompted to provide a reason.

Press the 'Cancel' button to return to the Access Request page or press the 'Continue' button once you have entered a reason.

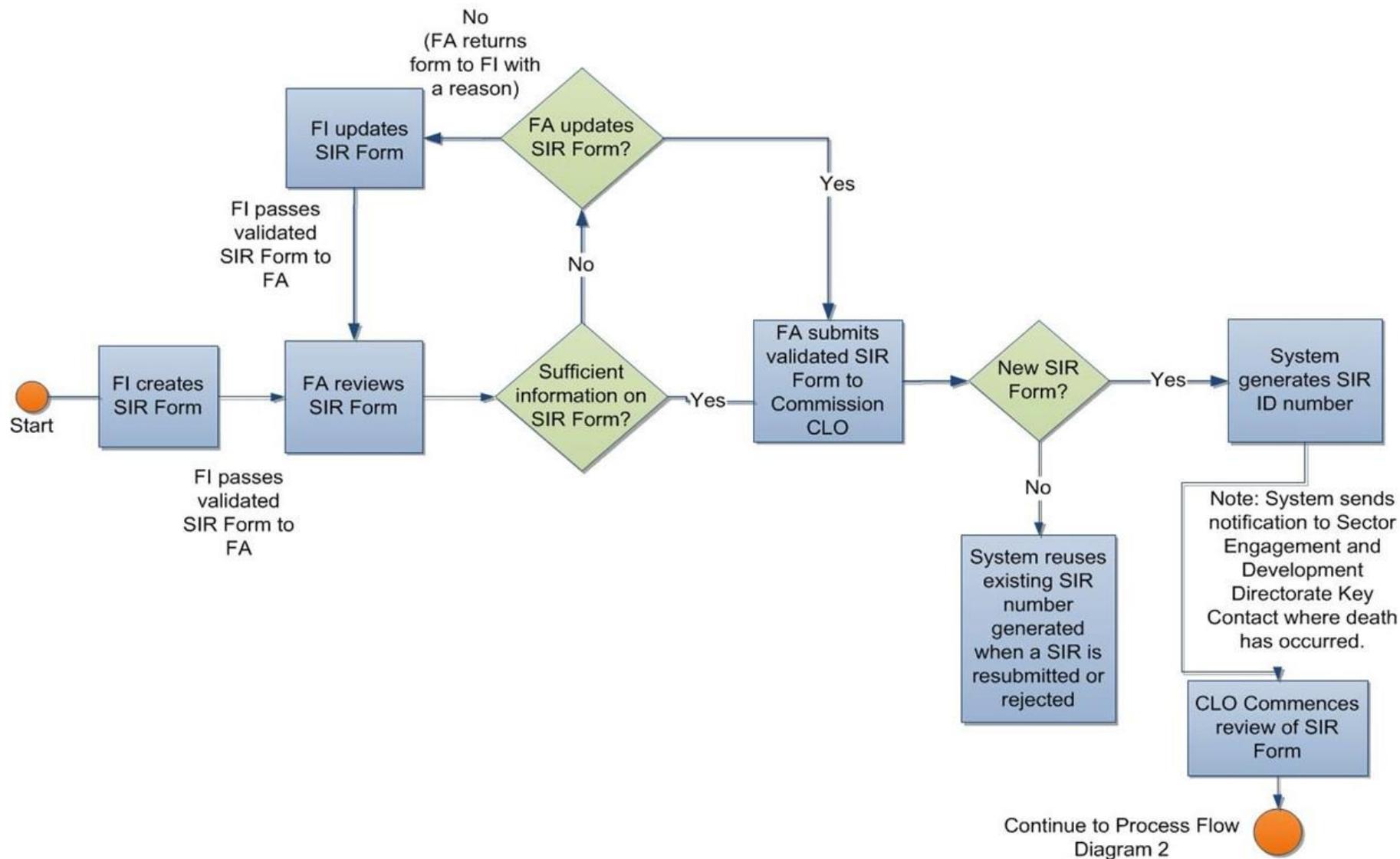
The person who submitted the request will receive an email stating that their request was rejected and the reason why.

## **Further information**

If you require further assistance to complete an SIR Form (not technical assistance):

- Email: [SIR\\_CLO@communities.wa.gov.au](mailto:SIR_CLO@communities.wa.gov.au).
- Telephone: 1800 333 325 (choose option 3).

## Appendix 1: Process Flow Diagram 1 – SIR submission: FI through to CLO



## Appendix 2: Process Flow Diagram 2 – CLO review to SIR approval and close

