

## Incident Management Procedure

### PURPOSE & SCOPE

The Incident Management Procedure has been developed to outline the key steps, actions, tasks and responsibilities for effectively managing incidents.

The procedure covers the reporting, communication, management, review, and monitoring of incidents to promote safety, minimize re-occurrence and manage any associated risks at Able Australia.

Relevant privacy and confidentiality of incidents must be respected at all times and considered during incident review, management and escalation.

Able Australia understands the importance of incident reporting and investigation and has developed an incident and hazard inspection, reporting and maintenance program to minimize workplace accidents, incidents and dangerous occurrences. This is facilitated and maintained through an internal incident management system, "Tickit".

### DEFINITIONS AND ABBREVIATIONS

**Allegation** refers to a claim or assertion that any incident has occurred. This is typically made without proof.

**Client** refers to any individual who is eligible for or receiving services from Able Australia.

**Employee Assistance Program (EAP)** refers to a confidential, short term, counselling service for employees to access qualified professionals to assist with issues that may affect their work.

**Harm** is the resulting impact of an act, omission, event or circumstance that occurs, and can include physical, emotional, financial or psychological impacts such as physical injuries, emotional impacts such as fear or poor self-esteem, financial impact such as a loss of funds, and psychological impacts such as depression or impacts on a person's learning and development.

**Incident** refers to any act, omission, event or circumstance which causes or could have caused injury, illness, damage or harm to person, equipment, vehicles, property, material, or the environment or public alarm. It also includes losses of containment (leak, spill of dangerous substances), fire, explosion, non-compliance with environmental regulatory requirements (including breaches of privacy), vehicle incidents and off-site incidents that occur in connection with the provision of Able Australia Supports or Services.

**Incident Severity** refers to how severe an incident is. See Able Australia's Incident Risk and Severity Rating Guide

**Mandatory Reporting** refers to the legal/regulatory requirement for certain professional groups to report e.g. a reasonable belief of physical or sexual abuse of a person with a cognitive deficit

**NDIS** refers to the National Disability Insurance Scheme

**NDIS Commission** refers to The NDIS Quality and Safeguards Commission

**NDIS Commission Reportable Incidents** are determined by the NDIS Commission, and include a range of serious incidents that require reporting. See Incident procedure for more details.

**Stakeholder** includes any person with an interest or concern in the incident e.g. those involved, their families/supports, guardians, doctors, service providers etc.

**TAC** refers to the Transport Accident Commission operating in Victoria.

**TAC Serious Incidents** are determined by TAC, and include a range of incidents that require reporting. See Incident procedure for more details.

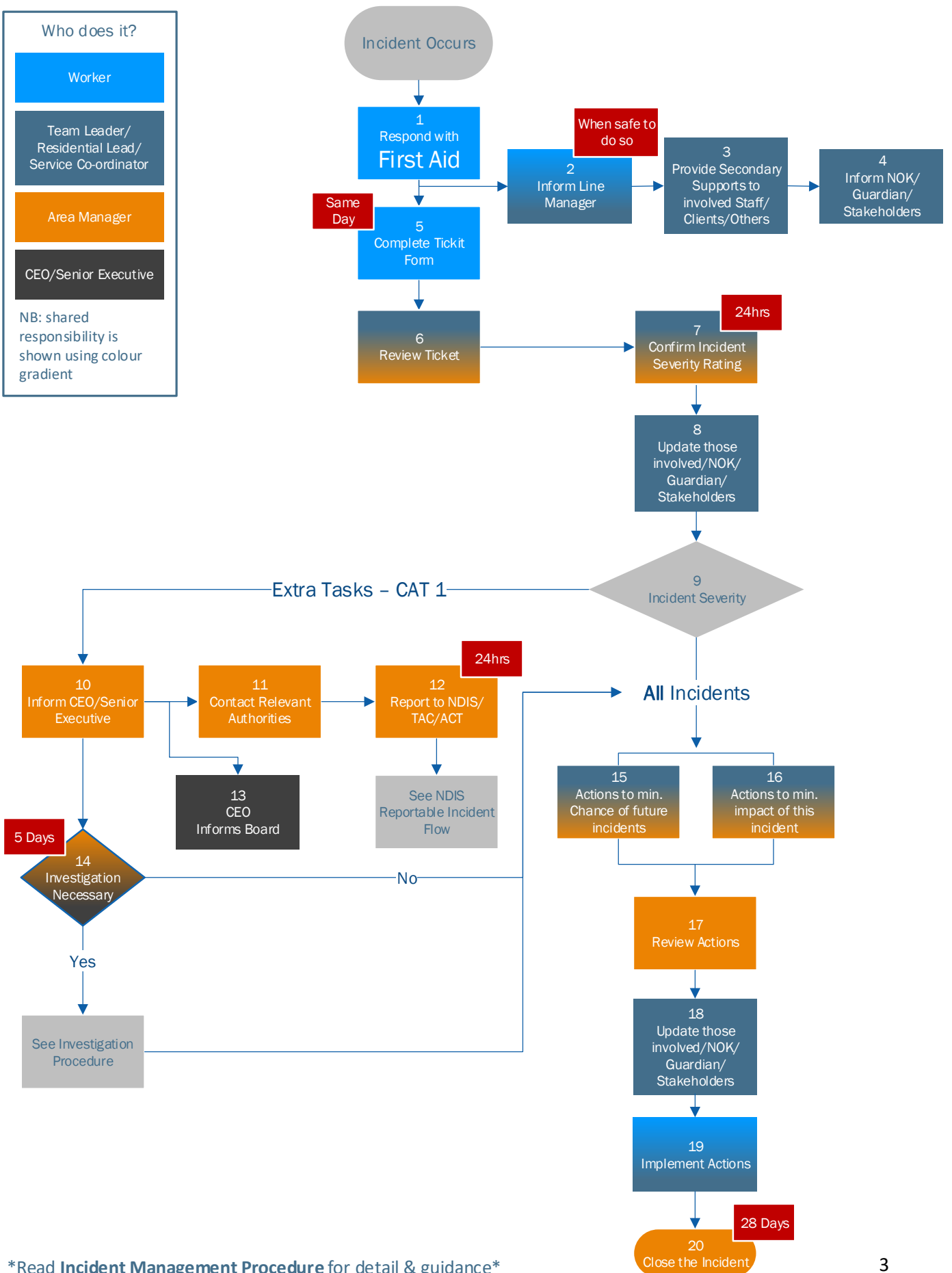
**Tickit** refers to the *Tickit* internal incident management software system used to record, manage and report on incidents, risk and actions for Able Australia.

# Flow Diagram

**Who does it?**

- Worker
- Team Leader/  
Residential Lead/  
Service Co-ordinator
- Area Manager
- CEO/Senior Executive

NB: shared responsibility is shown using colour gradient



\*Read Incident Management Procedure for detail & guidance\*



**Incident Management Procedure**

**HOW TO REPORT INCIDENTS**

\*\*Refer to the Incident Flow chart when viewing info below

#	Name	Role responsible	Description
1	Respond with First Aid	Worker who witnesses	<p>When an incident/allegation occurs <b>immediate</b> care should be provided, following First Aid procedures. This should be the first response, and be done by the worker on scene if safe to do so. If in doubt, emergency services should be called (000) to help assess the urgency and actions required for potential emergencies.</p> <p>First aid is only to be ceased when medical/other support arrive to administer aid, all individuals involved are safe, or you are too physically exhausted to continue.</p> <p>If an incident escalates to requiring emergency services (including fire, police, ambulance) and safety is at risk, emergency services should be contacted prior to or alongside notifying Area Managers/CEO/Senior Executive.</p> <p>Every Able Australia employee/worker/volunteer who works with clients must have a valid First Aid certificate (see Learning &amp; Development Policy Mandatory Requirements). Within Able Australia offices, there will be a first aid officer available at all times.</p>
2	Inform Line Manager	Worker & Team Leader/ Residential Lead/ Service Co-ordinator	<p>Your Line Manager is to be informed <b>once you cease providing assistance</b>. Assistance is to be ceased when medical/other support arrive to assist, all individuals involved are safe, or you are too physically exhausted to continue. A worker is to inform the Service Coordinator/Residential Service Lead, who will then escalate to the Area Manager. Area Managers and Team Leaders are to provide guidance on managing the incident where necessary, referring to policy and procedure.</p> <p><i>Use your team!</i> If you are busy supporting those involved in the incident, ask another staff member to inform the line manager to seek support &amp; guidance for what to do next.</p>

3	Provide Secondary Supports to involved staff/clients/others	Team Leader/ Residential Lead/ Service Co-ordinator	<p>Service Coordinator/Residential Service Leads are to ensure that throughout the incident management all staff, clients and any others involved in the incident are offered and supported to access secondary supports. Secondary supports could include opportunity to discuss the incident, involvement in resolution planning, follow-up appointments, counselling and/or education. These supports may be accessed through Employee Assistance Program (EAP), direct supervisors, external agencies/services, or through colleague/group supports. If there has been harm to an individual a follow-up medical appointment should be booked.</p> <p>Service Coordinator/Residential Service Lead will also extend apologies and regret for the incident having occurred to those involved. This is not an admission of guilt, but a sign of empathy and regret for the circumstances.</p>
4	Inform Next Of Kin (NOK)/Guardian/ Stakeholders (with consent)	Team Leader/ Residential Lead/ Service Co-ordinator	<p>Legal Guardians must be informed of any incidents that occur involving clients, especially for those who are unable to provide consent. If a client/staff person involved in an incident has the capacity to consent, consent should be obtained prior to informing client/staff's NOK/parents/partners/Guardians/other services. Able will not contact/inform parties whom they do not have consent to contact.</p> <p>Service Coordinator/Residential Service Lead will also extend apologies and regret to Guardian/NOK for the incident having occurred. This is not an admission of guilt, but a sign of empathy and regret for the circumstances.</p> <p>Where a client/staff is unable to consent due to the incident, NOK may be contacted to brief them of the circumstances.</p> <p>This contact will be performed by the Service Coordinator/Residential Service Lead or Area Manager, not by the individual worker. Unless confidentiality is required to safeguard the integrity of the investigation process, the information provided should include a brief description of the incident, the outcome, and details of the process from this point – providing only facts (e.g. “RD has a bruise on their arm. Staff reported it was due to a minor fall. We will review the information, and provide regular updates as we understand the incident further.”).</p> <p><i>Photos</i></p> <p>If photos of clients' injuries are required for therapeutic and/or evidentiary purposes consent must be obtained from the client and/or their guardian at this stage (prior to photo being taken). Photos of a client's intimate personal areas (genitalia, breasts, bottom) will only be taken by a medical practitioner or forensic practitioner. The taking of photos must be approved by an Area Manager or Senior Executive only.</p>
5	Complete Tickit Form	Worker	<p>The Worker who witnessed the incident will complete the incident form in Ticket, including all facts and information as they know them. This will be completed on the <b>same day</b> as the incident.</p>

6	Review Tickit Form	Team Leader/ Residential Lead/ Service Co-ordinator & Area Manager	The Ticket incident will be reviewed by a Service Coordinator/Residential Service Lead, who may ask questions of staff or others involved to gather more information about the incident, and assign a Severity Rating. Once complete, this will be reviewed by an Area Manger – who may ask further questions, and will approve/amend the assigned Severity Rating.
7	Confirm Incident Severity Rating	Team Leader/ Residential Lead/ Service Co-ordinator & Area Manager	
8	Update those involved/NOK/Guardian/Stakeholders	Team Leader/Residential Lead/Service Co-ordinator	<p>Following the same principles in 'Informing Next of Kin/Guardian/Stakeholders', those informed of the incident will be updated. People involved in the incident will be asked if they would like to be updated at this stage also. Information on next steps will be explained based on the Severity Rating of the incident.</p> <p><i>E.g. "We have rated this a Category 1, reportable incident. This means that we will be reporting it to the NDIS commission, informing our CEO, Board, and Senior Executives. We will assess the incident information to decide if an investigation is necessary or not and let you know what happens then."</i></p>
9	Incident Severity	-Decision-	All incidents will follow the 'All Incidents' flow, including setting actions, reviewing them, and implementing them. Alongside this, Category 1 incidents will be escalated, reported on and assessed for need for investigation.
10	Inform CEO/Senior Executive	Area Manager	<p>For Category 1 incidents the Area Manager will inform the CEO and their Senior Executive of the incident.</p> <p>If an incident escalates to requiring emergency services (including fire, police, ambulance) and safety is at risk, emergency services should be contacted prior to or alongside notifying Area Managers/CEO/Senior Executive.</p>
11	Contact Relevant Authorities	Area Manager	<p>Depending on the nature of the incident and those involved, Able Australia may be mandated to contact the police or other authorities. Able Australia is subject to each state's legislation on Mandatory Reporting of neglect and abuse of people with disabilities. Certain types of abuse such as financial, physical and sexual abuse are a criminal offences, and according to legislation criminal acts must be reported to law enforcement. See Allegation of Abuse, Unexplained Injury and Neglect Procedure.</p> <p>Able Australia is committed to working with all authorities in a transparent and open manner and will seek support and feedback from authorities to improve quality services.</p>

			If an incident escalates to requiring emergency services (including fire, police, ambulance) and safety is at risk, emergency services should be contacted prior to or at the same time as notifying Area Managers/CEO/Senior Executive.
12	Report to NDIS/TAC/ACT	Area Manager	<p>Able Australia provides supports to participants funded by the National Disability Insurance Scheme (including Continuation of Supports), Transport Accident Commission (Vic only), and Depart of Communities (QLD only). Each funding body has set criteria for categorising types of incidents that need to be reported. The Area Manager is expected to familiarise themselves with the reportable incident criteria, timeframes and methods for their funded programs. Further details below.</p> <p><b>NDIS Commission Reportable Incidents – Report within 24hrs</b></p> <p>For an incident to be reportable a certain act or event needs to have happened (or alleged to have happened) in connection with the provision of supports or services by the registered NDIS provider. This includes:</p> <ul style="list-style-type: none"> <li>• The death of a person with disability</li> <li>• Serious injury of a person with disability</li> <li>• Abuse or neglect of a person with disability</li> <li>• Unlawful sexual or physical contact with, or assault of, a person with disability</li> <li>• Sexual misconduct, committed against, or in the presence of, a person with disability, including grooming of the person with disability for sexual activity</li> <li>• Unauthorised use of restrictive practices in relation to a person with disability. <b>(report within 5-days of notification)</b></li> </ul> <p>Registered NDIS providers must notify the NDIS Commission of all reportable incidents (including allegations), even where the provider has recorded and responded within their own incident management system. The <a href="#">'Reportable Incidents Guidance' document</a> was developed to support the NDIS Quality and Safeguards Commission Rules. You can also find more information on the NDIS Commission Website: <a href="https://www.ndiscommission.gov.au/providers/incident-management-and-reportable-incidents">https://www.ndiscommission.gov.au/providers/incident-management-and-reportable-incidents</a></p> <p><b>A 5-day Report</b> will be required including findings of preliminary investigations, and updated information on the outcomes of the incident, details of those involved, and whether an investigation will be conducted or not. See further detail of process in NDIS Commission Reportable Incidents and Unauthorised Restrictive Practice Flow diagram.</p> <p><b>Transport Accident Commission (Vic only) Serious Incident Reporting - Report within 24hrs</b></p> <p>A 'serious incident' is where suspicion, complaint, allegation or other evidence is received or obtained regarding:</p> <ul style="list-style-type: none"> <li>• the death of, or serious injury to, a client/injured worker</li> </ul>

			<ul style="list-style-type: none"> <li>• a health, safety, abuse or unspecified risk to a client/injured worker</li> <li>• a provider experiencing significant organisational disruption or mismanagement</li> <li>• the ongoing financial viability of the Disability Service Provider; or</li> <li>• alleged fraudulent or illegal conduct.</li> </ul> <p>If one of the above incidents has occurred in connection with TAC service provision, a serious incident form is required to be filled in and submitted to TAC. Find more information here:  <a href="http://www.tac.vic.gov.au/_data/assets/pdf_file/0020/180236/Provider-Serious-Incident-Reporting-Guidelines.pdf">http://www.tac.vic.gov.au/_data/assets/pdf_file/0020/180236/Provider-Serious-Incident-Reporting-Guidelines.pdf</a></p> <p><b>Department of Communities (QLD only) Critical Incident Reporting – 5pm next business day</b>  <b>Relevant Critical Incidents, Level 1 Include:</b></p> <ul style="list-style-type: none"> <li>• Death of a person</li> <li>• Life threatening injury to a person</li> <li>• Major Security incident</li> </ul> <p><b>Relevant Critical Incidents Level 2 Include:</b></p> <ul style="list-style-type: none"> <li>• Serious Injury to a person that results in hospitalisation</li> <li>• Alleged rape, sexual assault or serious assault</li> <li>• Attempted Suicide</li> <li>• Missing child</li> <li>• Missing Person</li> <li>• Alleged abuse, neglect or exploitation of a person with a disability</li> </ul> <p>Disability - Critical incident policy  <a href="https://www.communities.qld.gov.au/resources/dcdss/disability/service-providers/critical-incident-policy.pdf">https://www.communities.qld.gov.au/resources/dcdss/disability/service-providers/critical-incident-policy.pdf</a>  Report form  <a href="https://www.communities.qld.gov.au/resources/dcdss/industry-partners/funding-grants/specifications/diversion-centre-critical-incidentreport.pdf">https://www.communities.qld.gov.au/resources/dcdss/industry-partners/funding-grants/specifications/diversion-centre-critical-incidentreport.pdf</a></p>
<b>13</b>	CEO Informs Board	CEO	The CEO will then inform the Board as required.
<b>14</b>	Investigation Necessary	Area Manager & Senior Executives	Area Managers and Senior Executives will consult to decide if an investigation is necessary. This will be decided in line with the Investigation Procedure. If an investigation is deemed necessary, the investigation procedure will be followed (see <i>Able Australia Investigation Procedure</i> ). Ongoing updates and actions will be revised and discussed, as appropriate, with those involved /NOK/Guardian/Other Stakeholders and relevant reporting bodies (e.g. NDIS Commission if reportable incident).



	ACTIONS	Guidance	<p>Suggested actions can be minor or major, but should be <b>SMART</b> (Specific, Measurable, Achievable, Relevant and Time-bound). Some questions to help when creating actions are:</p> <ul style="list-style-type: none"> <li>• Specifically what will you do?</li> <li>• How will you know when it's done (what can you measure)?</li> <li>• Are you sure it <i>can</i> be done?</li> <li>• Is it connected with the incident/will it do what's intended? (e.g. will it make the person feel safer)</li> <li>• What is the timeframe you will do it in?</li> <li>• Who will do it?</li> </ul>
15	Actions to minimise Chance of future incidents	Team Leader/ Residential Lead/ Service Co-ordinator & Area Manager	The Service Coordinator/Residential Service Lead, in consultation with the Area Manager, will discuss and agree upon actions to minimise the chance of similar incidents occurring in the future. Depending on the nature of the incident this could include staff education and training, changes to systems or processes, changes to physical structures/maintenance, changes to supports, or a range of other things.
16	Actions to minimise impact of this incident	Team Leader/ Residential Lead/ Service Co-ordinator & Area Manager	The Service Coordinator/Residential Service Lead, in consultation with the Area Manager, will discuss and decide on actions to minimise the impact of this incident. These actions will be designed to manage and support those involved, and reduce any negative effects of the incident. These actions will be highly dependent on the incident itself. E.g. if an item is broken, one action could be getting it fixed or replaced; if an impact of an aggressive behaviour is potential staff distress/concern, one action could be staff debrief & guidance.
17	Review Actions	Area Manager	The Area manager will review actions to ensure they are SMART (specific, measurable, achievable, relevant and time bound). If they meet criteria, Area Managers will approve the actions, update Tickit, and let the Service Coordinator/Residential Service Lead know to proceed.
18	Update those involved/NOK/Guardian/Stakeholders	Team Leader	Following the same principles in 'Informing Next of Kin/Guardian/Stakeholders', those informed of the incident will be updated. Those involved in the incident will be asked if they would like to be updated at this stage also. Unless confidentiality is required to safeguard the integrity of the investigation process (see <i>Able Australia Investigation Procedure</i> ), the Service Coordinator/Residential Service Lead is to take the time to explain and discuss the proposed actions, and seek input and feedback from those involved, their supports and other stakeholders.
19	Implement Actions		<p>The relevant worker assigned the action then implements the proposed actions, involving all of the relevant stakeholders, clients, staff and others as required.</p> <p>In some instances, as a learning organisation, learnings from the incident will be shared with relevant stakeholders more broadly.</p>

<b>20</b>	Close the Incident		<p>Provided all of the steps have been completed, any investigation has been concluded, and the incident is resolved with appropriate actions taken, the incident can be closed in Tickit by the Area Manager. Able Australia aim to have 90% of incidents closed within 28 days. Incidents requiring investigation may take up-to 60 days for actions to be reported.</p> <p>Those involved in the incident as well as any authorities notified, and/or reported to should be notified of the closure. Unless confidentiality is required to safeguard individuals involved, the Service Coordinator/Residential Service Lead is to take the time to explain and discuss the proposed actions, and seek input and feedback from those involved, their supports and other stakeholders.</p>

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### MONITORING, RECORDING, REPORTING, ANALYSIS

Incidents will be monitored for trends and patterns and reported on a regular basis through Able Australia's Committee structure. Teams will also have access to incident data and information, which should be discussed at team meetings to inform best practice. This will create a learning environment and drive service improvements.

### Audit

Compliance in reporting against this procedure will be part of Able Australia's Internal Audit process. This will include adequacy, timeliness and quality of reporting.

### RELATED DOCUMENTS

- Allegation of Abuse, Unexplained Injury and Neglect Procedure
- Complaints & Feedback Policy
- Incident Management Policy
- Incident and Risk Severity Rating Guide
- Investigation Procedure
- Learning & Development Policy
- Motor Vehicle Policy
- NDIS Restrictive Practice Monthly Reporting Flow
- [NDIS Commission Incident Management and Reportable Incidents \(NDIS Providers\)](#)
- Restrictive Practices Policy
- Workers Compensation & Rehabilitation Flow & Procedure

### DOCUMENTS REFERENCED

- [Aged Care Open Disclosure Framework and Guidance \(2019\), Aged Care Quality and Safety Commission](#)
- [Aged Care Quality Standards 2019](#)
- [National Disability Insurance Scheme \(Code of Conduct\) Rules 2018](#)
- [National Disability Insurance Scheme \(Provider Registration and Practice Standards\) Rules 2018](#)
- [NDIS \(Incident Management and Reportable Incident\) Rules 2018](#)
- [NDIS Commission 'Reportable Incidents Guidance' document](#)
- [NDIS Practice Standards and Quality Indicators July 2018](#)
- [NDIS Reportable Incidents Frequently Asked Questions](#)
- [Open disclosure Guidelines – Aged Care](#)