



Incident Reporting and Management Guidelines

Purpose

The *Incident Reporting and Management Guidelines* provides guidelines to

- Articulate a consistent and coordinated approach to identifying, reporting, managing and investigating incidents
- Outline staff requirements for reporting and managing incidents relating to the people we support
- Document a process to meet corporate, executive and legislative requirements and obligations
- Ensure that any knowledge gained through undertaking systematic analysis and review activities is used to enhance relevant policies, procedures, guidelines and operational practices.

Scope and application

As a sole trader I would be required to respond to and report incidents in accordance with the principles and processes outlined in this document and the Policy.

Category 1 Incidents

- Anyone who forms part of the services rendered who has engaged in an incident giving rise or harm to a child or young person for which a report is made to Community Services.
- A member of the public has engaged in an incident giving rise of harm to a child or young person for which a report is made to Community Services.
- A member of the public has engaged in suspected mistreatment or neglect of a person with disability who receives a service from Sprout Psychology Centre

Category 2 Incidents

- Sexual harassment of a person receiving ageing disability direct services.
- Potential for high risk behaviour that may result in harm to either the person or the community.
- Injury to a person requiring medical treatment e.g. hospitalisation.

Category 3 Incidents

- A spill or incident resulting in exposure or potential exposure to a prohibited carcinogenic substance or other hazardous substance.
- Exposure to bodily fluids that presents a risk of transmission of blood-borne diseases.
- Minor financial loss.
- Behaviour by a person that has an adverse impact on the community (e.g. verbal abuse of a community member).
- High risk behaviour by a person accessing ageing and disability direct services.



- Injury to a person requiring minor medical attention.

Category 4 Incidents

- Assault by a client which does not cause an injury.
- Injury to a person accessing disability direct services requiring minor first aid.

The Seven Step Incident Management Process

Step One — Identify and immediately respond

- Remove an individual person or staff member from a facility or workplace.
- Suspend work on a project or at a workplace.
- Where required, ensure the site of the incident is not disturbed pending attendance and/or investigation by external authorities.

Step Two — Notify

- Report the incident as soon as practicable to relevant stake holders.
- It is vital to the integrity of the report that the notifier accurately describes the incident with clear descriptions that are factual and not subjective opinions.
- Where the notifier has access, record the incident in Incident Report form (Appendix A).
- Understand what an incident is and foster a culture of incident reporting.
- Identify, respond and report when an incident has occurred.
- Take appropriate action when an incident is identified.
- The immediate action may include:
 - Secure the safety of everyone involved and take necessary action to avoid an immediate recurrence and/or prevent any further damage.
 - Obtain emergency assistance from the NSW Police, fire or ambulance services.
 - Ensure first aid or other medical services are provided as is possible.

Step Three — Categorise for management and reporting

- Allocate a reporting category.
- Ensure everyone affected by the incident has been properly cared for and action has been taken to prevent a recurrence and may include authorising action/s.

Step Four — Assess

- All incidents are assessed to determine what further actions are required to prevent the incident recurring or escalating.
- The cause of the incident can readily be identified and simple measures have or can be taken. However, this will depend on the severity of the incident and the likelihood of it recurring.
- Where the cause cannot be easily identified and depending on the severity of the incident, consideration should be given to undertaking an investigation.
- Determine whether the incident will require investigation undertaken by external authorities (including NSW Police).

Step Five — Investigate and recommend further action

Should seek to identify the cause of an incident.

- Identify appropriate action required to prevent a recurrence.
- Where incidents require investigation by external authorities (e.g. NSW Police) sole trader investigation will generally commence following the completion of the external investigation.



However sole trader will consult with the external agency prior to commencing an internal investigation.

- Analyse the outcomes of the investigation taking into account all information gathered during the investigation to gain an understanding of how and why an incident occurred, and assist to identify ways of minimising a recurrence.
- Develop an Action Plan that includes recommendations and timeframes, to prevent a recurrence.

Step Six — Follow up and feedback

- Feedback, including results/outcomes of investigations and recommendations should be provided to relevant person, in a timely manner.

Step Seven — Incident data collection and monitoring

- Incident reports will be reviewed regularly and monitoring of recommendations will be analysed to identify any patterns or trends.

Monitoring, evaluation and review

- It is the responsibility of the sole trader to monitor and update these Guidelines when required. These Guidelines will be reviewed when any significant new information, legislative or organisational change warrants amendment

Risk Assessment Table: Risk Appendix – Likelihood / Consequence and Risk Ranking Tables

LIKELIHOOD	CONSEQUENCE				
	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	Low	High	High	Very High	Very High
Likely	Low	Medium	High	Very High	Very High
Possible	Low	Low	Medium	High	High
Unlikely	Low	Low	Low	Medium	High
Rare	Low	Low	Low	Low	Medium



DESCRIPTION OF RISK		QUALITATIVE MEASURES OF LIKELIHOOD		
Risk Rating	LEVEL OF RISK	Rating	Description	Frequency
Low	Risk is generally acceptable	Rare	The event may occur only in exceptional circumstances	Less than once every 50 years
Medium	Risk is acceptable with adequate controls. Treatment action plan required if consequence is Catastrophic		Unlikely	Once every 10-50 years
High	Risk may be acceptable with adequate controls. Treatment action plan required to reduce risk level further where possible.	Possible	The event might occur at some time	Once every 1-10 years
		Likely	The event will probably occur in most circumstances	More than once per year
Very High	Risk is generally not acceptable. Treatment action plan required to reduce the risk.	Almost certain	The event is expected to occur in most circumstances	More than once per month