

INCIDENT MANAGEMENT OPERATIONAL POLICY



POLICY TITLE:	INCIDENT MANAGEMENT POLICY		
VERSION:	005	DATE EFFECTIVE:	19/05/2020
AUTHORISED BY:	Chief Executive Officer	DATE REVIEWED:	22/04/2024

SUMMARY

This policy outlines the standards for managing incidents that may occur in the delivery of services, in line with relevant legislation and quality standards.

PURPOSE

ARC Disability Services Inc. (ARC) is dedicated to upholding the highest standard of safety and accountability in managing incidents that may arise during the course of our operations. This policy aligns with key legislative requirements, including Work Health and Safety legislation and the *NDIS (Incident Management and Reportable Incident) Rules 2018*, to ensure compliance and protection of all individuals associated with our services. Our aim is to effectively manage any incident, from identification through resolution, ensuring that all actions taken enhance safety, meet regulatory standards and support the continuous improvement of our incident management practices.

SCOPE

- All participants receiving supports or services.
- All ARC employees, board members, volunteers, or contractors.
- Any visitors to ARC owned or operated locations.

DEFINITIONS

TERM	DEFINITION
Incident	An incident encompasses any act, omission, event, or circumstance that occurs in the course of ARC’s operations, resulting in, or having the potential to result in injury, ill health, or fatality. This includes incidents related to the provision of support or services to a person with disability as well as other work-related situations such as medication errors, damage to property, behaviour of concern or exposure to infectious or hazardous materials.
Critical Incident	A critical incident is an incident that has resulted in or presents a significant risk of substantial or serious harm to the physical or mental health, safety, or well-being of a person. A critical incident can additionally include a situation involving property damage, legal involvement, media activity or other unusual activity that falls outside the scope of activity undertaken by ARC. Depending on the nature of the incident, it will be deemed critical and may also be defined under additional sub-categories of: <ul style="list-style-type: none"> ▪ Reportable Incident; ▪ Notifiable Incident and/or; ▪ Dangerous Incident.
Reportable Incident	As a registered NDIS provider, ARC is required to record and manage all incidents that occur in the delivery of NDIS supports and services and notify the NDIS Commission of any incidents classified as reportable. Such incidents typically include, but are not limited to, the death of a person with a disability, serious injury, abuse, or neglect of a person with a disability, unlawful physical or sexual contact, and unauthorised use of restrictive practices.
Notifiable Incident	An incident is notifiable if it arises out of the conduct of a business or undertaking and results in the death, serious injury, or serious illness of a person, or involves a dangerous incident, as defined under the <i>Work Health and Safety Act 2011</i> .
Dangerous Incident	A dangerous incident exposes a worker or any other person to a serious risk to their health or safety emanating from an immediate or imminent exposure to hazards such as uncontrolled escape, spillage or leakage of a substance, implosion, explosion, fire, or the collapse of structures.

POLICY	Document No.: GOV03-FORM-01	Version No.: 1A
Release Date: 09 July 2020	Uncontrolled if Printed	Page 1 of 5

RESPONSIBILITY

Incident reporting and management responsibilities within ARC are assigned to all levels of the organisation to ensure comprehensive and effective handling of incidents.

1. All Employees

- a. **Reporting:** Promptly report any incidents in which they are involved, witness, or become aware of, using the designated reporting system.
- b. **Documentation:** Provide comprehensive details of the incident, including time, location, nature of the incident, and any immediate actions taken.
- c. **Cooperation:** Collaborate with supervisors and line managers during investigation and management of incidents.

2. Supervisors

- a. **Immediate Response and Safety:** Ensure the immediate safety of all individuals involved and manage the initial response to incidents, including the activation of emergency procedures if required.
- b. **Incident Follow-Up:** Responsible for the immediate follow-up of incidents, including reviewing incident reports to ensure accuracy and completeness.
- c. **Information Gathering:** Gather additional information to provide a complete understanding of the incident.
- d. **Implementation of Controls:** Implement immediate corrective actions and changes to prevent future occurrences based on the specifics of the incident.

3. Line Managers

- a. **Oversight of Incident Management:** Support supervisors by providing oversight and ensuring that incidents are managed effectively and in accordance with organisational policies, procedures, and relevant legislation.
- b. **Review and Compliance:** Review the management of incidents to ensure that all actions taken are satisfactory and meet the required standards. This includes confirming that all follow-up actions and controls implemented by supervisors are appropriate.
- c. **Strategic Implementation:** Coordinate with other departments as necessary to implement broader systemic changes suggested by incident outcomes.

4. Quality and Safety Team

- a. **Risk Assessment and Monitoring:** Continuously assess workplace risks and monitor safety protocols to identify and mitigate potential hazards.
- b. **Incident Investigation Participation:** Provide expertise and support in investigating incidents, particularly those involving safety and health risks.
- c. **Safety Recommendations:** Suggest improvements to safety measures based on incident analyses and risk assessments.

5. Human Resources:

- a. **Employee Support:** Provide support to employees affected by incidents, facilitating access to counselling and other resources.
- b. **Compliance and Training:** Ensure all staff receive training on incident reporting and management procedures and remain compliant with current policies.
- c. **Disciplinary Actions:** Provide support for any necessary disciplinary proceedings related to incidents, ensuring actions are fair and in accordance with organisational policies.

6. Leadership Team and CEO (PCBU):

- a. **Oversight and Strategy:** Oversee the effectiveness of the incident reporting processes and provide direction for incident management.

POLICY	Document No.: GOV03-FORM-01	Version No.: 1A
Release Date: 09 July 2020	Uncontrolled if Printed	Page 2 of 5

- b. **Regulatory Compliance:** Ensure that all reportable incidents are communicated to the appropriate external bodies as required.
- c. **Communication with the Board:** Regularly update the Board with reports and analytics on incidents and the effectiveness of management strategies.

7. Board:

- a. **Policy Review and Feedback:** Review critical incident reports to assess the appropriateness of the responses and the effectiveness of incident management strategies.
- b. **Strategic Oversight:** Utilise incident data to guide broader risk management and governance decisions, ensuring organisational compliance with all relevant laws and standards.

IMPLEMENTATION

ARC is committed to maintaining a robust incident management system that supports safety, accountability, and compliance with all relevant regulations. These protocols clarify our approach to documenting and escalating incidents, ensuring effective management while upholding the principles of transparency and due diligence.

PRINCIPLES OF INCIDENT REPORTING

- **Prompt Reporting:** All incidents should be reported as soon as possible to facilitate timely response and appropriate management.
- **Comprehensive Documentation:** Reports should be thorough, providing sufficient detail to allow for an effective assessment and follow-up actions. This includes the nature of the incident, those involved, and any immediate steps taken.
- **Confidential Handling:** Incident reports are treated with the highest level of confidentiality, with information disclosed only among those directly involved in managing the outcomes.

SCOPE OF REPORTING

- **All Incidents:** Includes any events that affect the safety, security, or welfare of Participants, staff, or operations, irrespective of severity.
- **Critical Incidents:** Incidents resulting in significant harm or posing substantial risk must be escalated immediately through designated organisational channels.

REGULATORY REPORTING REQUIREMENTS

NDIS Quality and Safeguards Commission:

- **Notify within 24 Hours:** Severe incidents such as the death of a person with a disability, serious injuries, or abuse.
- **Notify within 5 Business Days:** Other significant incidents such as unauthorised use of restrictive practices or allegations of fraud.
- **Notification of Observation:** Should an ARC employee witness or become aware of any critical incidents involving other NDIS providers, it is our responsibility to notify the NDIS Quality and Safeguards Commission. Depending on the nature and severity of the incident, notifications must be submitted within the appropriate timeframes as detailed above.

Work Health Safety Queensland:

- **Immediately Notifiable:** Incidents that result in death, serious injury (e.g., amputation, serious head injury, spinal injury), or a dangerous incident (e.g., uncontrolled escape of gas or steam, electric shock, or collapse of structures).
- **As Soon As Practicable:** All notifiable incidents must be reported to Workplace Health and Safety Queensland as soon as it is practicable to do so, following the immediate management of the incident.

POLICY	Document No.: GOV03-FORM-01	Version No.: 1A
Release Date: 09 July 2020	<i>Uncontrolled if Printed</i>	Page 3 of 5

CONTINUOUS IMPROVEMENT AND LEARNING FROM INCIDENTS

ARC is dedicated to not only responding to incidents but also to learning from them to prevent future occurrences and enhance overall safety and service quality. This commitment involves integrating insights from incident reports into our ongoing improvement processes.

- **Incident Analysis:** Every incident reported is analysed to identify patterns or recurring issues that might indicate underlying problems. This analysis is critical for developing effective preventive measures.
- **Policy and Practice Updates:** Based on the insights gained from incident reports, ARC regularly reviews and updates its policies, procedures, and training programs. This ensures that our practices remain effective and are continually refined to improve safety and compliance.
- **Feedback Integration:** Feedback from staff, participants, and other stakeholders is a vital component of our learning process. We actively seek and incorporate this feedback to make informed decisions about how to better our services and responses.
- **Communication and Transparency:** The results of our analyses and the subsequent actions taken are communicated back to all relevant parties. This not only promotes transparency but also creates a culture of trust and collaborative improvement.

INCIDENT MANAGEMENT TRAINING

ARC ensures that all employees are proficient in responding to incidents effectively, aligned with our organisational protocols and compliance requirements.

Scope of Training:

- **General Awareness:** Training encompasses the essentials of incident management for all staff, including the incident reporting process and understanding their specific roles and responsibilities. This foundational training is crucial for ensuring that every employee can identify and report incidents properly, particularly those that are reportable under regulatory requirements.
- **Role-Specific Training on Reportable Incidents:** While all employees receive training on reportable incidents, the depth and focus of the training are tailored to the relevance of their roles. For example, supervisors, line managers and safety officers, undertake training that covers more detailed aspects such as risk assessment, emergency response actions, and the requirements of mandatory reporting.

TECHNOLOGY AND DATA MANAGEMENT

At ARC effective management of incident data is crucial for maintaining high standards of safety and compliance. We utilise secure technology systems to store and manage all incident-related data, adhering to the *Privacy Act 1988* and other relevant data protection regulations.

Our data management protocols ensure that access to sensitive information is strictly controlled and monitored. Strict access control and monitoring help protect against unauthorised access, ensuring the confidentiality and integrity of the data.

We analyse incident data to identify trends and evaluate the effectiveness of our incident management practices. These analytics support ongoing improvements and help us adjust our strategies to better manage risks.

Additionally, we maintain transparency with stakeholders by regularly reviewing and reporting on our data management practices and incident outcomes. This not only helps in regulatory compliance but also strengthens our accountability.

POLICY	Document No.: GOV03-FORM-01	Version No.: 1A
Release Date: 09 July 2020	Uncontrolled if Printed	Page 4 of 5

RELATED DOCUMENTS

- Children and Other Vulnerable Persons Protection Policy
- Complex Bowel Care Policy
- Complex Wound Management Policy
- Diabetes Management Policy
- Drug and Alcohol Policy
- Emergency and Disaster Management Policy
- Employee Supervision and Performance Management Policy
- Enteral Care and Management Policy
- Epilepsy and Seizure Management Policy
- Fire Safety Management Policy
- First Aid and CPR Policy
- Infectious Disease and Emergency Health Management Policy
- Manual Handling Policy
- Mealtime Management Policy
- Medication Policy
- Notifiable Data Breach Policy
- Recognition and Reporting of Violence, Abuse, Neglect, Exploitation and Discrimination Policy
- Restrictive Practice Policy
- Severe Dysphagia Management Policy
- Sexual harassment Policy
- Stoma Care Policy
- Urinary Catheter Care Policy
- Vehicle Use Policy
- Ventilation Management Policy
- Training and Professional Development Policy
- Waste Management Policy
- Work Health Safety and Environmental Management Policy

REFERENCES

- Criminal Code Act 1899 (Queensland)
- Disability Services Act 2006 (Queensland)
- Human Rights Act 2019 (Queensland)
- NDIS Act 2013 (Commonwealth)
- NDIS Code of Conduct
- NDIS (Incident Management and Reportable Incidents) Rules 2018 (Commonwealth)
- NDIS Practice Standards and Quality Indicators (2021)
- Privacy Act 1988 (Commonwealth)
- Work Health and Safety Act 2011 (Commonwealth)
- Work Health and Safety Regulation 2011 (Commonwealth)

AUTHORISATION

This Policy is approved and issued by:



BENJAMIN KEAST

Chief Executive Officer

POLICY	Document No.: GOV03-FORM-01	Version No.: 1A
Release Date: 09 July 2020	<i>Uncontrolled if Printed</i>	Page 5 of 5