

## INCIDENT REPORTING

### PURPOSE

The purpose of this policy is to ensure that all incidents are identified and reported in a timely and accurate manner. This will assist Meditech to enhance the quality of programs by analysing incidents and acting on trends. It will also ensure that due diligence and duty of care requirements are met and that any emerging risks are identified and managed.

### POLICY

Meditech will endeavour to provide services to the service users in a way that is free from risk to their personal safety and wellbeing. Meditech will work towards establishing and maintaining safe living and working environments and take appropriate action in response to incidents which effect, or have the potential to effect, the health, safety or wellbeing of staff, service users or other persons.

Incidents must be reported appropriately and managed in a way that is responsive to the immediate circumstances of the incident, the rights of those involved, and the need to ensure that any recurrent risks are minimised.

Some incidents will require completion of more than a single report to Meditech. Some funding bodies and other agencies may require notification of incidents using their own system and forms. Meditech will ensure that where required such external agencies will be provided with the appropriate incident reports as scheduled.

### SCOPE

This policy applies to all employees of Meditech, service users, their families, guardians and advocates.

### DEFINITION

- **Critical Incident:** is usually an unplanned and unexpected event that injures or damages or has the potential to injure or damage. It can be actual or alleged, and may be accidental or deliberate. It may impact on:
  - A service user
  - A staff member
  - A visitor to a Meditech workplace

- A service operated by Meditech
  - A property or workplace
  - The functioning or reputation of Meditech
- **Reporting Category:** refers to the level of seriousness assigned to each incident as well as the level of management that needs to be notified.
- **Category 1 Incident:** used by Meditech to describe the most severe incidents. These are incidents that would comply with the definitions of WorkCover NSW (clause 341 and 344 OHS Regulation 2001 and Section 42 and 44 of Workers Compensation Act 1988) as Serious Incidents and describe events which include:
- i. Death
  - ii. Risk of death
  - iii. Abuse, neglect or exploitation
  - iv. Serious harm or injury
  - v. Serious medication error that creates risk for a service user
  - vi. Attendance by an ambulance
  - vii. Major damage to building or other property
  - viii. Sexual harassment of a service user
  - ix. Sexual harassment of a staff member while at work
  - x. A service user who is missing and where there is potential for high risk behaviour
  - xi. Alleged criminal activity, inappropriate sexual behaviour of a service user, property damages resulting in closure of a service for emergency situations.
  - xii. Negative media attention for Meditech
- **Category 2 Incident:** refers to incidents which have a less serious or even a minor impact and could include but are not limited to:
- medication errors such refusal of medication by service user
  - exposure to bodily fluids or spills of hazardous substances
  - assault without injury
  - injury requiring minor treatment only (e.g. first aid treatment)
  - verbal or attempted physical abuse
- **Incident Report:** refers to the internal and/or external official written report (or reports) by those involved in or witnessing the incident and describes the event that occurred.

## PROCEDURES

1. Staff members must complete an Incident Report Form for any occurrence of the incident types listed above.
2. Staff must be aware that completing an Incident Report Form does not substitute their obligations to notify appropriate others when a significant incident occurs. The Incident Report will usually be completed after the incident has finished, confirming in writing the nature of the incident and the subsequent actions taken. Verbal notification to the Manager is required immediately after any Category 1 incidents including the following:
  - Use of an emergency service
  - Allegations of abuse, neglect, sexual assault
  - Injury to a service user or staff member
  - Incidence of a criminal offence or breach of duty of care
  - Death of service user or staff member
  - A breach of security
  - A near miss that could have resulted in a serious situation
3. If any of the above incidents occur the staff member must report the matter immediately the Manager who in turn should notify the Director.
4. Each individual staff member involved in an incident should complete an Incident Report.
5. All sections of an Incident Report form are to be completed without exception. If a section does not apply, the words 'not applicable' should be entered in the appropriate place.
6. A copy of all Incident Report Forms must be forwarded immediately to the Manager. Where the staff member has access to email an electronic version of the Incident Report Form can be obtained from the Manager and returned by email to that person when completed. If completed in hard copy the original Incident Report must be retained in the staff member's possession until it can be passed on to the Manager. All incidents must be recorded on the appropriate Incident Register.
7. The Manager will review the Incident Report, noting any actions that may be required. After completing his/her section of the Incident Report that person must check that the incident is recorded in the Incident Register (ie. the Quality Register).
8. The Manager will ensure that any further information required is obtained and that all recommended actions are implemented. The completed form should be returned to the staff member(s) who submitted the Incident Report to advise them of any further actions taken and/or that the incident is now closed out.
9. Where Meditech is required to report incidents to funding bodies or other external agencies the Manager must ensure that the Incident Report is forwarded to those funding bodies or external agencies by 5pm on the next business day. This must occur even when a quick fix has been applied. This notification must be in writing (email or fax).

10. The Incident Report should be cross-referenced to any other relevant documentation as it arises such as Risk Assessments, Risk Management Plans, Treatment Plans, Complaint Management Plans, Corrective Action Request Forms etc
11. The Manager must ensure that all incidents are included in his/her reports to the Director so that senior management are aware of the nature and frequency of incidents.
12. A copy of the completed Incident Report should be provided to the person responsible for Workplace Health and Safety.

**N.B. A Corrective Action Request Form must be used:**

- **When action is required to prevent the incident recurring OR**
- **When an opportunity exists for continuous quality improvement**

## **ATTACHMENT 1**

### **DELEGATION OF RESPONSIBILITIES FOR A CATEGORY 1 INCIDENT**

#### **A. Summary of staff responsibility**

**Staff must ensure that they:**

- Verbally report a Category 1 incident to the Manager when becoming aware of it
- Complete the Incident Report Form and provide a copy to the Manager
- Complete the Incident Register
- Participate in investigations of incidents if required
- Assess and manage any new risk associated with the incident
- Complete and submit a Corrective Action Request form where required

#### **B. Summary of the manager's responsibility**

**The Manager is responsible for:**

- Notifying the Director
- Ensuring that necessary initial care has been provided to staff, service users or others involved in the incident
- Reviewing the Incident Form to ensure that the incident is properly assessed and that appropriate actions are properly determined
- Signing the Incident form
- Making recommendations for improvement or safety as appropriate and returning the signed form to the service staff

- Verbally reporting it to the funding body or other external agency if requested by the Director
- Entering the Incident into the Incident Register maintained by them within 24 hours
- Reviewing the Incident Register weekly to ensure any identified tasks have been conducted
- Finalising the Incident Register as the process closes out
- Collating and incorporating the reports of Incidents into reviews where required
- Ensuring all staff have written information about the reporting of all incidents
- Providing training and information to staff about their rights in responding to any concerns raised about them in relation to an Incident
- Assess and manage any new risk associated with the incident
- Complete and submit a Corrective Action Request Form where required

## **DELEGATION OF RESPONSIBILITIES FOR A CATEGORY 2 INCIDENT**

### **A. Summary of staff responsibility**

#### **Staff must ensure that they:**

- Complete an Incident Report Form and forward it to the Manager within 24 hours

### **B. Summary of manager's responsibility**

#### **The manager is responsible for:**

- Reviewing and signing the Incident Report Form to indicate that they have viewed the incident when it is received
- Making recommendations for improvement or safety as appropriate
- Ensuring that the completed Incident Report Forms are forwarded to the appropriate funding body or external agencies if required
- Entering all incidents into the Incident Register
- Reviewing the Incident Register weekly to ensure any identified tasks have been conducted
- Finalising the Incident Register as the process completes or closes out
- Collating and incorporating the reports of incidents into reviews if required
- Ensuring all staff have written information about the reporting of all incidents
- Providing training and information to staff about their rights in responding to any concerns raised about them in relation to an Incident
- Assess and manage any new risk associated with the incident
- Ensure that a Corrective Action Request Form is submitted where required

## **LEGISLATION AND CROSS-REFERENCE**

**NSW Disability Services Act 1993**

**NSW Work Health and Safety Act 2011**

**NSW Workers Compensation Amendment Act 2012**

**NSW Disability Services Standards**

- Standard 1      Rights
- Standard 3      Individual Outcomes
- Standard 4      Feedback and Complaints
- Standard 5      Service Access
- Standard 6      Service Management

### **Other relevant Meditech Policies and Procedures**

- Dignity of Risk and Duty of Care
- Documentation and Record Keeping
- Feedback and Complaint Management
- Occupational Health and Safety Policies