

QUESTCARE INCIDENT AND REPORTABLE INCIDENT MANAGEMENT POLICY AND PROCEDURES

BACKGROUND

QuestCare has a large number of staff who work across numerous locations across the ACT and surrounds. QuestCare recognises that a critical incident may take place on any work site at any time of the day or night.

This policy and procedure is intended to provide a clear process for managing critical incidents involving client and/or staff in order to minimise the risk of independent action and to assist in ensuring that each case is managed effectively.

The Critical Incident Management Policy encompasses the management of critical incidents from a human, hazard identification, and risk management perspective.

It details the arrangements that apply to critical incident management in the context of the QuestCare's Risk Management Framework.

PURPOSE AND SCOPE

The policy provides the guidance for QuestCare to plan for, respond to and manage critical incidents ensuring that QuestCare meets its duty of care obligations in providing the highest possible standard of health and safety and upholds its legislative obligations in relation to its staff and clients.

It is to be read in conjunction with QuestCare's *Writing and Reporting Incidents Guidelines*

POLICY STATEMENT

This policy and its related procedures demonstrate QuestCare's commitment to:

- protecting the health and safety of staff and clients;
- identifying and preventing incidents and critical incidents;
- allocating appropriate resources and building relationships to manage incidents and critical incidents in compliance with QuestCare's mission and legal obligations;
- delivering the highest possible standard of health and safety for staff and clients in the event of an incident or critical incident;
- evaluating the effectiveness, adequacy and ongoing suitability of its incident and critical incident responses;

- monitor, evaluate and report on the implementation and effectiveness of Positive Behaviour Support Plans; and
- monitor, evaluate and report any authorised or unauthorised use of restrictive practices

SCOPE

This policy applies to staff and clients of QuestCare while they are participating in QuestCare-related activities.

EXCLUSIONS

This policy does not apply to minor injuries or accidents that affect an individual or isolated area(s) and do not pose any additional threat or risk to staff or client.

These minor incidents will be managed through other processes, including capturing in progress notes or other communication tools.

DELEGATIONS

ROLES	RESPONSIBILITIES
<p>General Manager</p>	<ul style="list-style-type: none"> • Endorse, comply and ensure compliance with the NDIS and QuestCare Incident and Hazard Management Policy and Procedure • Monitor NDIS and QuestCare Incident and Hazard Management strategies, incidents and injuries • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports • Operational decision making relating to NDIS and QuestCare Incident and Hazard Management, including expenditure • Refer serious NDIS related Incident issues to the relevant authorities
<p>Deputy General Manager</p>	<ul style="list-style-type: none"> • Endorse, comply and ensure compliance with the NDIS and QuestCare Incident and Hazard Management Policy and Procedure • Monitor NDIS and QuestCare Incident and Hazard Management strategies, incidents and injuries • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports • Operational decision making relating to NDIS and QuestCare Incident and Hazard Management, including expenditure • Refer serious NDIS related Incident issues to the relevant authorities • Management of the QuestCare Incident Reporting Register

	<ul style="list-style-type: none"> • Manage and Monitor QuestCare's Incident Management Policies, Procedures and workflow
Operations Manager	<ul style="list-style-type: none"> • Endorse, comply and ensure compliance with the NDIS and QuestCare Incident and Hazard Management Policy and Procedure • Monitor NDIS and QuestCare Incident and Hazard Management strategies, incidents and injuries • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports • Operational decision making relating to NDIS and QuestCare Incident and Hazard Management, including expenditure • Refer serious NDIS related Incident issues to the relevant authorities
Human Resources Manager	<ul style="list-style-type: none"> • Endorse, comply and ensure compliance with the NDIS and QuestCare Incident and Hazard Management Policy and Procedure • Monitor NDIS and QuestCare Incident and Hazard Management strategies, incidents and injuries • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports • Operational decision making relating to NDIS and QuestCare Incident and Hazard Management, including expenditure • Refer serious NDIS related Incident issues to the relevant authorities • Manage the organisations continuous improvement register
Managers/Assistant Managers	<ul style="list-style-type: none"> • Monitor NDIS and QuestCare Incident and Hazard Management strategies, incidents and injuries • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports
Clinical Coordinator	<ul style="list-style-type: none"> • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports in conjunction with the appropriate service manager • Take the lead role in reporting and responding to reportable incidents with the NDIS, as per the Reportable Incident Flowchart in this policy

	<ul style="list-style-type: none"> • Provide clinical related advice to Managers and Operational teams, to assist in the management and/or mitigation of risk • Manage and maintain all necessary commission reporting, in relation to reportable incidents • Maintain records of all reportable incidents as outlined in this policy under documentation and incident record keeping
Team Leaders	<ul style="list-style-type: none"> • Lead and implement NDIS and QuestCare Incident and Hazard Management Framework including this policy • Manage and monitor compliance with NDIS and QuestCare Incident and Hazard Management policy • Ensure staff are provided with relevant training in incident management • Receive and respond to incident and hazard reports • Comply with this policy
Support Staff, Contractors, Students and Volunteers	<ul style="list-style-type: none"> • Comply with this policy

DEFINITIONS

Incident

A moderate event that has a localised impact on staff, client and may entail some property damage. The event has largely been contained and is unlikely to escalate in severity but still requires response and management by QuestCare personnel. It can usually be handled using normal operating procedures.

Critical Incident

A major event or series of events, that have the potential to severely damage QuestCare's staff or clients and requires a significant response and on-going management.

The incidents that must be recorded and managed are:

- (a) incidents that have, or could have, caused harm to a person with disability receiving supports or services; and
- (b) acts by a person with disability that happen in connection with the provision of supports or services and that have caused serious harm, or a risk of serious harm, to another person; and
- (c) reportable incidents that are alleged to have occurred in connection with the provision of supports or services.

Includes:

- **Serious injury or death**
- **Sexual assault or abuse**
- **Violence, threats or abuse**
- **Robbery/theft with or without violence**
- **Self harm**
- **Sudden or unexpected death or suicide**

Restrictive Practice

A restrictive practice is described as follows:

A restrictive practice is a regulated restrictive practice if it is or involves any of the following:

- (a) **Seclusion**, which is the sole confinement of a person with disability in a room or a physical space at any hour of the day or night where voluntary exit is prevented, or not facilitated, or it is implied that voluntary exit is not permitted;
- (b) **Chemical restraint**, which is the use of medication or chemical substance for the primary purpose of influencing a person's behaviour. It does not include the use of medication prescribed by a medical practitioner for the treatment of, or to enable treatment of, a diagnosed mental disorder, a physical illness or a physical condition;
- (c) **Mechanical restraint**, which is the use of a device to prevent, restrict, or subdue a person's movement for the primary purpose of influencing a person's behaviour but does not include the use of devices for therapeutic or non-behavioural purposes;
- (d) **Physical restraint**, which is the use or action of physical force to prevent, restrict or subdue movement of a person's body, or part of their body, for the primary purpose of influencing their behaviour. Physical restraint does not include the use of a hands-on technique in a reflexive way to guide or redirect a person away from potential harm/injury, consistent with what could reasonably be considered the exercise of care towards a person.
- (e) **Environmental restraint**, which restrict a person's free access to all parts of their environment, including items or activities.

The use of any of these unauthorised practices MUST be reported to QuestCare Deputy General Manager and via the Critical incident Form immediately

NOTIFICATION PROCESS

Any critical incident witnessed by staff of QuestCare is to be reported to Management immediately.

A formal written critical incident report must then be completed in consultation with QuestCare management, within 24 hours. Any staff involved will be formally counselled and supported or suspended from duty, as necessary, until the matter is resolved, as necessary.

Reportable incidents include death, serious injury, abuse or neglect, unlawful sexual or physical contact, assault, sexual misconduct and unauthorised restrictive practices.

QuestCare will, in the event of an incident or critical incident, allocate appropriate resources to deliver the required support services. The principle of prudent over-reaction and rapid de-escalation will be applied when considering the declaration of an incident as critical. Immediate referral to a medical practitioner is actioned, if appropriate.

QuestCare will effectively manage incidents and critical incidents by formally reporting events.

If appropriate, QuestCare will work with relevant stakeholders to review incidents.

Depending on the seriousness, the Human Services Registrar (quality@act.gov.au 02 6207 5474) and the Senior Practitioner

https://www.communityservices.act.gov.au/data/assets/pdf_file/0004/1243543/Fact-Sheet-ACT-Senior-Practitioner.pdf, is to be notified in the ACT and in NSW the incident is to be reported to the NSW Ombudsman www.ombo.nsw.gov.au more advice <https://www.ombo.nsw.gov.au/what-we-do/our-work/community-services/part-3c-reportable-incidents/disability-reportable-incidents-forms-and-guidelines> of the circumstances of the risk, as soon as possible after the serious risk to life, health or safety is identified.

QuestCare will report all restrictive practices and/or reportable incidents as per

- *National Disability Insurance Scheme(Incident Management and Reportable Incidents) Rules 2018*
- *National Disability Insurance Scheme (Restrictive Practices and Behaviour Support) Rules 2018*
- *Senior Practitioner Act (2018) ACT*
- *Ombudsman Act 1974*

NDIS QUALITY AND SAFEGUARD COMMISSION

Notification requirements

All allegations and disclosures MUST be reported in the relevant category, even if they are currently unsubstantiated. All reportable incidents must have one NDIS participant impacted by the incident. Most reportable incidents are required to be notified to the NDIS Commission within 24 hours of the provider becoming aware of the incident.

This includes:

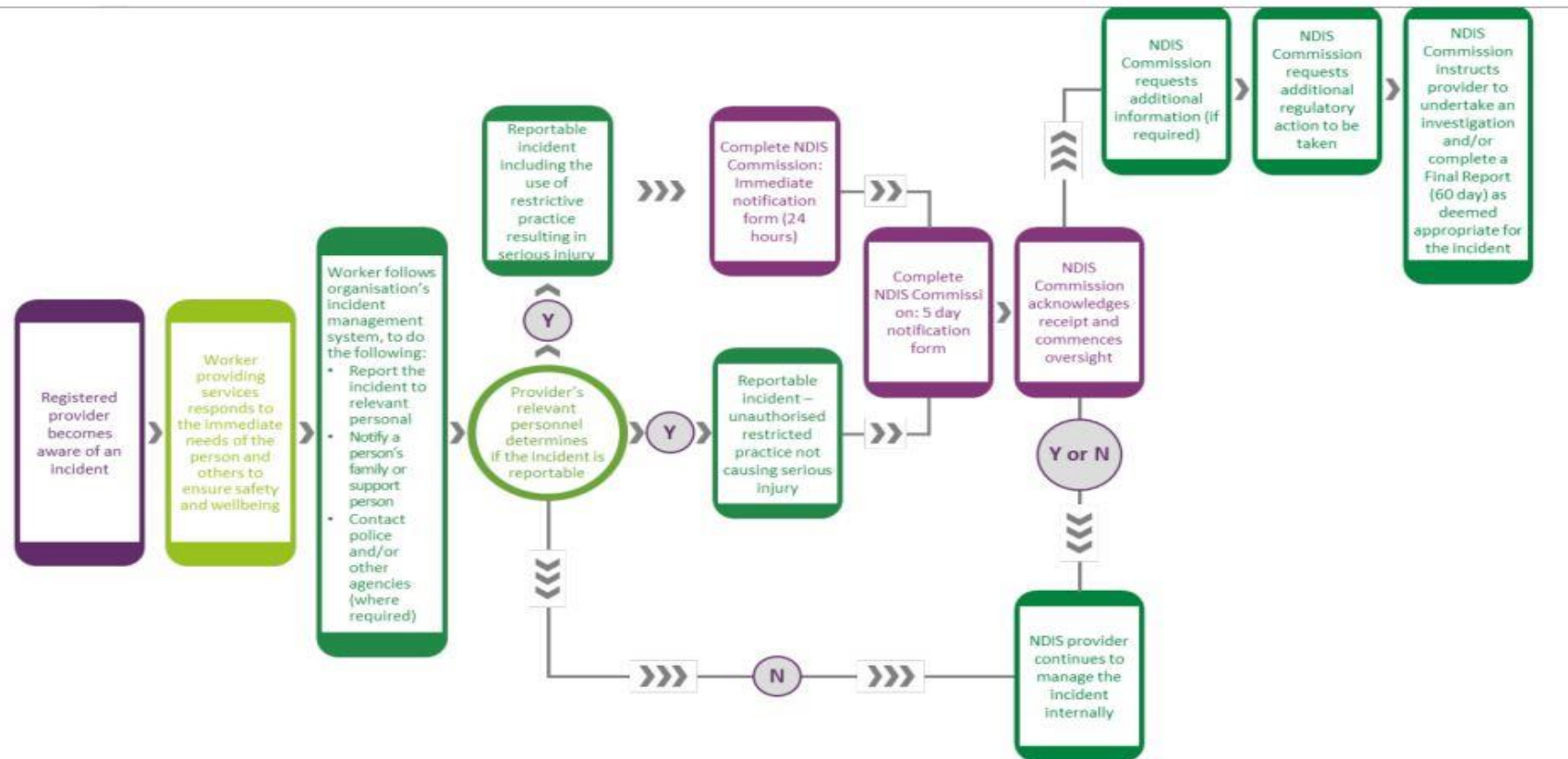
- the death of a person with disability
- serious injury of a person with disability
- abuse or neglect of a person with disability
- unlawful sexual or physical contact with, or assault of, a person with disability
- sexual misconduct committed against, or in the presence of, a person with disability, including grooming of the person for sexual activity.

A more detailed report is required within 5 days of submitting the immediate notification. Remaining reportable Incidents are required to be notified to the NDIS Commission within 5 days of the provider becoming aware of the incident. This includes:

- the unauthorised use of a restrictive practice in relation to a person with disability, other than where the use is in accordance with an authorisation (however described) of a state or territory in relation to the person.

REPORTABLE INCIDENT FLOWCHART

NDIS Reportable Incidents Notification Process



COMMUNICATION

All communication concerning an incident or a critical incident will be coordinated by the Deputy General (or Operations) Manager in consultation with relevant QuestCare staff.

Further Assistance

Staff members who require assistance with this policy should initially contact their QuestCare Manager and if further information is required they should contact the Operations Manager. Further assistance also includes access to trained counselling support.

Process for reporting and monitoring complaints

- At the first instance, Support Worker contacts QuestCare management to advise of incident. Depending on the incident QuestCare management will assist Support Worker to manage the incident
- Once any immediate danger/threat has passed Support Worker is asked to complete a **Critical Incident Report**. If Client has a Senior Support Worker or Key worker this person is to be informed of incident and report is to be forwarded to that person, who will then forward to QuestCare management for completion and proceed with any necessary action
- Support Worker is counselled and supported in line with QuestCare policy
- Incident is to be logged in the **Critical Incident Log** and further action completed by relevant Manager
- Incident and any proceeding actions to be included in the QuestCare **Continuous Improvement Action Plan**
- Relevant QuestCare manager/Senior support worker/Key Worker is to contact client to advise on outcome and subsequent action in relation to incident

DOCUMENTATION AND INCIDENT RECORD KEEPING

QuestCare are required to maintain a record of the incident in our incident management system.

At a minimum our records will include:

- **Description of the incident** – including the impact on, or harm caused to, any person with disability • Nature of the incident – details of whether the incident is a reportable incident
- **Details of the incident** – if known, the time, date and place at which the incident occurred or if not known, the time, date and place at which the incident was first identified
- **Assessment** – details of assessment of the incident in relation to (among other things) whether it could have been prevented, how well it was managed and resolved, and whether anyone else needs to be notified of it
- **Contact details** – the names and contact details of the persons involved in the incident and any witnesses to it
- **Response** – the actions taken in response to the incident

- **Consultations** – any consultations with the person with disability affected by the incident and whether the person has been given reports or findings regarding the incident
- **Investigation** – if an investigation is undertaken by the registered NDIS provider in relation to the incident – the details and outcomes of the investigation, and
- **Documenter/Reporter information** – the name, position and contact details of the person making the record of the incident

DOCUMENT CONTROL

Version No.	Issue Date	Document Owner
2	13.05.2022	Senior Leadership Team
Version History		
Version No.	Review Date	Revision Description
001	2.06.2022	Update

INCIDENT REPORT FORM

Reminders:

- Complete and forward within 48 hours to QuestCare management in the event of any accident, incident, restrictive practice or near miss to both staff and/ or client.
- Completion of this form does not constitute a staff claim for Worker's Compensation. If a staff member is injured during an incident, they must immediately contact the Operations Manager to complete the workers compensation report and documentation.

STAFF TO COMPLETE			
Date & Time of incident:		Address incident occurred:	
Client name:		What was the main objective of the shift?	
Staff name:		Staff Role:	
Staff Contact number:		Staff email:	
Classification of Incident (Mark an X to the one that is applicable)			
Accident	<input type="checkbox"/>	Incident	<input type="checkbox"/>
	<input type="checkbox"/>	Critical Incident	<input type="checkbox"/>
	<input type="checkbox"/>	Restrictive Practice	<input type="checkbox"/>
	<input type="checkbox"/>	Near Miss	<input type="checkbox"/>
INCIDENT DESCRIPTION			
Describe the incident (What happened?)			
Describe the circumstances leading up to the incident (What caused/ led to the incident to happen?)			
IMMEDIATE ACTION			
What immediate action did you take in response to the accident/ incident/ near miss?			
Was the family member/ legal guardian notified?	Yes	<input type="checkbox"/>	No
Was first aid provided?	Yes	<input type="checkbox"/>	No
Details (what was injured and how was first aid provided):			
Was there a hospital transfer required?	Yes	<input type="checkbox"/>	No
Details (where was the injury and to what extent):			
If it is the staff injured, would there be a worker's compensation claim?	Yes	<input type="checkbox"/>	No
<i>If you will be making a claim, you must advise QuestCare Management within 24 hours</i>			
Signature of Employee:		Date of Incident Report Forwarded to Management:	

MANAGEMENT TO COMPLETE

Allocated Case Manager/ Coordinator:			
Signature:		Date:	
<p>The QuestCare Allocated Case Manager must:</p> <ol style="list-style-type: none"> 1. Ensure the event was appropriately investigated and documented. 2. Ensure corrective actions are assigned to the appropriate person and are carried out. 3. Identify any key lessons (to be documented in the Continuous Improvement Log) for the service. 4. Review the investigation to ensure all appropriate actions had been taken. 5. Contact client and confirm they are not experiencing reactions from the incident and confirm with them actions taken to eliminate incident reoccurrence. 			

ACTION PLAN FOR IMMEDIATE AND LONG-TERM RESOLUTION

What	Who	When

OPERATIONS MANAGER TO COMPLETE

Are the preventative actions adequate?	Yes		No	
If No, explain what further actions are required:				

CLOSURE

<table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td colspan="2"></td> <td colspan="5" style="font-size: small;">Impact</td> </tr> <tr> <td colspan="2"></td> <td style="font-size: x-small;">Negligible</td> <td style="font-size: x-small;">Minor</td> <td style="font-size: x-small;">Moderate</td> <td style="font-size: x-small;">Significant</td> <td style="font-size: x-small;">Severe</td> </tr> <tr> <td rowspan="5" style="font-size: x-small; vertical-align: middle;">Likelihood</td> <td style="font-size: x-small;">Very Likely</td> <td style="background-color: #d9ead3;">Low Med</td> <td style="background-color: #fff2cc;">Medium</td> <td style="background-color: #fce4d6;">Med Hi</td> <td style="background-color: #f4cccc;">High</td> <td style="background-color: #e74c3c;">High</td> </tr> <tr> <td style="font-size: x-small;">Likely</td> <td style="background-color: #d9ead3;">Low</td> <td style="background-color: #fff2cc;">Low Med</td> <td style="background-color: #fff2cc;">Medium</td> <td style="background-color: #fce4d6;">Med Hi</td> <td style="background-color: #e74c3c;">High</td> </tr> <tr> <td style="font-size: x-small;">Possible</td> <td style="background-color: #d9ead3;">Low</td> <td style="background-color: #fff2cc;">Low Med</td> <td style="background-color: #fff2cc;">Medium</td> <td style="background-color: #fce4d6;">Med Hi</td> <td style="background-color: #fff2cc;">Med Hi</td> </tr> <tr> <td style="font-size: x-small;">Unlikely</td> <td style="background-color: #d9ead3;">Low</td> <td style="background-color: #fff2cc;">Low Med</td> <td style="background-color: #fff2cc;">Low Med</td> <td style="background-color: #fff2cc;">Medium</td> <td style="background-color: #fff2cc;">Med Hi</td> </tr> <tr> <td style="font-size: x-small;">Very Unlikely</td> <td style="background-color: #d9ead3;">Low</td> <td style="background-color: #d9ead3;">Low</td> <td style="background-color: #fff2cc;">Low Med</td> <td style="background-color: #fff2cc;">Medium</td> <td style="background-color: #fff2cc;">Medium</td> </tr> </table>			Impact							Negligible	Minor	Moderate	Significant	Severe	Likelihood	Very Likely	Low Med	Medium	Med Hi	High	High	Likely	Low	Low Med	Medium	Med Hi	High	Possible	Low	Low Med	Medium	Med Hi	Med Hi	Unlikely	Low	Low Med	Low Med	Medium	Med Hi	Very Unlikely	Low	Low	Low Med	Medium	Medium	Evaluation
		Impact																																												
		Negligible	Minor	Moderate	Significant	Severe																																								
Likelihood	Very Likely	Low Med	Medium	Med Hi	High	High																																								
	Likely	Low	Low Med	Medium	Med Hi	High																																								
	Possible	Low	Low Med	Medium	Med Hi	Med Hi																																								
	Unlikely	Low	Low Med	Low Med	Medium	Med Hi																																								
	Very Unlikely	Low	Low	Low Med	Medium	Medium																																								
Issue resolved		Improvement implemented		Client contacted for welfare check		Other																																								
Details (if applicable):																																														

Operations Manager Signature:		Date:	
--------------------------------------	--	--------------	--