

OPERATING PROCEDURES

SUBJECT:	CLIENT INCIDENT REPORTING
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POLICY STATEMENT:	PS CS01(09)	EFFECTIVE DATE:	15/8/2011
FUNCTIONAL AREA:	Client Services	DOCUMENT REF:	OP CS01-29(11)
RESPONSIBILITY:	Chief Executive	REVISION NUMBER:	1

REVISION SCHEDULE

EFFECTIVE DATE	ALTERATION(S)	AUTHORISED Signed/Title	AUTHORISED DATE

1. Statement of Intent

CLASS is committed to protecting the safety and wellbeing of clients and will ensure that all accidents or incidents involving clients are reported, investigated and appropriate corrective or preventive measures taken to prevent recurrence and eliminate or minimise risk.

2. Scope

This procedure applies to all incidents and accidents involving clients. An incident is an event or occurrence that has caused, or has the potential to cause injury, illness, damage or trauma/distress to a person. It may also involve significant damage to property.

These procedures seek to provide guidance for the consistent recording, addressing and review of incidents to ensure service improvement. The incident may be covered in other CLASS policies such as Client Illness and Emergencies, Water Safety, Client Money and Assets, Medication Management and Positive Behaviour Support Policy, however, the incident needs to be reported according to this Client Incident Reporting Procedure. In investigating an incident the other policies will be instrumental in assessing whether or not existing organisational policies were followed in this instance. Likewise, the resolution of the incident may require action under the mantle of existing policy such as the Positive Behaviour Support Policy.

Accident or injury to staff needs to be reported separately on the Staff Accident and Incident Report Form.

3. Parameters

3.1 Summary of Key Requirements

- Mandatory reporting of all incidents occurring that involve clients of CLASS
- A prompt response to any injuries and to avert immediate danger
- Investigation of the incident consistent with process outlined in these procedures to focus on sound process and natural justice

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- Completion of the CLASS Client Incident Report Form
- Review and development of an action plan to prevent recurrence and eliminate or minimise risk
- Initiate a case conference with the client, family and relevant services to address the impact of the incident on the individual client and ensuring their CLASS program/service plan appropriately addresses any issues related to the incident and the individual client's ongoing wellbeing
- Tracking of all incidents through the surveillance system to identify and manage ongoing systemic issues or risks
- Reviewing action taken in response to the incident at a stipulated interval to ensure all required steps have been implemented.

3.2 Category of Incident

The category of incident is determined by the level of risk of injury, harm or adverse effect to the client, staff and organisation.

High Category Incidents

These include:

- Serious injury
- Attempted (or actual) suicide, serious self-harm or serious assault
- Alleged rape or indecent assault
- Reportable Assaults which include unlawful sexual contact
- Use of force or restraint of clients
- Other assault, exploitation or abuse of client (physical, psychological, verbal abuse, threatening behaviour)
- Alleged criminal acts by staff or client
- Any incident which has been reported to the Police (including missing client)
- Serious threats to personnel or facilities
- Fire
- Any action or event in which the media is likely to have significant interest
- Events that are not life threatening, but which have serious implications to the resident or service including serious breach of duty of care

Medium Category Incidents

These include but are not limited to:

- Injury requiring medical assessment and or treatment
- Medication incident
- Missing money or property from a client
- Motor vehicle accident, incident
- Breach of duty of care by staff that may not result in immediate risk but may constitute neglect or negligence.
- Actions or events (as above) which have the potential to escalate into High category incidents.

Low Category Incidents

These include but are not limited to:

- Actions or events which do not interrupt the resident's normal routine but are of concern e.g. low level injury that may require first aid, a choking incident that responded to intervention, an

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altercation between two clients that was able to be readily defused by staff and clients refusal to eat or drink during the day. .

3.3 Risk Management

- Both potential hazards and operational risks that may pose an accident or incident risk for clients should be identified and managed according to the relevant policies and procedures using the organisation’s risk management process.

3.4 Incident Surveillance and Monitoring

- The Client Incident Reports from all operational areas of CLASS will be collated and incidents tracked so that patterns can be identified and potential hazards or recurring events managed. A bi-monthly report on client incidents will be presented to the Service Improvement Committee of CLASS. Service Managers will take responsibility for addressing the specific incident and a copy of the completed Client Incident Report Form placed on the Client Incident Register.

4. Procedure summary

Ref	Step	Action	Form No
1.	Immediate Response	<ul style="list-style-type: none"> Render first aid if required and call for medical assistance and ambulance if required Call for assistance including Police if required Avert any danger 	
2	Reporting	<ul style="list-style-type: none"> Once danger averted report to a senior staff member <u>High Category</u> incidents are reported immediately to the Service Manager, and the CEO Team Leaders and Service Managers notify the next of kin, Guardian and/or Carers, Service Managers notify DSA Client Services Co-ordinator or Duty Officer in the Regional Office Chief Executive liaise with the Office for Disability Ageing and Carers (Senior Staff) , the Special Investigation Unit and the Board <u>Medium and Low Category</u> incidents are reported by the Service Manager or Team Leaders to the Chief Executive. Team Leaders and Service managers are responsible for notifying appropriate people of the incident (e.g. carers /guardians, DSA Service Co-ordinators)Service Managers are responsible to the Chief Executive for the Investigation of any incident in their area of responsibility. Support staff on duty must ensure the Client incident report Form is completed. Team Leader must ensure the form is forwarded to the Service manager within 	

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		<p>24 hours of the incident.</p> <ul style="list-style-type: none"> ▪ Team Leader and Service Manager must ensure the Client Incident Report Form comprehensively outlines information describing details of the incident from staff and clients present during the incident. ▪ Forms to be sent to the Chief Executive. Copies of completed forms placed on the Client Incident Report Form Register by the Service Manager. 	
3	Incident management and investigation	<p>Service Managers must:</p> <ul style="list-style-type: none"> ▪ Assess/ confirm severity ▪ Arrange medical assessment and ongoing treatment as appropriate ▪ Identify all contributing factors leading to the incident ▪ Assess if any ongoing operational, environmental hazards or safety issues ▪ Interview the clients and/or staff member involved and any witnesses ▪ Identify any potential breaches of duty of care for further investigation ▪ Document on Client Incident Report form findings 	
4	Action Plan Development and implementation	<ul style="list-style-type: none"> ▪ Undertake a risk assessment ▪ Raise alerts with Chief Executive as appropriate ▪ Evaluate information, plan and take the necessary corrective or preventative action to avoid a recurrence and minimise risk ▪ Refer clients for medical or assessments and therapeutic intervention as required ▪ Convene a case conference with client, families and appropriate agencies and review CLASS service plans as required and ensure the individual case-notes are updated regarding the incident, its impact on the client and remedial action to be taken. ▪ Implement risk minimisation strategies as appropriate ▪ Refer any recommendations for staff disciplinary action to the Chief Executive ▪ Document on the Client Incident Report Form, action taken to address the incident and forward the form to the Chief Executive 	
5	Support and Debriefing	<ul style="list-style-type: none"> ▪ Undertake debriefing and arrange support for staff as required. 	
6	Incident Surveillance and Monitoring	<ul style="list-style-type: none"> ▪ Place Client Incident Report Form on the Client Incident Surveillance Register. ▪ The Service Improvement Manager will summarise the Client Incidents for the month and present a report on these including internal comparisons and analysis 	

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		<p>of incident trends to the Chief Executive, the CLASS Executive and the Service Improvement Committee.</p> <ul style="list-style-type: none"> ▪ Where an OHS related matter is involved report results and actions will be forwarded to the local OH&S Committee meeting for discussion and evaluation 	
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5. Responsibilities

5.1 Support Staff

- Render first aid, call for an ambulance (if required) and avert any immediate danger
- Assess level of risk of injury or harm
- Call for assistance for handling serious incidents including Police (if required)
- Provide support and assistance to the clients.
- Report all High and Medium Category Incidents to Team Leaders and Service Managers (if Team Leaders are not available report to Manager's)
- Fill in Client Incident Report Form for all categories of Incident (High, Medium and Low) and ensure these are forwarded through the Team leader to the Service Managers. Seek the support of the team leader in completing the form if required.

5.1 Team Leader

- Assess/confirm level of risk of injury or harm
- Manage the incident to ensure the clients receives appropriate medical treatment, therapeutic counselling/intervention and support
- Notify next of kin and General Practitioner (if required)
- Report all High and Medium Category Incidents to the Service Manager
- In liaison with the Service Manager ensure DSA Service Co-ordinator and/or the Regional Office Duty Officer is notified of the incident.
- Support staff to ensure the Client Incident Report Form is appropriately and comprehensively filled in.
- Support the Services Managers in the investigation, development and implementation of an action plan in response to the incident.

5.2 Service Manager

- Immediately report high category incidents to the CEO.
- Provide debriefing and support to staff (as required)
- Liaise with the client and their family/ carers and ensure they are supported as required.
- Ensure DSA Service Co-ordinators are notified of the incident
- Convene a case planning process to ensure an appropriate response to the needs of individual client (and their family/carers) arising from this incident.
- Investigate High, Medium and Low Category incidents and develop and implement an action plan in response to all incidents to minimise risk of recurrence
- Delegate responsibility for implementation as required and managed the implementation of the action plan.
- Co-ordinate and complete all necessary documentation and forward to the relevant officers.

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5.3 Chief Executive Officer

- Ensure the appropriate incident documentation, investigation and action planning for all High Category incidents
- Brief the Chairperson of the Board on High Category Incidents
- Report High Category Incidents to the Office for Disability Ageing and Carers in the Department For Families and Communities
- Report High Category Incidents to the Special Investigation Unit
- Support the investigation by Police of incident (where required)
- Take action to stand down or reassign staff pending investigation where the matter relates to a police investigation of an allegation against the staff
- Upon consideration of Client Incident Report Form commission an external investigation considered necessary or on receipt of documentation from the Service Manager's Investigation commission any further investigation if required
- Undertake any disciplinary action or dismissal of staff that may be appropriate from very serious breaches of duty of care.
- Keep apprised of any action arising from investigations and review the implementation of action plans
- Ensure the Service Improvement Committee and the Board are apprised regularly on analysis of trends and actions for service improvement from Client Incidents.
- Ensure follow up on hazard management and property damage
- Deal with media requests or coverage.
- Ensure that the client, their family/carers and staff involved in the incident are informed of the investigation outcomes and action taken as a result of the incident.

6. Investigation Process

When the Chief Executive, Service Manager (or their delegate) is investigating an incident covered by these procedures they will ensure that the investigation process is mindful that:

- Client rights to care, high quality services and duty of care is paramount
- Prompt action, sensitivity and respectfulness are important
- Fairness and natural justice apply
- Confidentiality is maintained and privacy is respected
- Impartiality with potential conflicts of interest managed
- Reporting of abuse and any alleged criminal activities to the police means the police investigation takes precedent over the internal investigation. Where police or the Special Investigation Unit is undertaking an investigation the scope of the CLASS internal investigation shall be discussed with the Police and Special Investigation Unit (by the Chief Executive) in advance. In these circumstances it is anticipated the CLASS investigation process shall be limited to consideration of immediate environmental, policy or operational issues to ensure client safety and prevention of further incidents. Any people who are the focus of a police investigation shall not be approached during a CLASS investigation without Police agreement.
- Interviews during the investigation shall be conducted in private and documented.
- Participants have access to natural justice

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- Participants in the process may wish to have another person of their choice present to provide them with support while they speak about the incident
- The purpose and scope of the investigation and what will happen to the investigation report should be explained to participants in the investigation
- The participant should not feel under pressure or adversely influenced regarding their participation in the investigation, e.g. feelings of threat, promise or inducement
- Investigators do not ask leading questions and investigators paraphrase participant responses at appropriate intervals to ensure an accurate understanding of the participants' views.
- Investigators shall review whether CLASS policy, operational procedures and relevant protocols were followed and their adequacy in protecting clients in this and future incidents assessed
- Investigators shall record relevant contextual issues that may be related to the incident e.g. staffing ratios, staff experience and training, issues related to the venue, client numbers/compatibility and other factors.

7. Related Documents

This operating procedure was developed as a consequence of CLASS Client Services Policy Statement and should be read in conjunction with the following operating procedures:

- Oper. Proc. Working in Isolation OP CSO1-01(09)
- Oper. Proc. Seizure management OP CSO1-02(09)
- Oper. Proc. Transporting Clients OP CSO1-03 (09)
- Oper. Proc. Water Safety OP CSO1-05(09)
- Oper. Proc. Accident incidents OP CSO1-06(09)
- Oper. Proc. Behaviour Management OP CSO1-07(10)
- Oper. Proc. Climatic Stress OP CSO1-11(10)
- Oper. Proc. Client illness and Emergencies OP CSO1-16(10)
- Oper. Proc. Client Money and Assets OP CSO1-17(10)
- Oper. Proc. Medication Management OP CSO1-19 (10)

APPROVED BY THE CHIEF EXECUTIVE			
This Operating Procedures supersedes all other Working in Isolation Operating Procedures and is applicable across CLASS inc. from the authorising date below.			
Authorising Officer	Position	Date	Signature
Mark Kulinski	Chief Executive	21/9/2011	