

Ref No.:

Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations

Effective Date:	1 October 2009
Review Date:	1 October 2010
Replaces:	Not applicable
Custodian:	Office for the Community Sector

Introduction

An effective incident monitoring system is a key component of the *Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012*. This policy is referenced within Funding Agreements and other contractual arrangements between the Department of Health and Human Services (Agency) and community sector organisations.

Under Section 9 of the *Workplace Health and Safety Act 1995*, every organisation has a responsibility to ensure, as far as reasonably practicable, that consumers, staff, volunteers and visitors are safe from injury and risk to health. In particular, organisations have a responsibility to provide and maintain, as far as is practicable, a safe environment and safe systems of service provision and are responsible for minimising the likelihood of consumer related incidents and near misses.

In order to establish consistent definitions, rating and reporting consumer related incidents occurring within community sector organisations, this policy is supported by:

- Incident Monitoring Guideline for Consumer Related SAC Rated 1 or 2 Incidents; and
- Incident Monitoring Guideline for Consumer Related SAC Rated 3 or 4 Incidents.

Community sector organisations are required to have systems and processes in place to appropriately monitor and manage consumer related incidents and near misses. This suite of documents will assist the community sector organisation to minimise the occurrence/recurrence of consumer related incidents and near misses, and utilise the learnings to enhance broader organisational systems and processes to foster a culture of continuous quality improvement.

This policy and supporting guidelines do not override or replace legislative reporting requirements.

Definitions

For the purposes of this policy the following definitions apply:

Agency is the Department of Health and Human Services.

Agency Units are both the Departmental and Operational Units within the Agency that purchase services from community sector organisations.

Community Sector Organisations includes any Agency funded organisation that provides services through a Funding Agreement.

Consumer is a person who directly or indirectly receives services from an Agency funded Community Sector Organisation.

Consumer related incident is an event that is **unexpected** and **unintended** that **could have** (near miss) or **did** lead to harm or suffering, loss or damage to a consumer during the provision of service; and/or

an incident involving, or at the initiation of, a consumer that may or did lead to injury through assault or accident, to a staff member, volunteer or visitor to the organisation.

Policy Statement

It is the policy of the Agency that, in accordance with the *Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012*, all community sector organisations are required to report:

- Severity Assessment Code (SAC) rated 1 or 2 consumer related incidents and near misses to the Agency within 24 hours or the next working day, after immediately addressing the health and wellbeing of those involved and securing the scene of the incident;
- De-identified SAC rated 3 or 4 consumer related incidents to the Agency every six (6) months;

Every reasonable step must be taken to minimise the opportunity for occurrence/recurrence of all consumer related incidents and near misses.

Learnings should be incorporated into the systems and operations of the community sector organisation to enhance safe service provision.

The success of incident management is dependent upon reporting back to all stakeholders the outcomes of an enquiry and any investigation in a timely manner. People involved in the incident need to be informed of the recommendations arising from an enquiry and any investigation.

Scope

This policy refers to consumer related incidents and near misses that occur within a context of service provision delivered by a funded community sector organisation. This policy covers the:

- responsibilities and expectations of community sector organisations in relation to consumer related incident monitoring;
- reporting requirements for all consumer related incidents including near misses;
- responsibilities and expectations of Agency Units in relation to responding to and managing SAC rated 1, 2, 3 and 4 consumer related incidents, including near misses; and
- documents generated during the consumer related incident management process.

Note: For the purposes of this policy, an event that is expected or usual to the consumer's ongoing health and wellbeing, presentation and/or behaviours is not considered an incident.

Objective

The objectives of this policy are to:

- support the provision of safe and high quality services to enhance consumer safety within community sector organisations;
- as appropriate, advise community sector organisations and Agency Units about effective responses to consumer related incidents that occur within the context of funded community sector service provision;
- promote a consistent and coordinated approach to the definition, rating and reporting of consumer related incidents;
- assist community sector organisations to improve service delivery systems to further minimise the opportunity for occurrence/recurrence of incidents.
- facilitate learning through a consistent approach of incident analysis, both at the organisational and sector-wide level, and generalise the learnings and system improvements.

Expected Outcomes

- Community sector organisations will verbally report all consumer related incidents and near misses rated as SAC 1 or 2 within 24 hours or on the next working day.
- Community sector organisations will provide de-identified data for all consumer related incidents and near misses rated as SAC 3 or 4 at pre determined dates.
- Follow up and investigation of incidents will be carried out quickly and effectively, and consumers / personnel will be given as full an explanation as is reasonably practicable.
- A culture of fairness, natural justice and good practice will be nurtured.
- A safer system where continuous learning and improvement is the norm.

Policy

In addition to the principles contained within the *Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012* this policy is based on the following values and ethics:

- **Open Disclosure** – consistent with a culture of no blame, errors are reported and acknowledged, and consumers and other relevant stakeholders are told what went wrong and why;
- **Emphasis on learning** – the reporting of consumer incidents is promoted in an environment that facilitates learning through a consistent approach to managing and analysing incidents, both at the organisational and sector-wide level;
- **Obligation to act** – the obligation to take action to remedy problems is clearly accepted and the allocation of this responsibility is unambiguous and explicit;
- **Accountability** – the limits of individual accountability are clear, individuals understand when they may be held accountable for their actions;

- **Natural Justice** – principles of natural justice and procedural fairness are adhered to in the management of consumer incidents;
- **Appropriate prioritisation of action** – action to address problems is prioritised and appropriately resourced;
- **Capacity Building** – resources that enable community sector organisations to develop procedures, staff education and service enhancements regarding incident management are developed and distributed; and
- **Partnership** – collaborative reporting and management systems between community sector organisations and the Agency are established and maintained.

Rationale/Evidence Base

- The *Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012*
- Safety and Quality Framework *Keeping Our Services Safe* (under development);
- The DHHS Strategic Directions 2009-2012;
- Australian Commission on Safety and Quality in Health Care;
- Australian Charter of Healthcare Rights;
- State Service Act 2000;
- Health Complaints Act 1995;
- Workplace Health and Safety Act 1995.

Responsibilities/Expectations

Effective consumer related incident management requires a whole of organisation approach with accountability for reporting and feedback at all levels. In partnership, the Agency has the important role to engage with community sector organisations to promote the safety of consumers and service provision.

It is expected that community sector organisations will have systems and processes in place, or develop such, to ensure that the organisation appropriately monitors and manages consumer related incidents.

Community Sector Organisations and the Agency are expected to:

- contribute to a culture that actively minimises the opportunity for incidents to occur;
- approach the management of incidents within a partnership framework;
- restore a safe environment as soon as possible following an incident;
- minimise the opportunity for others to be exposed to the incident environment;
- actively contribute to enquiry and/or investigation of incidents as required; and
- participate in the implementation of recommendations as required.

Community Sector Organisations and the Agency are required to:

- report an incident according to established processes and guidelines, including the:
 - *Incident Monitoring Guidelines for Consumer Related SAC Rated 1 and 2 Incidents*; and
 - *Incident Monitoring Guidelines for Consumer Related SAC Rated 3 and 4 Incidents*.
- prioritise the health and wellbeing of those directly affected in an incident;
- manage verbal and documented information according to legal obligation.

Community Sector Organisations

Additionally, community sector organisations:

- are expected to have established organisational policies / procedures / guidelines / processes that support this policy;
- in the case of SAC rated 1 or 2 consumer related incidents, are required to **verbally report** the incident to the Agency within 24 hours or the next working day after immediately addressing the health and wellbeing requirements of those directly affected, as documented within the *Incident Monitoring Guidelines for Consumer Related SAC rated 1 or 2 Incidents*;
- in the case of SAC rated 1 or 2 consumer related incidents, are then required to provide a **documented report** to the Agency Unit within 2 working days of the incident occurring, as documented within the *Incident Monitoring Guidelines for Consumer Related SAC rated 1 or 2 Incidents*;
- in the case of SAC rated 3 or 4 consumer related incidents, are required to report the de-identified data to the Office for the Community Sector on the pre-supplied template, as documented within the *Incident Monitoring Guidelines for Consumer Related SAC rated 3 or 4 Incidents*;
- in the case of SAC rated 1 or 2 consumer related incidents, the community sector organisation and the Agency will identify stakeholders that should be advised of the incident;
- in the case of SAC rated 3 or 4 consumer related incidents, are expected to manage incidents to meet relevant legal requirements;
- are expected to have a policy in place that clearly states who within the community sector organisation is accountable for ensuring that reporting occurs in accordance with this policy; and
- are required, in line with the Funding Agreement, allow any person authorised by the Secretary of the Department of Health and Human Services immediate access for the purpose of investigating any SAC rated 1 or 2 consumer related incident.

Agency Units

Additionally, Agency Units:

- will respond to the immediate safety and wellbeing of consumers and community sector organisations in the event of serious consumer related incidents;
- will provide support and service specialist advice to community sector organisations and the Office for the Community Sector in the enquiry and/or investigation of incidents;
- will enter SAC rated 1 or 2 consumer related incident reports into the Electronic Incident Monitoring System (EIMS);

- will, in the case of SAC rated 1 or 2 consumer related incident, facilitate and support the participation of community sector organisations in the enquiry and/or investigation, including, but not limited to:
 - ensuring that an appropriate response has occurred in relation to the incident;
 - ensuring the organisation has informed all relevant authorities and stakeholders regarding the incident;
- will adhere to the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations* including the guidelines; and
- will provide guidance to community sector organisations about how and when consumers and relevant stakeholders will be notified of the occurrence and consequences of the incident.

Office for the Community Sector

The Office for the Community Sector:

- will support and monitor compliance with the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations*;
- will actively lead the process for enquiry and/or investigation of SAC rated 1 or 2 consumer related incidents;
- will, in the case of SAC rated 1 or 2 consumer related incidents, facilitate and support Agency Units and community sector organisations in the management and investigation of incidents, including, but not limited to:
 - ensuring that an appropriate immediate health and safety response has occurred in relation to the incident;
 - ensuring that a communication process regarding the incident is negotiated between the community sector organisation and the Agency;
 - ensuring that an appropriate and robust enquiry and/or investigation process has been undertaken;
 - facilitating support activities for the community sector organisation as appropriate; and
 - reviewing the recommendations of enquiries and/or investigations, and coordinating sector-wide capacity building processes based on these recommendations where appropriate.
- will identify and analyse trends relating to incidents and near misses;
- will provide advice to community sector organisations and Agency Units in response to queries about consumer related incident management; and
- will facilitate internal communication consistent with Agency requirements.

Audit and Compliance

A set of key performance indicators regarding the Responsibilities/Expectations of all stakeholders will be established and used as the basis for ongoing monitoring of compliance with this policy.

The Office for the Community Sector is responsible for undertaking regular audits to ensure this policy and supporting guidelines are being complied with.

Related Documents/Resources

- *Personal Information Protection Act 2004*;
- *Privacy Act 1988*;
- *Workplace Health and Safety Act 1995*;
- *Funding Agreement between the Crown in Right of Tasmania and the Organisation*; and
- *An Overview of the Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector Organisations 2009 – 2012*.
- Agency internal policies and guidelines.

Attachments

1. Incident Monitoring Guidelines for Consumer Related SAC Rated 1 or 2 Incidents:
 - Appendix 1 Severity Assessment Code Matrix;
 - Appendix 2 Severity Assessment Code Rated 1 or 2 Incident Report;
 - Appendix 3 Incident Management Flowchart; and
 - Appendix 4 Incident Type Classifications and Definitions.
2. Incident Monitoring Guidelines for Consumer Related SAC Rated 3 or 4 Incidents:
 - Appendix 1 Severity Assessment Code Matrix;
 - Appendix 2 Severity Assessment Code Rated 3 or 4 Incident Statistical Data Report template;
 - Appendix 3 Incident Management Flowchart; and
 - Appendix 4 Incident Type Classifications and Definitions.

Incident Monitoring Guideline for Consumer Related SAC Rated 1 or 2 Incidents

Effective Date:	1 October 2009
Review Date:	1 October 2010
Replaces:	Not applicable
Custodian:	Office for the Community Sector

Introduction

This guideline is an attachment to, and should be read in conjunction with, the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations*.

This guideline is applicable to all consumer related incidents and near misses that occur within the context of community sector service provision and are rated as a Severity Assessment Code (SAC) 1 or 2.

This guideline does not override or replace legislative reporting requirements.

What is a consumer related incident?

An incident is an event that is **unexpected** and **unintended** that **could have** (near miss) or **did** lead to harm or suffering, loss or damage to a consumer during the provision of service.

An incident involving, or at the initiation of, a consumer that may or did lead to injury through assault or accident, to a staff member, volunteer or visitor to the organisation.

For the purposes of this guideline a consumer related incident is not...

- a complaint, which is a written or verbal expression of dissatisfaction or concern regarding service provision or support; or
- an allegation, which is a claim that has not been tested or substantiated; or
- an event that occurs outside of the context of service provision; or
- an event that is expected or usual to the consumer's ongoing health and wellbeing, presentation and/or behaviours.

How do I assess the seriousness of the incident using the SAC matrix?

Incidents are rated as SAC 1 or SAC 2 using the Severity Assessment Code Matrix (refer to Appendix 1).

A SAC rating is determined by:

1. considering the consequence or impact of the incident for the consumer; and
2. considering the likelihood of the incident recurring for the same consumer or another consumer.

SAC rated 1 or 2 incidents include those that:

i Affect health and wellbeing and result in:

- Death or permanent injury that is unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management.

Death or permanent injury may be:

- Natural;
 - Accidental; or
 - Intentional.
- Injury requiring admission to hospital, which may have resulted from:
 - Abuse;
 - Neglect;
 - Assault; or
 - Accident.
 - Permanent loss of function requiring an increased level of support; and
 - Theft or misappropriation of consumer funds.

ii Affect the provision of services to consumers including:

Complete or major loss of service, or significant service reduction due to;

- An environmental event (fire, flood etc.) requiring:
 - evacuation and temporary or permanent closure; or
 - significant reduction in service.
- A major external review that recommends closure or reduction in service provision or resources; and
- Financial loss, as a result of theft or misappropriation, that has a serious impact upon the community sector organisation's ability to provide services as described in the Funding Agreement.

What do I do if there is a SAC rated 1 or 2 incident?

Immediate action by the community sector organisation

Following a SAC rated 1 or 2 incident or near miss, immediate action will need to be taken depending upon the type of incident. These actions may include:

1. Provide immediate support to individuals involved in the incident. This is likely to include contacting emergency services (Dial 000);
2. Secure the scene by re-establishing a safe environment, and restricting access to minimise trauma to others and allow police or other authorities to undertake their duties;
3. Alert the manager or person in charge of the community sector organisation;
4. Gather basic information about the chain of events;
5. Verbally notify the Agency Unit of the incident within 24 hours or the next working day, stating:
 - An explanation of the apparent circumstances of the incident and affected parties;
 - An outline of the consequences of the incident;
 - An outline of the immediate steps being taken to manage the incident and support those affected; and
 - Community sector organisation's contact person details, for follow up.
6. In consultation with the Agency Unit, identify stakeholders that should be advised of the incident.

Immediate action by the Agency

Agency Unit

- Upon being informed of the SAC rated 1 or 2 incident the Agency Unit will directly provide or facilitate any support required by the community sector organisation, particularly in relation to health and safety issues arising from the incident.
- The Agency Unit will provide advice and guidance regarding appropriate initial communication with family and other stakeholders.
- The Agency Unit will alert their manager of the reported incident and outline immediate plans to provide support to the community sector organisation.
- The Agency Unit will advise the Office for the Community Sector as soon as possible within working hours.
- The Office for the Community Sector will advise the Office for the Community Sector Director and prepare an initial briefing.

Documented Reporting

The community sector organisation must forward a documented report to the Agency Unit within 2 working days following an incident occurring. Community sector organisations may utilise the Severity Assessment Code Rated 1 or 2 Incident Report (Appendix 2) or their existing processes for this purpose, so long as the information contained within the Incident Report is provided.

Within 2 hours of receipt of the Incident Report, the Agency Unit will enter the information into the Electronic Incident Monitoring System (EIMS).

Completing the Severity Assessment Code rated 1 or 2 Incident Report

General Incident Information

- For incidents that affect the health and wellbeing of consumers select the incident type which most accurately identifies the type of incident that has occurred.
- For incidents that affect the provision of services to consumers select the incident type of:
 - Environment, when the incident is an environmental event;
 - Safety/Security/Behaviour, when a major external review recommends closure or reduction in services or resources;
 - Safety/Security/Behaviour, when financial loss that has serious impact upon the community sector organisation's ability to provide services as described in the Funding Agreement has occurred.
- Provide community sector organisation details;
- Provide the consumer's demographic details (name, age, gender), if applicable;
- If the consumer is subject to a legal order please select the relevant box;
- Insert the incident details including date, time, service type and exact location of the incident;
- Name, position and contact details of the person who reported the incident;
- Name, position and contact details of any witnesses;
- A factual description of the chain of events leading up to, during and following the occurrence of the incident, including remedial action taken and the involvement of any emergency services; and
- The persons notified of the incident, and the date and time the notifications occurred.

What will happen after the SAC rated 1 or 2 incident?

- An enquiry will be led and/or monitored by the Office for the Community Sector to establish the facts surrounding the incident.
- In some cases a formal investigation may be undertaken.
- The investigation process may be led or monitored by the Office for the Community Sector to ensure appropriate and supportive communication.
- In some cases an external lead investigator will be appointed by the Office for the Community Sector to maximise high level expertise and independence.

- The enquiry and/or investigation will be time-lined and will require appropriate participation from all key stakeholders.
- The aim of an enquiry and/or investigation is to establish facts, context and root causes, enabling the identification of solutions and systems improvement, supporting a culture of continuous quality improvement and to minimise recurrence of the incident.
- An investigation is not a process to attribute blame.
- Agency Unit staff will be required to provide service specialist input.
- Where it is suspected or known that criminal activity or breach of other legislation is associated with the incident, a referral to the appropriate authority will be made and advice will be sought for the appropriate pathway for continued investigation.

How do I use the learnings to enhance service systems, processes and service delivery?

- Learnings from most enquiry and/or investigations will result in outcomes that will be useful for the purposes of continuous quality improvement.
- Improvements may include the following:
 - Changes in policy or protocols;
 - Changes to standard operating procedures;
 - Training and education; and
 - Revised service delivery pathways.
- An action plan may be developed to progress the improvement strategy and will include stakeholder roles, responsibilities and timeframes for completion.

How will information be managed?

- Respecting the privacy and dignity of persons involved in a serious incident is paramount;
- Personal information should be shared on a 'need to know basis';
- Personal information and information relating to the SAC rated 1 or 2 incident must be stored securely; and
- Personal information and information relating to the enquiry and/or investigation of the SAC rated 1 or 2 incidents will be securely managed by the Agency.

Severity Assessment Code Matrix

For the purpose of incident monitoring and reporting consumer related incidents within the Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009-2012.



Consequence

- Step 1 – Determine the consequence of the incident occurring.

	Severe	Major	Moderate	Minor	Minimum
Affects Consumers	Consumer death unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. Cause of death may be: - Natural; - Accidental; or - Intentional.	Injury requiring admission to hospital unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. May have resulted from: - Abuse; - Neglect. - Assault - Accident Permanent loss of function unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management.	Injury resulting in periodic loss or reduction in function unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. Theft or misappropriation of consumer funds	Increased level of support, including: Referral to clinicians / other services; Increased duration of service provision; or First Aid treatment.	No injury or increased level of support, including: - Minimal clinical intervention; or - No impact on level or duration of service provision.
Affects Service Provision	Complete loss of service or output An environmental event requiring evacuation and temporary or permanent closure of service.	Major loss of service or output, or significant service reduction. A major external review that recommends closure or reduction in services or resources. Financial loss that has a serious impact upon the organisations ability to provide services as described in the Funding Agreement.	Significant disruption to users due to output problems (e.g. Pandemic outbreak resulting in serious staff shortages).	Minor service disruption or reduction (e.g. episodic staff shortages). An environmental event contained within a local physical area that does not significantly reduce service provision. Financial loss that has an impact on the organisations ability provide services as described in the Funding Agreement	No service disruption or reduction.

Likelihood

- Step 2 – Determine the likelihood of the incident occurring.

Frequent	Is expected to occur / reoccur either immediately or within a short period of time (likely to occur most weeks or months).
Likely	Will probably occur / reoccur in most circumstances (several times a year).
Possible	Possibly will occur / reoccur at some time (may happen every 1 to 2 years).
Unlikely	Possibly could occur / reoccur at some time in 2 to 5 years.
Rare	Unlikely to occur / reoccur – only in exceptional circumstances (may happen every 5 to 30 years).

Severity Assessment Code (SAC)

- Step 3 – Determine the Severity Assessment Code.

		Consequence				
		Severe	Major	Moderate	Minor	Minimum
Likelihood	Frequent	1	1	2	3	3
	Likely	1	1	2	3	3
	Possible	1	2	2	3	4
	Unlikely	1	2	3	4	4
	Rare	2	3	3	4	4

Reporting Action Required

- Step 4 – Determine the reporting action required.

1	Immediate action required – Serious Incident Verbal Report must be made to the Agency Unit within 24 working hours.
2	Immediate action required – Serious Incident Verbal Report must be made to the Agency Unit within 24 working hours.
3	Manage by organisational procedures – De-identified aggregate data provided to the Office for the Community Sector 6 monthly.
4	Manage by organisational procedures – De-identified aggregate data provided to the Office for the Community Sector 6 monthly.



SAC Rated 1 or 2 Incident Report

This report:

- is to be completed for the reporting of consumer related SAC 1 or SAC 2 incidents;
- is to be completed in line with the *Incident Monitoring Guideline for Consumer Related SAC rated 1 or 2 Incidents*; and
- must be forwarded to Agency Operational Units within 2 working days of the incident occurring; and

General Incident Information

Incident Type

- | | | | | |
|--|--|--|---|---|
| <input type="checkbox"/> Adverse Drug Reaction | <input type="checkbox"/> Airway Management | <input type="checkbox"/> Blood / Blood Product | <input type="checkbox"/> Care / Service Coordination | <input type="checkbox"/> Diagnosis / Treatment |
| <input type="checkbox"/> Diagnostic Test | <input type="checkbox"/> Environment | <input type="checkbox"/> Fall | <input type="checkbox"/> ID / Documentation / Consent | <input type="checkbox"/> Infection Control |
| <input type="checkbox"/> Lab Specimen / Test | <input type="checkbox"/> Line / Tube | <input type="checkbox"/> Maternal / Childbirth | <input type="checkbox"/> Medication / Fluid | <input type="checkbox"/> Restraint Supportive Devices |
| <input type="checkbox"/> Safety / Security / Behaviour | <input type="checkbox"/> Skin / Tissue | <input type="checkbox"/> Surgery / Procedure | <input type="checkbox"/> Surgical Site Infection | <input type="checkbox"/> Vascular Access Device |

Did Injury Occur? Yes No – Near Miss

Was Equipment Involved / Malfunctioned? Yes No

Organisational Details

Name

Address

Phone

Consumer Information

- Details of the Consumer affected by this incident.

Last Name First Name

Sex Female Male Date of Birth

Street City

Phone Diagnosis

Legal Status

- | | | | |
|--|--|---|---|
| <input type="checkbox"/> No Legal Order | <input type="checkbox"/> Alcohol and Drug Dependency Act | <input type="checkbox"/> Child, Young Person and their Families Act | <input type="checkbox"/> Criminal Justice Act |
| <input type="checkbox"/> Guardianship and Administration Act | <input type="checkbox"/> Mental Health Act | <input type="checkbox"/> Sentence or Remand | <input type="checkbox"/> Other |

Incident Details

- Details of when and where this incident occurred.

Please affix any additional information here

Incident Date _____

Incident Time _____

Service Type _____

Exact Location _____

Reported / Witnessed By

Reported By _____

Position _____

Contact No. _____

Witnessed By _____

Position _____

Contact No. _____

Specific Incident Details

- Were there any contributing factors?



Immediate Actions Taken




Severity Assessment Code Rating

SAC 1

SAC 2

Provide a brief factual description of the incident:



Notification

- Who was notified about this incident?

Name _____ Date _____ Time _____

Name _____ Date _____ Time _____

Name _____ Date _____ Time _____

Please provide any additional regarding notifications made:



SAC Rated 1 or 2 Incident Management Flowchart

- To be read in conjunction with the *Incident Monitoring Guideline for Consumer Related SAC rated 1 or 2 Incidents*.



Immediate action by the Community Sector Organisations

Provide immediate assistance to those affected

Secure the scene by re-establishing a safe environment and restricting access

Alert the Manager or person in charge

Gather basic information about the chain of events

Verbally notify the Agency Unit of the incident within 24 hours or the next working day

Negotiate a plan with the Agency Unit for initial communications with families / stakeholders

Immediate action by the Agency

Directly provide, or facilitate, any support required by the organisation

Provide advice and guidance regarding initial communication with families / stakeholders

Alert Manager of the incident and outline immediate supports provided

Advise the Office for the Community Sector

Initial Briefing prepared and Director, Office for the Community Sector notified

Documented Reporting by Community Sector Organisations

Documented report of the incident completed

Report forwarded to the Agency Unit within 2 working days of the incident occurring

Documented report received by the Agency Unit

Incident entered into EIMS within 2 hours of its receipt by Agency Unit



Incident Type Classifications and Definitions

These Incident Type classifications and definitions should be read in conjunction with the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations* and guidelines.

Adverse Drug Reaction

Incident related to unavoidable, unintended consequence of drug therapy.

Airway Management

Incident related to airway management (i.e. self-extubation)

Blood/Blood Product

Incident related to the prescribing, processing, dispensing or administration of blood or blood products.

Care/ Service Coordination

Incident related to the communication or of processes between individuals or departments that is not a contributing factor to another incident type (i.e. patient arrives without chart, etc.)

Diagnosis/Treatment

Incident related to diagnosis or ordering, preparation or performance of a treatment.

Diagnostic Test

Incident related to ordering, preparation, or results of a diagnostic test of exam.

Environment

Incident related to the internal or external physical environment.

Fall

Incident where an individual makes contact with the ground or an object on the way to the ground.

ID/Documentation/Consent

Incident related to identification, chart documentation of consent, etc. that is not a contributing factor to another incident type.

Infection Control

Incident related to infection control pro-active and policy (i.e. sharps, use, use of personal protective equipment, etc.).

Lab Specimen/Test

Incident related to ordering, preparation, performance or results of a lab specimen or test.

Line/Tube

Incident to the order, preparation, insertion or use of a line or tube (excluded central, peripheral and PICC lines covered under Vascular Access Device incidents).

Maternal/Childbirth

Incident related to the pre-natal, delivery or post-partum care of mother and/or child.

Medication/Fluid

Incident related to prescribing, processing, dispensing or administration or medication or IV.

Restraint/Supportive Devices

Incident related to use of physical or chemical restraint and supportive devices.

Safety/Security/Behaviour

Incident related to the safety and security of an individual, personal belongings or property or the conduct of an individual.

Skin/Tissue

Incident related to trauma of skin or tissue such as phlebitis, rashes etc. not resulting from another incident type such as a fall.

Surgery/Procedure

Incident related to ordering, preparation or performance of a surgical procedure or anaesthesia.

Surgical Site Infection

Incident related to initial diagnosis and tracking of surgical site infections.

Vascular Access Device

Incident related to complications of central, peripheral and PICC lines. Includes problems/defects in catheters or lines/tubing. Includes all infiltrations and extravasations.

Incident Monitoring Guideline for Consumer Related SAC Rated 3 or 4 Incidents

Effective Date:	1 October 2009
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Custodian:	Office for the Community Sector

Introduction

This guideline is an attachment to, and should be read in conjunction with, the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations*.

This guideline is applicable to all consumer related incidents and near misses that occur within the context of community sector service provision and are rated as a Severity Assessment Code (SAC) 3 or 4.

This guideline does not override or replace legislative reporting requirements.

What is a consumer related incident?

An incident is an event that is **unexpected** and **unintended** that **could have** (near miss) or **did** lead to harm or suffering, loss or damage to a consumer during the provision of service.

An incident involving, or at the initiation of, a consumer that may or did lead to injury through assault or accident, to a staff member, volunteer or visitor to the organisation.

For the purposes of this guideline a consumer related incident is not...

- a complaint, which is a written or verbal expression of dissatisfaction or concern regarding service provision or support; or
- an allegation, which is a claim that has not been tested or substantiated; or
- an event that occurs outside of the context of service provision; or
- an event that is expected or usual to the consumer's ongoing health and wellbeing, presentation and/or behaviours.

How do I assess the seriousness of the incident using the SAC matrix?

Incidents are rated as SAC 3 or SAC 4 using the Severity Assessment Code Matrix (refer to Appendix 1). A SAC rating is determined by:

1. considering the consequence or impact of the incident for the consumer; and
2. considering the likelihood of the incident recurring for the same consumer or another consumer.

SAC rated 3 or 4 incidents include those that:

Affect health and wellbeing

Including those resulting in:

- Increased level of support;
- Referral to clinicians / other services;
- Increased duration of service provision; or
- First-aid treatment.

Affects the provision of services to consumers

Including:

- Minor service disruption or reduction;
- An environmental event contained within a local physical area that does not significantly reduce service provision; or
- Financial loss, as a result of theft or misappropriation, that has a minor impact upon the community sector organisation's ability to provide services as described in the Funding Agreement.

What do I do if there is a SAC rated 3 or 4 incident?

Action by the community sector organisation

Community sector organisations are expected and required by the *Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009-2012* to implement the organisation's procedures and processes to manage SAC rated 3 or 4 consumer related incidents, including the following:

1. Following a SAC rated 3 or 4 incident or near miss, the community sector organisation is expected to provide immediate support to individuals involved in the incident;
2. Take action to re-establish a safe environment;
3. Alert a supervisor or manager as required;
4. Gather basic information about the chain of events;
5. Record the incident to enable completion of the SAC rated 3 and 4 Incident Statistical Data Reporting template provided with this guideline (refer to Appendix 2);
6. Manage the incident with the aim of improving systems and processes to minimise recurrence;
7. Undertake analysis of the data to enable organisational system and process improvements.

Reporting data to the Office for the Community Sector by the Community Sector Organisation

De-identified data is to be reported to the Office for the Community Sector every 6 months consistent with the reporting timeframes documented within the *Overview of the Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012*.

Community sector organisations may submit the data on the pre-supplied template (refer to Appendix 2) or utilise their existing processes so long as the information required on the template is provided.

Completing the Severity Assessment Code rated 3 or 4 data reporting template

The template requires the identification of the number of times the same incident type occurred at the same rating during the reporting period.

The template separates SAC rated 3 and 4 incident data.

- Select the SAC rating;
- Select Incident Type Code(s)
 - for incidents that affect the health and wellbeing of consumers select the incident type which most accurately identifies the type of incident that has occurred.
 - for incidents that affect the provision of services to consumers select the incident type of:
 - Environment, when the incident is an environmental event;
 - Safety/Security/Behaviour, when financial loss that has minor impact upon the community sector organisation's ability to provide services as described in the Funding Agreement has occurred.
- Document the number of times an incident of this type and SAC rating has occurred during the reporting period;
- Insert comments as appropriate (this section is optional).

How will the Office for the Community Sector use the de-identified data?

- For the purposes of trending and identifying individual organisational patterns to highlight areas or issues that may require education or training or other support.
- For the purposes of trending and identifying sector-wide patterns to highlight areas or issues that may require education or training or other support.

How do I use the learnings to enhance service systems, processes and service delivery?

- Analysis of the incidents and any identified trends will enable quality improvement activity to be undertaken to minimise the opportunity for recurrence of the incident. For example, quality improvement activity may include:
 - Changes in policy or protocols;
 - Changes to standard operating procedures;
 - Training and education; and
 - Revised service delivery pathways.
- An action plan is one strategy to progress the improvement activity and should include stakeholder roles, responsibilities and timeframes for completion.

Information Management

- Respecting the privacy and dignity of persons involved in an incident is paramount;
- Personal information should be shared on a 'need to know basis';
- Personal information and information relating to the SAC rated 3 or 4 incident must be stored securely; and
- Individual organisational de-identified data relating to SAC rated 3 or 4 incidents will be securely managed by the Agency.

Severity Assessment Code Matrix



For the purpose of incident monitoring and reporting consumer related incidents within the Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009-2012.

Consequence

- Step 1 – Determine the consequence of the incident occurring.

	Severe	Major	Moderate	Minor	Minimum
Affects Consumers	Consumer death unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. Cause of death may be: - Natural; - Accidental; or - Intentional.	Injury requiring admission to hospital unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. May have resulted from: - Abuse; - Neglect. - Assault - Accident Permanent loss of function unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management.	Injury resulting in periodic loss or reduction in function unrelated to the ongoing health and wellbeing of the consumer and different from the immediate expected outcome of case management. Theft or misappropriation of consumer funds	Increased level of support, including: Referral to clinicians / other services; Increased duration of service provision; or First Aid treatment.	No injury or increased level of support, including: - Minimal clinical intervention; or - No impact on level or duration of service provision.
Affects Service Provision	Complete loss of service or output An environmental event requiring evacuation and temporary or permanent closure of service.	Major loss of service or output, or significant service reduction. A major external review that recommends closure or reduction in services or resources. Financial loss that has a serious impact upon the organisations ability to provide services as described in the Funding Agreement.	Significant disruption to users due to output problems (e.g. Pandemic outbreak resulting in serious staff shortages).	Minor service disruption or reduction (e.g. episodic staff shortages). An environmental event contained within a local physical area that does not significantly reduce service provision. Financial loss that has an impact on the organisations ability provide services as described in the Funding Agreement	No service disruption or reduction.

Likelihood

- Step 2 – Determine the likelihood of the incident occurring.

Frequent	Is expected to occur / reoccur either immediately or within a short period of time (likely to occur most weeks or months).
Likely	Will probably occur / reoccur in most circumstances (several times a year).
Possible	Possibly will occur / reoccur at some time (may happen every 1 to 2 years).
Unlikely	Possibly could occur / reoccur at some time in 2 to 5 years.
Rare	Unlikely to occur / reoccur – only in exceptional circumstances (may happen every 5 to 30 years).

Severity Assessment Code (SAC)

- Step 3 – Determine the Severity Assessment Code.

		Consequence				
		Severe	Major	Moderate	Minor	Minimum
Likelihood	Frequent	1	1	2	3	3
	Likely	1	1	2	3	3
	Possible	1	2	2	3	4
	Unlikely	1	2	3	4	4
	Rare	2	3	3	4	4

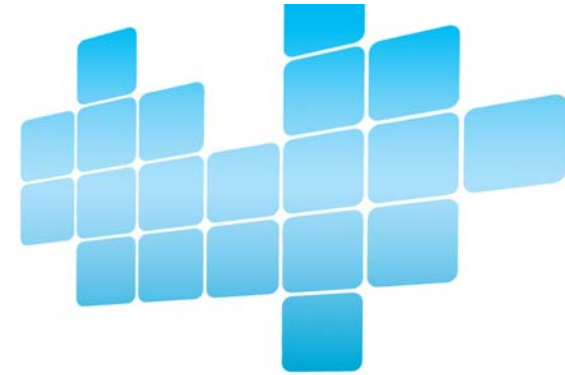
Reporting Action Required

- Step 4 – Determine the reporting action required.

1	Immediate action required – Serious Incident Verbal Report must be made to the Agency Unit within 24 working hours.
2	Immediate action required – Serious Incident Verbal Report must be made to the Agency Unit within 24 working hours.
3	Manage by organisational procedures – De-identified aggregate data provided to the Office for the Community Sector 6 monthly.
4	Manage by organisational procedures – De-identified aggregate data provided to the Office for the Community Sector 6 monthly.

Quality and Safety Standards Framework

SAC Rated 3 and 4 Incident Statistical Data Report



This form:

- Is used to provide statistical reporting for all consumer related SAC rated 3 and 4 incidents;
- Should be completed in line with the requirements of the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations* and guidelines;
- Should be submitted to the Office for the Community Sector within the timelines defined in the *Overview of the Quality and Safety Standards Framework for Tasmania's Agency Funded Community Sector 2009 – 2012*;
- Please refer to *Appendix 4 Incident Types Classifications and Definition*.

Organisation Name:

Reporting Period:

SAC 3 Incidents

Incident Type

Total Number of Incidents

Comments

Adverse Drug Reaction

Airway Management

Blood / Blood Product

Incident Type

Total Number of Incidents

Comments

Care / Service Coordination

Diagnosis / treatment

Diagnostic Test

Environment

Fall

ID / Documentation / Consent










Infection Control

Lab Specimen / Test

Incident Type

Total Number of Incidents

Comments

Line / Tube	<input type="text"/>	 <input type="text"/>
Maternal / Child Birth	<input type="text"/>	 <input type="text"/>
Medication / Fluid	<input type="text"/>	 <input type="text"/>
Restraint / Supportive Device	<input type="text"/>	 <input type="text"/>
Safety / Security / Conduct	<input type="text"/>	 <input type="text"/>
Skin / Tissue	<input type="text"/>	 <input type="text"/>
Surgery / Procedure	<input type="text"/>	 <input type="text"/>
Surgical Site Infection	<input type="text"/>	 <input type="text"/>
Vascular Access Device	<input type="text"/>	 <input type="text"/>

Incident Type

Total Number of Incidents

Comments

Adverse Drug Reaction

Airway Management

Blood / Blood Product

Care / Service Coordination

Diagnosis / treatment

Diagnostic Test

Environment

Fall

Incident Type

Total Number of Incidents

Comments

ID / Documentation / Consent

Infection Control

Lab Specimen / Test

Line / Tube

Maternal / Child Birth

Medication / Fluid

Restraint / Supportive Device

Safety / Security / Conduct

Incident Type

Total Number of Incidents

Comments

Skin / Tissue



Surgery / Procedure



Surgical Site Infection



Vascular Access Device



SAC Rated 3 or 4 Incident Management Flowchart

- To be read in conjunction with the *Incident Monitoring Guideline for Consumer Related SAC rated 3 or 4 Incidents*.



Immediate action by the Community Sector Organisations

Provide immediate assistance to those affected

Re-establish a safe environment

Alert a Supervisor or Manager as Required

Gather basic information about the chain of events

Record the incident

Manage the incident with the aim of improving systems and preventing recurrence

Undertake analysis of the data to enable organisational system and process improvements

Reporting Statistical Data to the Office for the Community Sector

Statistical data recorded on SAC 3 and 4 Statistical Data Report

De-identified data reported to the Office for the Community Sector every 6 months

Use of the De-identified data by the Office for the Community Sector

Trending and identifying organisational patterns that may require education or training

Trending and identifying sector-wide patterns that may require education or training



Incident Type Classifications and Definitions

These Incident Type classifications and definitions should be read in conjunction with the *Consumer Related Incident Monitoring Policy for Tasmania's Agency Funded Community Sector Organisations* and guidelines.

Adverse Drug Reaction

Incident related to unavoidable, unintended consequence of drug therapy.

Airway Management

Incident related to airway management (i.e. self-extubation)

Blood/Blood Product

Incident related to the prescribing, processing, dispensing or administration of blood or blood products.

Care/ Service Coordination

Incident related to the communication or of processes between individuals or departments that is not a contributing factor to another incident type (i.e. patient arrives without chart, etc.)

Diagnosis/Treatment

Incident related to diagnosis or ordering, preparation or performance of a treatment.

Diagnostic Test

Incident related to ordering, preparation, or results of a diagnostic test of exam.

Environment

Incident related to the internal or external physical environment.

Fall

Incident where an individual makes contact with the ground or an object on the way to the ground.

ID/Documentation/Consent

Incident related to identification, chart documentation of consent, etc. that is not a contributing factor to another incident type.

Infection Control

Incident related to infection control pro-active and policy (i.e. sharps, use, use of personal protective equipment, etc.).

Lab Specimen/Test

Incident related to ordering, preparation, performance or results of a lab specimen or test.

Line/Tube

Incident to the order, preparation, insertion or use of a line or tube (excluded central, peripheral and PICC lines covered under Vascular Access Device incidents).

Maternal/Childbirth

Incident related to the pre-natal, delivery or post-partum care of mother and/or child.

Medication/Fluid

Incident related to prescribing, processing, dispensing or administration or medication or IV.

Restraint/Supportive Devices

Incident related to use of physical or chemical restraint and supportive devices.

Safety/Security/Behaviour

Incident related to the safety and security of an individual, personal belongings or property or the conduct of an individual.

Skin/Tissue

Incident related to trauma of skin or tissue such as phlebitis, rashes etc. not resulting from another incident type such as a fall.

Surgery/Procedure

Incident related to ordering, preparation or performance of a surgical procedure or anaesthesia.

Surgical Site Infection

Incident related to initial diagnosis and tracking of surgical site infections.

Vascular Access Device

Incident related to complications of central, peripheral and PICC lines. Includes problems/defects in catheters or lines/tubing. Includes all infiltrations and extravasations.