

# YMCA NSW

## Incident Reporting and Management Policy



### 1. Document control

<b>Overview</b>	All incidents that occur on YMCA NSW premises or in the course of YMCA NSW programs and activities must be reported and managed to ensure they are resolved appropriately. This ensures staff are supported to respond as required, that YMCA NSW meets its external reporting requirements, and that our clients are kept appropriately informed where an incident affects them. Reporting and management of incidents is also important so that key issues and risks can be identified to prevent further incidents from occurring in future.
<b>Objective</b>	The Incident Reporting and Management Policy outlines the organisation's requirement to report and manage incidents. It provides a process staff must follow in relation to all incidents including: <ul style="list-style-type: none"> <li>• Prompt and accurate identification and reporting of incidents</li> <li>• Comprehensive reviews and/or investigations where required</li> <li>• Appropriate corrective action strategies and follow up</li> <li>• Analysis of incident information to identify and manage risks</li> </ul> Specific information for particular types of incidents is contained in the relevant procedures for those incident types.
<b>Scope</b>	All YMCA NSW staff including paid employees, volunteers, Board Directors, student placements, any consultants or contractors engaged by YMCA NSW and clients of YMCA NSW.
<b>Policy owner</b>	Chief Risk Officer
<b>Policy approver</b>	Chief Executive Officer
<b>Effective date</b>	08 November 2016
<b>Review date</b>	08 November 2018
<b>Related procedures</b>	Incident Reporting and Management Procedure Critical Incident Procedure Investigation Procedure

<i>File</i>	Incident Reporting and Management Policy			Page 1 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

# YMCA NSW

## Incident Reporting and Management Policy



### 2. Definitions

Term	Definition
<b>Staff</b>	Any person YMCA NSW employs, or engages – including paid employees, volunteers, Board Directors, contractors, consultants and student placements.
<b>Employee</b>	Paid employees of YMCA NSW.
<b>Volunteer</b>	Unpaid volunteers, student placements and Board Directors.
<b>Client</b>	Any user of YMCA NSW services – children's services, recreation services, camping services and community programs including children, young people, vulnerable adults, parents/guardians and facility users.
<b>Child or young person</b>	Refers to a person under the age of 18 years old.
<b>Vulnerable Adult</b>	An adult, aged 18 years or over: <ul style="list-style-type: none"> <li>• who is, or may be, in need of personal care or community services due to age, illness or disability</li> <li>• who is, or may be, unable to take care of himself/herself or unable to protect himself/herself against harm or exploitation</li> </ul>
<b>Incident</b>	An event that results in, or had the potential to result in, harm to any person, property, equipment, the surrounding environment or the wider organisation, for example – injury, illness, alleged child abuse, verbal or physical altercations, complaints, evacuations, natural weather events, chemical spills, theft etc.
<b>Reportable Incident</b>	An incident that must be reported to a funding or governing body as part of contractual or regulatory obligation e.g. Council partner, Department of Families and Community Services, Australian Children's Education and Care Quality Authority (ACECQA), NSW Ombudsman, SafeWork NSW, WorkSafe ACT.
<b>Serious Incident</b>	A serious incident that may include (but is not limited to): <ul style="list-style-type: none"> <li>• Death or permanent disablement</li> <li>• Child abuse or serious sexual or physical assault</li> <li>• A near miss that could have resulted in the points above</li> <li>• Serious allegation made against a staff member</li> <li>• Serious threats made by or against staff, clients or others that places people or property at risk of significant harm</li> <li>• Any event causing public outrage, alarm or negative publicity</li> <li>• Major interference with normal business operations</li> <li>• Major non-compliance or legal action against the YMCA NSW</li> </ul>
<b>Complaint</b>	An expression of dissatisfaction about a service, person, action taken or lack of action taken, where a response or resolution is explicitly or implicitly expected or legally required. Refer to the <i>Complaints and Feedback Policy</i> .
<b>Feedback</b>	An expression of satisfaction or acknowledgement or a suggestion for improvement about an organisation's services that can be used as a basis for improvement.
<b>Consequence Rating</b>	The level of severity applied to a particular incident in terms of its actual impact or 'consequence'. The rating may change as more information comes to light.
<b>Online reporting system</b>	Information System used by YMCA NSW for reporting and managing incidents that is accessed via the YMCA NSW Intranet Home Page.
<b>Investigation</b>	A systematic and thorough examination of incidents in order to discover facts or gain information and identify root causes of an incident.
<b>Review</b>	An examination of the factors involved in an incident to identify the root cause and corrective actions that can be implemented to reduce the risk of the incident reoccurring.

<i>File</i>	Incident Reporting and Management Policy			Page 2 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

## YMCA NSW

### Incident Reporting and Management Policy



### 3. Policy statement

YMCA NSW is committed to providing a safe environment and positive experience for all people within its premises and involved with its activities and programs. In order to do this, YMCA NSW staff must be able to promptly identify, respond to and manage all incidents that occur. This Policy provides for the prompt and accurate reporting of incidents, comprehensive reviews and investigations where required, corrective action strategies, ongoing follow up and analysis of actions and identification of any new issues that arise. YMCA NSW fosters and promotes organisational learning from incidents to reduce the risk of future incidents occurring and to provide both immediate and ongoing support for all staff, clients and others affected.

### 4. What YMCA will do to promote this policy

The YMCA NSW Incident reporting and management policy will be embedded in induction, training activities, team meetings and governance with monitoring and compliance activities undertaken by the YMCA NSW Risk and Audit team on an ongoing basis.

### 5. Policy Requirements

#### 5.1. Immediate Action

When an incident occurs the first priority is to take immediate and appropriate action. The actions taken will be determined by the circumstances of the incident and its severity and the likelihood of harm e.g. First-aid treatment, remove people from danger, notify emergency services etc.

#### 5.2. Report

After immediate action has been taken in response to an incident, the incident should then be reported. Serious incidents must be notified to management immediately before being logged online. Less serious incidents should be logged in the online reporting system prior to the end of shift or within 24 hours. Refer to page 7 for 'related procedures' for particular types of serious incidents.

##### 5.2.1. Serious Incidents

Staff must report a serious incident to their manager immediately. If there is any uncertainty or confusion about whether an incident is serious, it must be treated as serious and reported to management immediately. The manager on duty is responsible for evaluating the actual/potential impact of the incident and escalating if needed.

Refer to the *Critical Incident Procedure* for information about responding to serious incidents and conducting a Critical Incident Team meeting. Staff must not initiate any actions until advised by the Critical Incident Team.

<i>File</i>	Incident Reporting and Management Policy			Page 3 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

## YMCA NSW

### Incident Reporting and Management Policy



#### 5.2.2. Reportable Incidents

Reportable incidents are those that YMCA NSW is obligated by legislation or contract to notify to an external agency or organisation. Incidents must be reported within 24 hours so that reportable obligations can be complied with immediately and records reflect this.

#### 5.2.3. Notifications

There may be a number of external parties who should be informed of the occurrence of an incident after it has occurred, for example, parents/guardians, legislative bodies or service partners. The *Incident Reporting and Management Procedure* and *Critical Incident Procedure* include thorough information about notifications.

#### 5.3. Incident assessment

All incidents must be assessed to understand how the incident occurred and the actions required to reduce the risk of it occurring again, and/or to reduce the impact if it were to occur again. To establish a cause (if any), it is usually necessary to conduct a review or investigation.

##### 5.3.1. Incident Review

An incident review is conducted for less serious incidents and can be managed at a local level by Centre Managers/Coordinators in consultation with management where required.

##### 5.3.2. Incident Investigation

An incident investigation is required when the incident is more serious and/or complex and management and subject matter experts need to be involved to provide their advice and expertise. Whether an investigation needs to be conducted will depend on factors such as:

- The nature of the incident and its impact
- The significance of the impact of the incident for the organisation and those involved
- The time that has lapsed since the incident
- The clarity regarding the facts and circumstances that led to the incident
- Whether the incident indicates the presence of systemic issues or patterns of conduct within the organisation.

An investigation will usually be initiated by the Critical Incident Team. See *Investigation Procedure* and/or *Critical Incident Procedure* for more information about investigations.

<i>File</i>	Incident Reporting and Management Policy			Page 4 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

## YMCA NSW

### Incident Reporting and Management Policy



#### 5.4. Corrective Actions

Regardless of how minor or serious an incident is, there should be one or more corrective actions identified and completed. Actions should be recorded in the online reporting system and must not be closed off until completed.

#### 5.5. Follow up

The manager in charge of an incident is responsible for ensuring that:

- The correct incident management process has been followed
- Corrective actions appropriately, effectively and efficiently address risks identified
- All courses of action have been documented and recorded in the online reporting system
- Corrective actions remain effective in addressing risks
- Monitoring occurs to prevent such an incident occurring again
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#### 5.6. Documentation

All incident information must be documented in the online reporting system, including actions taken, status updates, attachments and notes. Where incident management progress or additional information is obtained, this should be added to the online reporting system within 24hrs.

#### 5.7. Confidentiality

All incidents will be reported and managed confidentially, involving and notifying only those people who are required to know about the incident. Incident notifications and management processes will occur and without bias, in an impartial, independent and objective manner.

#### 5.8. Disability and Culturally and Linguistically Diverse (CALD) considerations

When reporting, notifying and following up on incidents involving staff, or clients with a disability or from CALD backgrounds, a critical part of ensuring complete understanding and cooperation is to acknowledge and respond to individual circumstances. Support to assist and enable understanding should be provided, e.g. interpreter services, large print documents, sign language interpreters

## 6. Implications

Failure to comply with this policy may result in:

- YMCA NSW not appropriately addressing risks associated with safeguarding, Work Health and Safety, financial, reputational, corporate and operational risks

<i>File</i>	Incident Reporting and Management Policy				Page 5 of 8
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

## YMCA NSW Incident Reporting and Management Policy



- Investigations, notices, penalties or offences under the Work Health & Safety legislation, Child Protection legislation or other legislative, regulatory and statutory instruments
- Breaches of contracts and agreements
- Diminished operational, commercial and strategic opportunities
- Negative impact upon insurance premiums
- Disciplinary action up to and including formal warning, demotion or termination of employment or cessation of volunteer engagement.

### 7. Accountability and responsibility

Role	Responsibility
<b>Board of Directors</b>	<ul style="list-style-type: none"> <li>• Provide resources to facilitate appropriate actions and business improvements as a result of learning from incidents.</li> </ul>
<b>Executive Leadership Team</b>	<ul style="list-style-type: none"> <li>• Lead the initial response and management of serious incidents</li> <li>• Review incident data and analysis</li> <li>• Drive data informed operational, commercial and strategic decisions.</li> </ul>
<b>Managers and Supervisors</b>	<ul style="list-style-type: none"> <li>• Report, manage and/or review all incidents reported in their business areas.</li> <li>• Ensure incidents are reported within 24hrs within the online reporting system or to management if serious.</li> <li>• Assess all incidents and participate in the development and implementation of corrective actions</li> <li>• Lead or be involved in reviews and investigations.</li> </ul>
<b>Staff Members</b>	<ul style="list-style-type: none"> <li>• Report all incidents within 24 hours within the online reporting tool or to management if serious.</li> <li>• Assist management with ensuring incidents are appropriately managed with corrective actions completed where necessary.</li> </ul>
<b>Contractors</b>	<ul style="list-style-type: none"> <li>• Report all incidents to YMCA NSW staff as soon as possible</li> <li>• Follow instructions from YMCA NSW staff and relevant signage whilst on premises</li> <li>• Cooperate in an investigation if required.</li> </ul>
<b>Clients</b>	<ul style="list-style-type: none"> <li>• Report all incidents to YMCA NSW staff as soon as possible.</li> <li>• Follow instructions from YMCA NSW staff and relevant signage whilst on premises or participating in a YMCA NSW activity or program</li> <li>• Cooperate in an investigation if required.</li> </ul>
<b>YMCA NSW Risk and Audit Team</b>	<ul style="list-style-type: none"> <li>• Ongoing maintenance and coordination of updates to the system with the program developers</li> <li>• Regular reporting to YMCA NSW Board and sub-committee</li> <li>• Support staff with the development of training and ongoing system support</li> <li>• Assistance with identification of trends and highlighting incidents for escalation</li> </ul>

<i>File</i>	Incident Reporting and Management Policy			Page 6 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

## YMCA NSW Incident Reporting and Management Policy



### 8. Interactions with related documents

Related policies	Link to the policy
Work Health and Safety Policy	
Reporting Child Protections Concerns Policy	
Complaints and Feedback Policy	
Privacy Policy	
Reporting Child Protection Concerns Policy	
Safe Behaviours Policy	
Whistle Blower Policy	

Related procedures	Link to the procedure
Incident Reporting and Management Procedure	
Investigations Procedure	
Critical Incident Procedure	
Injury Management Procedure	
Emergency Management Procedure	

Other related documentation	Link to documentation
Incident Report	

Related legislation	
Work Health and Safety Act 2011 (NSW)	Work Health and Safety Regulation 2011 (NSW)
ACT Work Health and Safety Act 2011 (ACT)	Work Health and Safety Regulation 2011 (ACT)
Workers Compensation Act 1987 (NSW)	Workers Compensation Regulation 2010 (NSW)
Workers Compensation Act 1951 (ACT)	Workers Compensation Regulation 2002 (ACT)
Ombudsman Act 1974 (Cth)	Ombudsman Regulation 2011 (Cth)
Child and Young Persons (Care and Protection) Act 1998 (NSW)	Child and Young Persons (Care and Protection) Regulation 2012 (NSW)
Children and Young People Act 2008 (ACT)	Children and Young People Regulation 2009 (ACT)
Child Protection (Working With Children) Act 2012	Child Protection (Working With Children) Regulation 2013
Working with Vulnerable People (Background Checking) Act 2011 (ACT)	Working with Vulnerable People (background Checking) Regulation 2012 (ACT)
Children (Education and Care Services National Law Application) Act 2010 (NSW)	Education and Care Services National Regulation 2012
Community Services (Complaints, Reviews and Monitoring) Act 1993	Community Services (Complaints, Reviews and Monitoring) Regulation 2004

<i>File</i>	Incident Reporting and Management Policy			Page 7 of 8	
<i>Saved</i>	8-Nov-16	<i>Version author</i>	Anna Nolan	<i>Distribution</i>	Unlimited
<i>Version</i>	2	<i>Version status</i>	Final		

**YMCA NSW****Incident Reporting and Management Policy****9. Monitoring, Evaluation and Review**

The Incident Reporting and Management Policy will be reviewed in consultation with key stakeholders in line with changes to YMCA NSW and changes to the relevant legislation or every two (2) years, whichever occurs first.

**10. Document History and Version Control**

Version	Date Approved	Author	Brief Description
2	November 2016	A. Nolan	Combined Children's Services Incident, Injury, Illness and Trauma Policy and the WHS Incident Reporting and Investigation Procedure

**11. Endorsement**

**I endorse the Incident Reporting and Management Policy:**

Name	HEISA HARTO	Role	CEO
Signature		Date	8/11/16