Incident Management Policy

Contents

Overview

Purpose	To provide the principles and framework for the effective management of all incidents (including critical incidents) and the reduction of preventable incidents, across The Salvation Army (TSA).
Who does this apply to?	This policy applies to: ▪ All TSA Personnel ▪ Anyone who engages with The Salvation Army
Effective date	07/08/2020

Definitions

Term	Definition
Board, The	The Salvation Army Australia (Territory) Board - the governing body of The Salvation Army Australia Territory, which, with the endorsement of the Trustees, provides governance oversight to the Australia Territory and has been established to strategically position the Territory so it has a sustainable, major influence on Australian society. The Board provides advice and assistance to the Trustees.
Child	Refers to and includes all persons under the age of 18 years.
Control/Safeguard	A system, process, activity, device or practice that is implemented to prevent and/or detect an incident.
Critical Incident	A subset of incidents where The Salvation Army or a person engaged with TSA has been significantly and adversely impacted as a result of an incident or allegation.
Executive Mission Council (EMC)	The Executive Mission Council is responsible for managing the implementation and delivery of the Board approved strategies, compliance with the Board approved policies and to provide advice and assistance to the Trustees to enable The Salvation Army to achieve its mission. It is chaired by the Chief Secretary.
Incident	An unplanned, undesired event that results in an adverse effect or near miss on an individual, the Salvation Army (TSA) or any person engaged with TSA and its operations.
Incident Investigation	A structured process which involves the gathering and examination of information and evidence in order to prevent or minimise the reoccurrence of the incident.
Incident Investigation Report	A comprehensive file that documents all details of an incident investigation.
Incident Management Report	Frequent reporting to management of incident trends and status of incidents being managed.
Incident Management System	The policies, processes, documents and tools (including online register) which together, allows the management of incidents within TSA.
Incident Owner	The person assigned ownership of the incident and who is responsible for ensuring all policy and procedural activities are completed for the assigned incident.
Incident Register	A record of incidents managed by TSA.
Investigation Review	A structured activity that can take place at the end of or whilst an incident investigation is underway, with the purpose of: ▪ Reconfirming the facts and evidence ▪ Confirming that the correct investigation process was undertaken ▪ Confirming the appropriate remediation and recompense was provided ▪ Identifying additional causes that have contributed to the incident occurring (including external factors)
Line Manager and Mission Expression Leaders	An individual who has personnel reporting to them and is responsible for their supervision and day to day performance.
Mission Enablers	Services that support and enable Mission Delivery at the front-line.
Mission Expression	Ministries or services of The Salvation Army that provide holistic mission and serve people in local communities. This includes Corps, Social and Community programs, Chaplaincy and Mission Enterprises. Examples include but are not limited to Corps meetings and programs, accommodation services, Doorways and Salvo Stores.
Near Miss	A near miss is where an incident has occurred and a fortunate break in the chain of events has prevented a negative consequence.

Term	Definition
Natural Justice	Also referred to as 'procedural fairness', natural justice is afforded when the incident management process is accessible, fair, transparent and consistent and all participants receive: ▪ Equitable treatment ▪ Written notice of the incident and details of the incident process are provided ▪ The right to be heard and to respond to complaints ▪ The right to make submissions and present material and information ▪ Decisions made on the balance of probabilities
Notification	The action of communicating the incident to management and subsequent parties according to the notification schedule and to external bodies, where mandated contractually or as required in our compliance obligations. This terminology may differ with some existing processes e.g. privacy notifiable breaches.
Notifiable/reportable incident	Notifiable/reportable incidents are incidents and hazards which, in accordance with legislative or contractual obligations require external notification.
Open Disclosure	The open discussion of incidents that result in harm to anyone who engages with TSA or while receiving care and support from TSA. The elements of open disclosure are: ▪ An apology or expression of regret, which should include the words 'I am sorry' or 'we are sorry' ▪ A factual explanation of what happened ▪ An opportunity for the person, their family and carers to relate their experience ▪ A discussion of the potential consequences of the adverse event ▪ An explanation of the steps being taken to manage the adverse event and prevent recurrence. Open disclosure is a two-way discussion and an exchange of information that may take place over several meetings guided by the eight guiding principles Open Disclosure is a care and quality improvement process. It is not a legal process and does not imply or contribute blameworthiness to any party.
Personnel, TSA	A person who may be an officer, territorial envoy, aux-lieutenant, cadet, candidate, person serving under officer conditions, employee, volunteer, a contractor or subcontractor, employee of a contractor or subcontractor, employee of a labour hire company, trainee or student on placement that is engaged in any TSA mission delivery or mission expression or is a Board or Board Committee member.
Policy Owner (PO)	The Policy Owner is the delegate to ensure that all policies, procedures and supporting documents are developed, amended, rescinded, implemented and reviewed according to the Policy Management Policy (GO_LR_POL_TPMP) and the Policy Lifecycle Procedure (GO_LR_PRO_TPMP). The Policy Owner is responsible for managing the following four stages of the Policy Lifecycle: 1. Identify and Plan 2. Develop, Consult and Approve 3. Implement 4. Monitor and Review
Quality and Safety Committee	The Quality and Safety Committee's role is to define and promote a culture of continuous quality improvement and consumer safety that aligns with TSA values and meets legislative and regulatory obligations. The Committee will review reports and make recommendations to the Board about culture, resourcing and performance of TSA quality and consumer safety systems against agreed standards/indicators.

Term	Definition
Remediation	To correct something that is wrong or to address a deficiency.
Recompense	To make amends to (someone) for loss or harm suffered; to compensate.
Root Cause Analysis (RCA)	A method of investigation used for identifying causes of the incident in order to detect the appropriate remedial solutions.
Senior TSA Representative	A Senior Manager or above in your direct line of management authority or equivalent.
The Salvation Army (TSA)	The Salvation Army in Australia inclusive of all Mission Expressions and Mission Enablers.
📝	This symbol indicates either a special note or an attachment.

Policy Statement

General Principles

Our commitment	The Salvation Army is committed to the effective and timely management of all incidents, including critical incidents, across the organisation to ensure: ▪ The safety and care of all people engaged with TSA ▪ Compliance with all legislative and regulatory obligations including privacy and confidentiality ▪ Accountability and transparency in the management of all incidents ▪ Responsive and open communication ▪ The delivery of a fair outcome to all parties ▪ Continuous improvement of service delivery through the reduction in preventable incidents
Legislative and regulatory obligation	TSA is committed to compliance with all applicable legislation, government regulation and/or mandatory reporting requirements associated with the management of incidents and must be in addition to TSA's own internal incident notification requirements.
Contractual obligation	All incident notification obligations required as part of a contractual arrangement must be in addition to TSA's own internal incident notification requirements.
Safety and wellbeing of children	TSA is a child safe organisation and provides an environment which is safe and inclusive for all children. Reporting of all incidents or suspected incidents of abuse or neglect involving children is a mandatory requirement within TSA.

Incident Management Principles

Transparency	TSA commits to open disclosure and managing incidents in a transparent and open way.
Privacy	All personal information collected as part of the incident or the investigation will be managed in line with the Privacy Act Compliance Policy (GO_LR_POL_TPAC).
Confidentiality	Wherever possible TSA must maintain confidentiality throughout the incident management process unless all the parties involved have indicated that confidentiality is not required. TSA is required to disclose information: ▪ That is necessary for the safety of any person or to prevent harm ▪ Where the sharing of the information is compelled by law
Communication	All parties involved or impacted must be provided timely updates on the status of the incident in a format and language they understand.
Diverse and inclusive	TSA commits to incorporating the principles of diversity and inclusion in all interactions with parties involved or impacted by an incident and treating all with respect and fairness.
Management Reporting	Regular management reporting of critical incidents must be provided to the Executive Mission Council, Quality and Safety Committee and the Board. Ad hoc reports will be provided to identified stakeholders. Refer to the incident management reporting section included in Incident Management Procedure (GO_QA_PRO-01_TCIM).
Shared accountability	TSA is committed to a culture of accountability and transparency in the reporting and management of incidents. Ownership and subsequent management of incidents must be clearly identified.

Incident Management Framework

Incident management principles	The principles underpinning TSA's incident management are: ▪ All incidents must be recorded, categorised, notified and managed based on pre-defined criteria ▪ All information must be compliant with confidentiality and privacy legislation ▪ Incident data must be collated, analysed and reported based on pre-defined criteria 📝 Incidents are recorded in a TSA incident register.
Approach	The Incident Management System must provide TSA with: ▪ A consistent approach ▪ A consistent language and categorisation ▪ A means to manage critical incidents in a timely and effective manner ▪ A means to support the continuous improvement of all TSA services and operations
Incident investigation	Incidents must be investigated in accordance with the Incident Management Procedure (GO_QA_PRO-01_TCIM). 📝 Investigations may be conducted by internal or external parties to ensure: ▪ The appropriate skill set is applied based on the type of incident ▪ They are investigated in an impartial way, without any real or perceived conflict of interest
Local (operational) incident forms	Service stream incident processes and forms may sometimes be required in addition to the recording in a TSA incident register.
Local incident management	Departmental specific processes and work instructions must align with this policy. Departmental specific timeframes may be less than but not longer than the timeframes specified in the Incident Management Procedure (GO_QA_PRO-01_TCIM).
Continuous improvement	TSA is committed to reducing the risk and impact of all incidents and the number of preventable incidents. All actions (remedial, recompense, interim and long-term solutions) will be tracked and reported.

Roles and Responsibilities

The roles and responsibilities associated with execution of this policy are indicated in the table below.

Australia Territory Board	The Board, through its Committees, provides oversight of management actions in response to critical incidents.
Executive Manager Compliance	Ensure all regulatory breaches and reporting to the Audit and Risk Committee are in line with the Compliance Management System.
Executive Manager Continuous Improvement	Ensure that the practice of incident management process adheres with this policy across TSA and, identify improvements within this policy as well as of service delivery through the reduction in preventable incidents. Monitor and evaluate trends in incident type, categorisation and prevalence.
Executive Manager Risk	Monitor incident trends and report to the Audit and Risk Committee in line with the Risk Management Framework.
General Counsel	Provide guidance and consultation where there are actual or potential court or legal proceedings.
Head of Department; Governance and Risk	Ensure transparent critical incident management communication is provided to the Board.
Head of Department; Professional Standards and Quality	Oversight of the incident management process in order to ensure compliance with this policy across TSA.
Head of Internal Audit	Provide guidance and consultation for all Audit matters.
Head of Media	Provide guidance and consultation for all media matters.
Line Manager and Mission Expression Leader	Ensure: • All immediate actions are taken • All Personnel are compliant with the incident management process • All notifications are completed in line with the incident management process
Personnel (HR and Officer)	Provide guidance and consultation for all personnel matters.
PS&Q (Safeguarding)	Provide guidance and consultation for all child safety matters.
Senior TSA Representative	Ensure: • All Personnel are compliant with the incident management process • All Personnel understand their obligations under this policy and comply with this policy
TSA Personnel	Take appropriate action when aware of or impacted by an incident. Undertake required training.

Accountability

Obligation	All Personnel under the terms of their service, employment, engagement or contract must comply with all TSA policies, procedures and supporting documents.
Consequences of non-compliance	Failure to comply with this policy may result in disciplinary action and, in serious cases, termination of employment or engagement with TSA.

Location

Repository	Territorial Policy Application

Feedback

Feedback is encouraged	Feedback is used to improve and enhance the impact of this policy and will be considered when reviewing and updating the document.
Who is feedback provided to?	All feedback is to be forwarded to CI_Central@salvationarmy.org.au.

Related Documents and References

Policy Documents	Incident Management Policy (GO_QA_POL_TCIM) Procedures Incident Management Procedure (GO_QA_PRO-01_TCIM) Charts Incident Categorisation Notification Table (GO_QA_CHA-01_TCIM) Incident Management Process Chart (GO_QA_CHA-02_TCIM) Guides SolvSafety User Guide - Report an Incident (GO_QA_GUI-01_TCIM) SolvSafety User Guide - Manage an Incident (GO_QA_GUI-02_TCIM) Incident Investigation Guidelines (GO_QA_GUI-03_TCIM) to be developed Forms Incident Report Form (GO_QA_FOR-01_TCIM) Investigation Action Plan Template (GO_QA_FOR_02_TCIM) RCA Tool - Cause and Effect Diagram Template (GO_QA_FOR_03_TCIM) RCA Tool - Five Why Diagram Template (GO_QA_FOR_04_TCIM) Root Cause Analysis Action Plan Template (GO_QA_FOR_05_TCIM) Root Cause Analysis Review Template (GO_QA_FOR_06_TCIM) Case Review Action Plan Template (GO_QA_FOR_07_TCIM) Case Review Template (GO_QA_FOR_08_TCIM)
Related Policy Documents	Compliance Policy (GO_LR_POL_TCOM) Enterprise Risk Management Policy (GO_LR_POL_TERM) Feedback and Complaints Policy (GO_LR_POL_TFBK) Fraud Policy (GO_LR_POL_TFRC) Governance Policy (GO_LR_POL_TGOV) Knowledge Management, Information and Data Management (GO_LR_POL_TKID) to be developed Media Relations Policy (GO_PR_POL_TMED) Privacy Act Compliance Policy (GO_LR_POL_TPAC) Quality Management Policy (GO_QA_POL_TQCI) Safety and Wellbeing of Children and Young People Policy (GO_LR_POL_TSWC) Whistleblower Protections Policy (GO_LR_POL_TWBP) Work Health and Safety Policy (GO_WH_POL_TWHS)
Related Legislation	N/A

Funding Agreement Requirements	N/A
Governance/ Accreditation/ Certification Standards	N/A
Audit Report Findings	N/A

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Document History	Version	Date Approved	Summary of Changes
	1-0	07/08/2020	Inaugural version