

# Interim Reporting Arrangements

## Revised Incident Management Policy

### How to use this guidance

This guidance outlines interim processes as the Clinical Excellence Commission (CEC) and eHealth NSW update ims<sup>+</sup> to meet the NSW Health Incident Management Policy requirements.

#### Reportable Incident Brief (RIB)

- Complete in ims<sup>+</sup>
- RIB Parts A and B are mandatory
- State if you are sending the original RIB submission or an update (in Question 16)
- State whether a PRA or safety check is being or has been undertaken (in Question 16).

#### Preliminary Risk Assessment (PRA) – Clinical incidents

- Use templates on the CEC website to appoint the PRA team
- Use the PRA Report template in ims<sup>+</sup>
- Attach the finalised PRA Report to the relevant record in the ims<sup>+</sup> RIB module<sup>1</sup>.

#### Serious Adverse Event Review (SAER) – Clinical incidents

- Use templates on the CEC website to appoint the SAER team and to undertake the SAER
- Complete the SAER Findings Report and SAER Recommendations Report from the CEC website and upload scanned copies to the relevant record in the ims<sup>+</sup> Investigations module<sup>2</sup>.

#### Safety Check – Corporate incidents

- Use templates on the CEC website to appoint the team and to undertake the safety check
- Complete the safety check from the CEC website and upload scanned copy to the relevant record in the ims<sup>+</sup> RIB module.

#### Corporate Harm Score 1 Review – Corporate incidents

- Use templates on the CEC website to appoint the review team and to undertake the corporate Harm Score 1 review.
- Complete the review report from the CEC website and upload scanned copy to the relevant record in the ims<sup>+</sup> Investigations module.

Templates are available on the CEC website at <http://www.cec.health.nsw.gov.au/Review-incidents/incident-management-policy-resources> for local use.

1 & 2: Ensure privilege is maintained. ims<sup>+</sup> access (profiles, permissions and form view) may require Health Services to save scanned documents to another record in ims<sup>+</sup> or outside of ims<sup>+</sup> in a secure physical location or electronic system.



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### Reportable Incident Brief (RIB)

- Refer to section 3 of the Incident Management Policy for incidents that require a RIB
- Complete the RIB within ims<sup>+</sup>
- Submit the RIB within ims<sup>+</sup> to the Ministry of Health at [MoH-RIBs@health.nsw.gov.au](mailto:MoH-RIBs@health.nsw.gov.au)
  - RIB Part A submission is mandatory and due within 24 hours of incident notification in ims<sup>+</sup>
  - RIB Part B submission is mandatory and due within 72 hours of incident notification in ims<sup>+</sup>
  - You may submit both RIB Parts A and B within 24 hours, if you wish
- State whether it is the original RIB submission or an update in Other comments (RIB Question 16)
- Suggested wording may be
  - “Original submission – RIB Part A only”, then “Update – RIB Part B” OR
  - “Original submission – RIB Parts A and B” OR
  - “Original submission RIB Part A only”, then “Update – RIB Part B and RIB Part A Question 6”.
- If update to RIB Part A is required, content extracted from the ims<sup>+</sup> Incident record will need to be updated in the Incident record itself to appear in the updated RIB
- State if a PRA or safety check is being or has been undertaken in Other comments (RIB Question 16)
- Suggested wording may be “PRA to be completed” or “PRA completed on DDMMYYYY” OR “Safety check to be completed” or “Safety check completed on DDMMYYYY”.
- Privilege applies to RIBs regarding clinical incidents.

### Clinical

#### Preliminary Risk Assessment (PRA)

- Refer to section 4.1.2 of the Incident Management Policy regarding the PRA
- Use the templates on the CEC website to appoint the PRA team
- Upload a scanned copy of the PRA team appointment into the ims<sup>+</sup> RIB record
- Use the PRA report in ims<sup>+</sup>
- Submit the PRA report to the Chief Executive within 72 hours of incident notification in ims<sup>+</sup>
- Upload the finalised PRA report into the ims<sup>+</sup> RIB record
- Use relevant information from the PRA to help complete RIB Part B
- Privilege for the PRA team commences when the Chief Executive appoints them to undertake a PRA. Privilege for PRA team discussion ends when they have fulfilled their function and the PRA Report has been submitted to the Chief Executive.

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### Serious Adverse Event Review (SAER)

- Refer to section 4.2 of the Incident Management Policy regarding the SAER
- Create an investigation. In the Incident record, select 'Yes' to 'Flag for serious incident investigation'. An investigation record will then appear in the ims+ Investigations module
- Manually override the due date to 60 calendar days from the incident notification in ims+
- Use the templates on the CEC website to appoint the SAER team
- Upload a scanned copy of the SAER team appointment into the ims+ Investigation record
- Complete the SAER findings report from the CEC website
- Submit the findings report to the Chief Executive
- Upload a scanned copy of the findings report into the ims+ Investigation record
- Upload a scanned copy of the appointment of additional SAER members (if needed) into the ims+ Investigations record
- Complete the SAER recommendations report from the CEC website
- Submit the recommendations report to the Chief Executive
- Upload a scanned copy of the recommendations report into the ims+ Investigation record
- Submit the SAER report/s to the Ministry of Health within 60 days of incident notification
- Privilege commences when the Chief Executive appoints a SAER team and ends when the SAER team has fulfilled their function and the Chief Executive or delegate has approved the SAER report/s.

### Corporate

- Refer to section 7 of the Incident Management Policy regarding corporate Harm Score 1 incidents
- Privilege does not apply to the safety check or corporate Harm Score 1 review.

### Safety check

- Use the templates on the CEC website to appoint the safety check team
- Upload a scanned copy of the safety check team appointment into the ims+ RIB record
- Complete the safety check report from the CEC website
- Submit the safety check report to the Chief Executive within 72 hours of incident notification
- Upload a scanned copy of the safety check report into the ims+ RIB record
- Use relevant information from the safety check to help complete RIB Part B.

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### Corporate Harm Score 1 review

- Create an investigation in the ims+ Investigations module
- Manually override the due date to 60 calendar days from the incident notification in ims+
- Use the templates on the CEC website to appoint the review team
- Upload a scanned copy of the review team appointment into the ims+ Investigations record
- Complete the corporate Harm Score 1 review report from the CEC website
- Submit the report to the Chief Executive
- Upload a scanned copy of the report into the ims+ Investigation record
- Submit the report to the Ministry of Health within 60 days of incident notification in ims+.

Clinical Harm Score 1 incidents are an Unexpected death or Australian Sentinel Event, and require a RIB, a PRA and a SAER. For clinical Harm Score 2, 3 or 4 incidents determined by the Chief Executive to be due to a potential serious systemic problem, a RIB and/or PRA and/or SAER are completed.

Corporate Harm Score 1 incidents are Unexpected death of a worker or visitor or Complete loss of service. They require a RIB, a safety check and a corporate Harm Score 1 review. Privilege does not apply.

### Coming soon

- PRA appointment templates in the ims+ RIB module
- An updated ims+ Investigations module with a fillable SAER form. Draft report content would extract from the form into the ims+ SAER findings report template and/or SAER recommendations report template
- SAER appointment templates in the ims+ Investigations module
- Incorporation of corporate templates to meet corporate Harm Score 1 incident requirements.

### Support

Seek guidance from your local governance teams.

Email the CEC at [CEC-SIIM@health.nsw.gov.au](mailto:CEC-SIIM@health.nsw.gov.au)