



Australian Government

Department of Defence

DEFENCE INSTRUCTIONS

(GENERAL)

Amendment

DI(G) ADMIN 67-2 [Incident recording](#)

AMDT 1

Department of Defence
CANBERRA ACT 2600

This Instruction is issued under [section 9A of the Defence Act 1903](#) by the Chief Operating Officer and the Vice Chief of the Defence Force in accordance with powers delegated to them, to exercise jointly, by the Secretary of the Department of Defence and the Chief of the Defence Force under [subsection 120A\(3B\) of the Defence Act 1903](#).

A Defence Instruction (General) is a general order for the purposes of the [Defence Force Discipline Act 1982](#). Under [section 29 of that Act](#), a member of the Defence Force who fails to comply with a lawful general order that applies to the member is guilty of an offence.

The Chief Operating Officer hereby directs Australian Public Service employees in the Department of Defence (Defence APS employees) to comply with this Instruction. Defence APS employees are required, under [subsection 13\(5\) of the Public Service Act 1999](#), to comply with that direction.

Handwritten signature of Brendan Sargeant in black ink.

Brendan Sargeant
Associate Secretary

Handwritten signature of John Frewen in black ink.

John Frewen
Major General
Acting Vice Chief of the Defence Force

Sponsor:

Associate Secretary

Sponsor Contact:

Defence Legal

Effective Date: 01 August 2015

Review/Expiry Date: 01 August 2018

INCIDENT RECORDING

INTRODUCTION

1. This Instruction deals with incident **recording**, and replaces the Quick Assessment (QA) process with a Defence Incident Record (DIR). In the longer term, Defence is developing an information technology solution to both **record** and **report** all incidents and complaints. Accordingly, the mandatory requirements of this Instruction will be incorporated in [DI\(G\) ADMIN 45-2 The reporting and management of notifiable incidents](#), which deals with incident **reporting**, in due course.
2. A DIR is a record made as close as possible to the time of an incident, recording the circumstances of an incident, as understood by the person making the record. A DIR also records immediate command or management action taken or proposed in response to the incident.
3. This Instruction defines an incident, and outlines the mandatory recording of incidents and the content of DIRs.

POLICY STATEMENT

4. Defence requires all incidents with the potential to have an impact on capability, personnel, reputation, safety, property, or legal obligations to be recorded. The requirement to raise a DIR is the start of sound management processes, providing a record of what was understood about an incident at the time the DIR was completed, and a record of command and management decisions made in response to that information by the relevant commander or manager.
5. Completion of a DIR helps a commander or manager ensure that they have assessed an incident based on the information available to them at the time. It is recognised that only a minimum of facts or information may be available at the time of completing a DIR, nevertheless it provides a contemporaneous record that will support informed review and accountability for Defence in the management of incidents.
6. A DIR is intended to be a quick reference document, created in a consistent format, that provides a reader with the following information (so far as it is readily available):
 - a. brief details of what happened, including when, where, and who was involved (as understood by the person completing the DIR at the time it is completed)
 - b. the identity of the person in the unit / team responsible for managing the incident (and the persons / property involved), usually the commander or manager of the unit / team involved
 - c. what actions were taken in the unit / team immediately following the incident
 - d. what further action is proposed, including in some cases that no further action is required

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- e. whether the incident has been or will be reported outside of the unit/team involved
- f. reference to any files containing more detailed information about the incident.

SCOPE

- 7. This Instruction applies to all Defence personnel and contractors who are commanders or managers (including contractors who are engaged as part of Defence's civilian line management).

DEFINITIONS

- 8. A list of definitions that apply to this Instruction is at Annex A.

ROLES AND RESPONSIBILITIES

Commanders and managers

- 9. A commander or manager **must** complete a DIR (or ensure a DIR is, or has been, completed) when they become aware of an incident for which they have command or management responsibility. This includes for all complaints made by Defence personnel, contractors, people involved in ADF Cadets, and members of the public.

Form of DIR

- 10. A DIR **must** be completed using Web [form AE 530 – Defence Incident Record](#) except in the following two situations:
 - a. Web [form AE 530](#) is unavailable (for example because there is no access to the DRN). In this situation, commanders and managers should use their discretion to determine the most appropriate written format to record the information listed in paragraph 6 (to the extent possible).
 - b. The incident has been, or will be, reported as either:
 - (1) a safety incident in Sentinel or on Form AE 527 – *Sentinel Event Report*
 - (2) a security incident on Form XP 188
 - (3) a contact report on Form XP 168
 - (4) an incident in the Army Incident Management System.
- 11. If an incident is reported on a form listed in paragraph 10.b., a commander or manager may choose to **also** complete Web [form AE 530](#), although it is not compulsory in this situation. For example, a commander or manager, or their superiors, may want a record of all incidents in the unit/team available in the same format.

Time frame to complete DIR

12. A DIR **must** be completed when the incident comes to the attention of the commander or manager, or as soon as possible afterwards. As a guide, it should be completed within hours and no later than 24 hours after the incident, notwithstanding that complete information may not be available at the time. Completion of a DIR should not take precedence over any obligation to immediately report an incident.

Limitations of DIRs

13. Commanders and managers should be aware that:
- a. DIRs are records only, for the purpose of documenting what was understood about an occurrence at the time, and documenting actions that were proposed or taken. DIRs are critical and auditable records of how an incident was managed, and also enhance strategic visibility of incident management in Defence.
 - b. The completion of a DIR is not, of itself, an inquiry or investigation or the result of such a process.
 - c. Completion of a DIR is not a substitute for command or management action.
 - d. A DIR does not replace any extant requirement in legislation, other Defence Instructions, manuals, or Service-specific requirements, to report or refer an incident elsewhere, including any requirement to report an incident immediately.
 - e. Commanders and managers should refer to any policy relevant to the particular type of incident, which may include reporting and management requirements, when deciding what action to take.
 - f. Additional information obtained or management action taken subsequent to completion of a DIR should be recorded separately in accordance with ordinary record-keeping requirements, cross referencing the original DIR form.

Record handling

14. All DIRs **must** be filed in accordance with the [Defence Records Management Policy Manual](#) (RECMAN).

15. Commanders and managers should be aware that a DIR may contain personal or sensitive information. All DIRs should include appropriate Dissemination Limiting Markers, and should be handled and stored appropriately (see the [Privacy Act 1988](#), the [Defence Privacy Policy](#), the [Defence Security Manual](#) (DSM) and the [RECMAN](#) for further information).

COMPLIANCE

16. The mandatory requirements of this Instruction constitute a general order to Defence members for the purposes of the [Defence Force Discipline Act 1982](#) (DFDA). Non-compliance with any mandatory requirement may result in disciplinary action being taken in accordance with the DFDA.

17. The mandatory requirements of this Instruction are lawful and reasonable directions to Defence APS employees under subsection [13\(5\) of the Public Service Act 1999](#) (PSA) (subsection 13(5) forms part of the APS Code of Conduct). Accordingly, non-compliance by Defence APS employees with any mandatory requirement may be referred for investigation and possible sanction under [section 15 of the PSA](#).

18. Defence personnel who award or manage contracts in relation to contractors who are engaged as part of Defence's civilian line management (that is, contractors who are managers in Defence) **must** include a requirement that the contractor comply with the mandatory requirements of this Instruction in the terms of the contract.

19. Where it is a term of the contract, failure by a contractor to comply with the mandatory requirements of this Instruction may result in a breach of contract.

20. A mandatory requirement of this Instruction is identified through the use of the word **must**.

MONITORING AND REPORTING

21. Commanders and managers are responsible for meeting their responsibilities under this Instruction. A number of mechanisms may be used to hold them accountable, including:

- a. reviews by higher headquarters and line management
- b. unit military justice audits by the Inspector General ADF
- c. reviews conducted in response to a complaint or concern about the management of an incident, including APS review of action and ADF redress of grievance processes
- d. compliance audits undertaken by the Chief Audit Executive.

IMPLEMENTATION

22. This Instruction takes effect on 01 August 2015.

23. This Instruction supersedes DI(G) ADMIN 67-2, ADMIN B/6/2007 *Quick Assessment*, 07 August 2007.

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RELATED POLICY

[Defence Privacy Policy](#)

[Defence Records Management Policy Manual](#) (RECMAN)

[Defence Security Manual](#) (DSM)

[Good Decision-Making in Defence: A guide for decision-makers and those who brief them](#)

RELATED DOCUMENTS

[Web form AE 530 – Defence Incident Record](#)

RELATED LEGISLATION

[Defence Act 1903](#)

[Defence Force Discipline Act 1982](#)

[Privacy Act 1988](#)

[Public Service Act 1999](#)

Annex:

A. Definitions

UNCONTROLLED IF PRINTED

DEFINITIONS

Commander or manager is the Australian Defence Force (ADF) chain of command and Defence civilian line management. For the purposes of this Instruction, it also includes any Defence employee or Defence member responsible for administering ADF Cadets.

Contractor is an individual or organisation engaged by Defence that represents a business resource and is subject to direct management by Defence. Contractors would normally undertake Defence roles and are engaged as an alternative to normal Defence APS employee resources. This would also apply in circumstances where the engagement of a firm is for labour hire involving specific personnel remunerated at hourly or daily rates. Defence members and Defence APS employees are not included in this definition.

Defence is the Department of Defence and Australian Defence Force (ADF).

Defence Australian Public Service employee (Defence APS employee) is a person employed under the [Public Service Act 1999](#) in the Department of Defence.

Defence member is a member of the Australian Defence Force, including a member of the Reserves (regardless of their duty status).

Defence personnel is all Defence APS employees, Defence members, Defence locally engaged employees, Defence civilians, and foreign personnel on exchange to Defence.

Incident is any non-routine event or occurrence that may have an effect on Defence, in particular capability, operations, personnel, security, safety, reputation, property, premises, environment, legal and ethical obligations, obligations to minors, and foreign relations. To avoid doubt, it includes all complaints made by Defence personnel, contractors, people involved in ADF Cadets, and members of the public, where the complaint is about Defence (including complaints about Defence personnel).