Incidents & Significant Events

1. Background

This policy has been developed to ensure a consistent approach to the handling of incidents and significant events.

2. Objectives

Abbeyfield The Dales Ltd. (ATD) is committed to providing services that enhance the quality of life for older people and developing services that will meet the needs of future generations. This commitment is based on the Mission and Values of ATD. ATD will also comply with all relevant and current legislation.

3. Scope

All staff (including bank staff), agency staff and volunteers working within the service; this also includes residents, visitors, contractors, and members of the public who may be affected by an incident or significant event.

4. Policy

4.1. Definition of Incidents and Significant Events

An incident or significant event is one which may affect the health, safety, or wellbeing of one or more residents, staff, or volunteers.

There are many examples of incidents or significant events that require reporting, including but not exclusively:

- Unexpected deaths.
- Major accidents.
- Acts of terrorism/ knife or weapon attacks.
- Outbreak of an infectious illness or specific infection control issues.
- Dangerous occurrences.
- Missing resident.
- Behaviour that presents risks and adversely affects the safety or wellbeing of others.
- Allegations of abuse.
- Medication errors.
- Services without utilities for six hours or more; or
- A crime that involves the Police.

4.2. Recording the Information

All incidents and significant events that occur need be recorded using and accident or incident form. For services registered with CQC, this is done electronically using the Person Centred Software (PCS) and completing as much information as possible ready for review, further action or sign off. For Supported Housing and Independent Living services please record full details on the “Incident and Significant Event Record Form” (see Appendix 3) and forward it to the Director of Operations and Chief Executive for review and sign off.

The General Data Protection Regulations (GDPR) makes important requirements about how information about people is stored, processed, and shared. Notifications about people must not include their names or other details that can identify them. To ensure the confidentiality of those persons affected you should use a unique code when completing the Incident and Significant Event Record Form by using the following formulae: First three letters of surname/first name initial/date and month of birth in numbers.

For some incidents there may be other existing and recognised forms that will require completion to notify internal ATD departments or external bodies. Examples of this will include:

- Any incident or event that requires notification to the CQC as identified in Section 20 regulations of the Health and Social Care Act 2008
- Medication errors (Section 11 of the ATD Care Home Medication Good Practice Guide)
- Any incident or event included in The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)
- Health and Safety incidents that require notification to the Health and Safety Manager (HSM) (using the ATD accident and incident report form).

For incidents where other existing forms are required to be completed for notification purposes, and these record the full detail of the incident, then only the relevant sections of the Incident and Significant Event Record Form need to be completed to prevent duplication. A copy of the completed notification form should be attached to the Incident and Significant Event Record Form, or a clear cross reference included on the form to indicate where this information is located.

For all incidents where recognised notification forms do not exist then the full detail of the incident will be recorded in the relevant section of the Incident and Significant Event Record Form.

The Registered Manager / Supported Living Manager or nominated deputy will ensure that the Incident and Significant Event Record Form is completed as far as possible either immediately after the incident or within 24 hours.

The completed Incident and Significant Event Record Form should be reviewed by the Registered Manager / Supported Living Manager or nominated deputy who will take responsibility to evidence and record how the care House has learnt from the incident as part of continual improvement to the service.

The completed form will be signed off by either the Director of Operations (DOO) or another member of the Senior Leadership Team (SLT) and will be retained on file in an Incidents and Significant Events file.

This file will be regularly reviewed by the Quality Manager when visiting the service. The file should also be made available for any external inspection of the service as required.

4.3. Notification of Managers and Other Professionals

The Registered Manager / Supported Living Manager must be notified in the event of all incidents and significant events as soon as reasonably practicable. The Registered Manager / Supported Living Manager will take responsibility to ensure that all required ATD departments and/or external bodies are notified as required.

If the significant event occurs outside normal working hours, then the senior person at the House will contact the next available line manager i.e., Registered Manager / Supported Living Manager or Director of Operations (DOO) in that order, who will provide additional guidance and advice.

Where an incident may require a RIDDOR notification, the Registered Manager / Supported Living Manager must notify the HSM and the DOO who will provide advice and/or additional guidance. Incidents that are confirmed as requiring RIDDOR notification should be directed to the ATD's HSM for approval prior to submission of the form to the relevant authority by the next working day.

Where an incident is of a health and safety concern then the HSM must be contacted and advised of the incident either the same or next working day. A copy of the completed Incident and Significant Event Record Form for any health and safety related incident or event must be forwarded to the HSM upon completion within 24 hours.

Where the incident is an allegation of abuse, local multi-agency procedures need to be followed and the local Safeguarding Team informed. For some allegations of abuse, the Police may also need to be informed immediately. With any such incident the Registered Manager / Supported Living Manager or DOO must be notified immediately and if possible, prior to external notification. If deemed necessary, the DOO will inform the Chief Executive (CE).

It may be necessary to notify other professionals of the incident/significant event, for example the CQC or GP. If there is doubt about any other notifications, you should contact the Director of Operations for guidance and advice. Also refer to Flow Chart (Appendix 1) and Completing CQC Statutory Notifications (Appendix 2) to this policy.

4.4. Notification of Next of Kin / Advocate or Other Representative

It is always advisable to notify the next of kin and/or other nominated representative of any incident which has affected the wellbeing of a resident within an appropriate timeframe. However, consent should first be obtained from the resident.

4.5. Fern House Joes Kids Club

A risk assessment will be carried out for act of terrorism to include weapon and knife attacks.

The HSM will provide training at all Joes kids club staff in how to best respond to one of these very rare occasions. Any risk assessment will be updated following any major incident within the UK. ATD will follow the Government RUN HIDE TELL for Schools whenever possible.

5. Finance, Value for Money & Social Value

N/A

6. Supported Appendices

APPENDIX 1: Incident and Significant Event Flow Chart
APPENDIX 2: Completing CQC Statutory Notifications
APPENDIX 3: Accident & Incident Record Form
APPENDIX 4: Run Hide Tell

7. Linked Policies

Safeguarding Vulnerable Adults (LG031P)
Missing Persons (C016P)
Statutory Notification of Events (C028P)
End of Life Care (C012P)
Health and Safety (HSF007)
Medication Administration - Domiciliary/Extra Care (C035P)
Deprivation of Liberty Safeguards (MCA DOLS) (C010P)
Duty of Candour (C013P)

8. Legislation/Regulation

Section 20 regulations of the Health & Social Care Act 2008
Essential Standards of Quality and Safety
Outcome 4: Care and welfare of people who use services
Outcome 7: Safeguarding people who use services from abuse
Outcome 9: Management of medicines
Outcome 20: Notification of other incidents

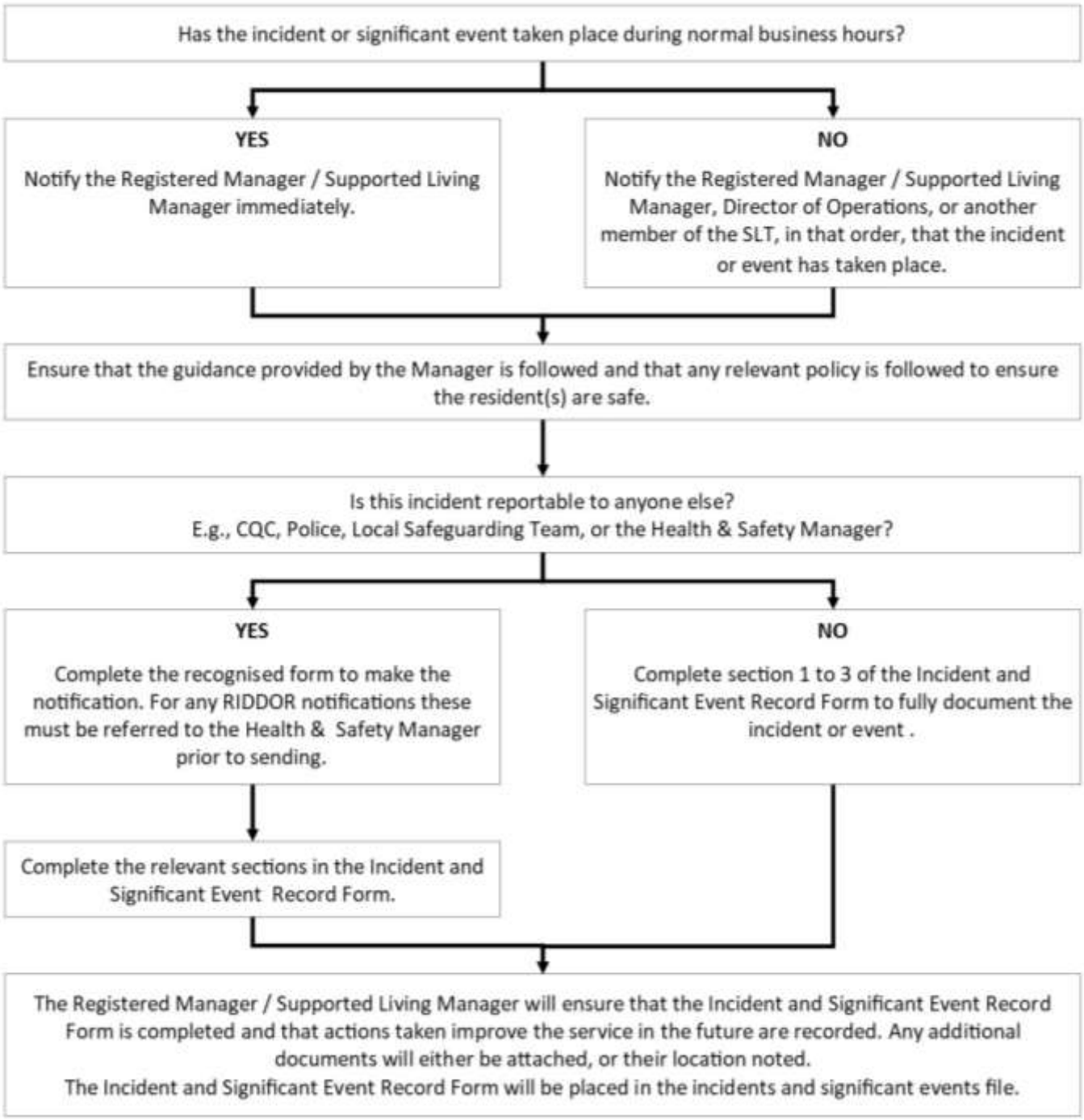
9. Review

Every 3 years, subject to any regulatory or legislative updates.

10. Procedure/Guidance

N/A

APPENDIX 1: Incident & Significant Event Flow Chart



APPENDIX 2: Guidance for completing CQC Statutory Notifications

1. The provider is Abbeyfield The Dales Ltd and the CQC **Provider ID** is **1 - 2427970901**
2. Each care home has its own **Location ID** number.
3. You will need to use a system for numbering your notifications known as **provider's notification reference**. We suggest you use a **short name for the home/date/sequential numbering starting with number 1 each day.**
   For example:
   - Kat/05.11.10/1
   - Kat/05.11.10/2
   - Kat/06.11.10/1

   Larger homes may need an additional element where there is more than one unit (or wing/floor) and the person completing the notification may not know the last notification number issued. In this case we suggest you use a **short name for the home /unit/date/sequential numbering starting with a number 1 on each unit each day.** For example:
   - Anson/Cedar/5.11.10/1
   - Anson/Beech/5.11.10/1
   - Anson/Cedar/5.11.10/2
   - Anson/Cedar/6.11.10/1

   If you send a follow up notification, you should allocate a new **provider's notification reference** in the usual way but quote the original **provider's notification reference** in the additional information box on the form.

4. **Unique identifier:**
   Notifications require providers to use unique identifiers instead of names. This applies primarily to residents but also applies to staff and others whose details need to be included.
   Please use the following formula:
   First three letters of surname/first name initial/date and month of birth in numbers.
   For example, Sam Brown born on 24th June would be Bro/S/2406.

5. Notifications should be emailed or where this is not possible hard copies can be faxed or posted.

Please keep a copy of all forms submitted. Actual names can be noted on your own copy for your reference.

APPENDIX 3

Abbeyfield The Dales Ltd

Resident Accident & Incident Record Form

This form is to be typed and not handwritten.

SECTION A: To be completed by the Senior Carer or person dealing with the accident/incident

This form should be used to record all accident & incidents for one or more residents and completed before the end of shift on the day the accident occurred.

Part 1 - Basic details - (to be completed in all cases)

Site & Service Name:	
Site Identification Reference: (Site name/date/number)	
Personal Identification Reference:	
Date of accident/incident:	/ / Time: :

Nature of accident/incident (Provide brief details/description):

Part 2 - Information about who was notified about this accident / incident - (to be completed in all cases)

	Date (dd/mm/yy)	Time (hh:mm)	Name of employee who informed
Manager/Deputy:			
GP / DN:			
GP / DN name:			
Other professional:			
Other professional name:			
Relative/NOK/Advocate:			
Relative/NOK/Advocate name:			

SECTION A continued:

Part 3 - Detailed information about the accident / incident - (to be completed in all cases)

Detailed information about this incident / event, including any injuries or harm caused and details of any witnesses and their version of events:

Apparent Injuries? ☐ Yes ☐ No

Body map completed (Part 5)? Date: / / Time: :

Part 4 - Details of action taken and why

Immediate actions taken by the person completing this form:

Has a risk assessment been carried out? ☐ Yes ☐ No Date: / /

(An updated version must be filed in section 6 of the care plan)

Has the Care Plan been updated? ☐ Yes ☐ No Date: / /

Provide details of changes made to both of the above, if applicable:

Your name: Date: / /

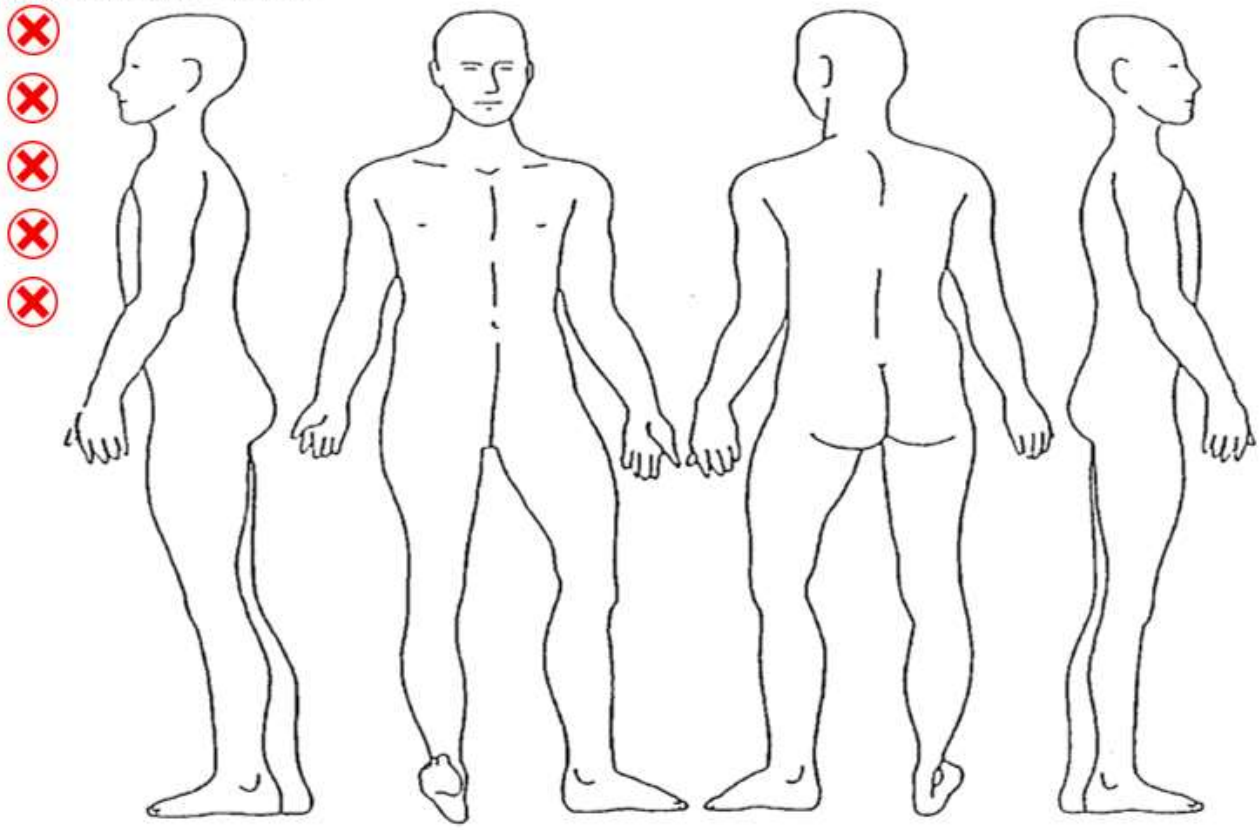
SECTION A continued:

Part 5 - Body map for bruising, marks, injury etc

Site Identification Reference: (Site name/date/number)	Personal Identification Reference:

A copy of this body map MUST be included in the resident's care plan.

Click and hold the left button of your mouse on the red 'X'(s) below, then move them to the location(s) of pain, marks, bruising etc.



Record the area/site of any injury, marks, bruising etc. Please also indicate the rough size in centimetres or use a comparison, for example, the same size as a 10p coin. Record details such as the colour of the bruising etc.

Description:

Action taken:

Signed: Date: Time:

This typed and completed form should now be sent to the service manager

SECTION B: To be completed by the Service Manager and submitted within 48 hours from the date of the accident/incident.

Part 1 - Recommendation and action taken to prevent a further recurrence

Has the resident had a previous fall within the last 3 months? ☐ Yes ☐ No

Details of the investigation:

Learning and outcomes from this accident / incident – provide details of any actions or steps taken to improve the service as a result of this event or occurrence.

Part 2 - Information about who was notified about this accident / incident - (to be completed in all cases)

	Date (dd/mm/yy)	Time (hh:mm)	Name of employee who informed
Director of the Service:			
CQC:			
CQC Reference:			
Safeguarding: ☐ Yes ☐ No			

Service Manager details:

Name:

Signature: Date: / /

Please now send your completed form to the Chief Executive, Director of Operations and the Quality Manager

APPENDIX 4: Run Hide Tell

NPCC
National Police Chiefs' Council

IN THE RARE EVENT OF
a firearms or weapons attack

RUN HIDE TELL

RUN to a place of safety. This is a far better option than to surrender or negotiate. If there's nowhere to go, then...

HIDE. It's better to hide than to confront. Remember to turn your phone to silent and turn off vibrate. Barricade yourself in if you can. Then finally and only when it is safe to do so...

TELL the police by calling 999.

RUN HIDE TELL

At the moment, the issue of terrorist attacks is regularly in the news. But it's been on our agenda for much longer.

The police and security service have been working constantly to foil terrorist attacks for years, not months.

But we are not complacent about keeping you safe.

Due to events in the UK and abroad, people are understandably concerned about a firearms or weapons attack. These attacks are very rare but in the event of such an attack, it helps to be prepared.

Remember, attacks of this nature are still very rare in the UK.

So Stay Safe, and just remember the words:

RUN. HIDE. TELL.

To watch the Stay Safe film, visit
www.npcc.police.uk/staysafe

Information is vital. If you see or hear something that could be terrorist related, trust your instincts and call the confidential Anti-Terrorist hotline on **0800 789 321**. Our specially trained officers will take it from there. Your call could save lives.

Always in an emergency, call **999**.