

INCIDENT REPORTING PROCEDURE



With you.
For you.

Reference number	V2 November 2020
Version	1.3
Approving Committee	Clinical Executive Committee – March 2021
Date	Governing Body – July 2021
Review Date	November 2023

Contents

1. Introduction	3
2. Scope	4
3. Purpose	4
4. What is an Incident or Near Miss	5
5. Immediate Action following an Incident	5
6. Reporting an Incident or Near Miss	6
7. Feedback from Incidents	7
8. Support for staff	7
9. Appendix A- Incident Reporting Flowchart	8

1. Introduction

According to the Health and Safety Executive (HSE) on average every year there are approximately:

- 250 employees killed at work
- 140,000 injuries to employees reported to the HSE under Reporting of Injuries, Disease and Dangerous Occurrences Regulations (RIDDOR)
- 2.2 million people suffering from an illness that they believed was caused or made worse by their work
- 36 million workdays lost due to work related ill health and injuries.

The above statistics highlight the importance of ensuring that good Health and Safety management systems are in place and that the organisation has a statutory duty to provide a safe environment with adequate welfare facilities for our staff, patients and others.

At West Lancashire Clinical Commissioning Group (WLCCG), incident reporting is one of the primary tools of risk management and supports quality and safety improvement. The CCG can learn from incidents and near misses.

A systematic approach to reporting and investigating incidents will place the CCG in a better position to:

- take action to prevent re-occurrence
- undertake statutory and mandatory reporting to external agencies
- provide support and information to patients, relatives and staff
- improve practice as a consequence of the findings of an investigation and learn from the occurrence
- set priorities for investment in training and other resources
- deal with any possible legal implications of an incident.

The non-reporting of incidents could result in:

- Prosecution under the Health and Safety at Work Act, 1974
- The NHSLA not settling a claim or withdrawing cover
- The withdrawal of funding from the contract with commissioners of services.

Litigation can be very damaging personally, financially and from a reputational standpoint, for both the CCG and staff involved. Reporting incidents promptly can lead to the avoidance of litigation through good communication with the injured party, and/out-of-court settlement (as appropriate). Where an incident is defensible, prompt and thorough investigation will allow the CCG to effectively defend its position.

In summary, when things go wrong it is the CCG's absolute priority to respond quickly and positively to act in the injured person's best interest and to mitigate problems with the environment, equipment, care or services delivered by the CCG.

By improving incident management, the CCG will improve and maintain the safety of staff and any other persons using CCG premises.

2. Scope

This policy applies to all employees of the CCG including temporary, locum and agency, contracted and sub-contracted staff. Managers at all levels are expected to take an active lead to ensure that all incidents are reported and investigated in a timely manner. This procedure applies to all incidents including near misses in order to provide a consistent approach to incident reporting and management. It applies to all members of the CCG staff and all staff employed by other organisations who are working on CCG premises.

3. Purpose

Accurate and timely reporting of incidents and near misses enables lessons to be learned and change to be implemented. Analysis of trends and patterns provides information to inform education and training programmes, revise policies, procedures and guidelines, build on strengths and improve areas of weakness.

The CCG Governing Body accepts that fear of Disciplinary action may deter staff from reporting incidents and has therefore chosen to adopt a positive, open and fair approach, based upon improvement through learning rather than punishment, where all staff will feel safe to report incidents and safety issues. The incident process will be fair and equitable and will focus on competence and capability. The CCG will use the individual review and, where appropriate, capability processes to support staff to fulfil their duties and responsibilities appropriately and safely. Disciplinary action will only be considered as part of the response to an incident in specific circumstances, for example, where wilful misconduct (rather than competence) or negligence are apparent.

The list below provides examples for illustrative purposes and is not intended to be exhaustive:

- personal or professional misconduct (gross)
- wilful violation of the organisational policies and procedures
- deliberate failure to report an incident in which the member of staff was involved or about which they were aware
- failure to co-operate with an investigation
- criminal actions where the police are involved which relate to an individual's work activities.

The CCG Governing Body fully supports a safety culture which acknowledges that sometimes things go wrong but as an organisation we can learn from our mistakes and take action to put things right.

4. What is an incident or Near Miss

All unexpected or unintended events or near misses (unexpected or unintended incident which was prevented or by luck did not cause harm) are classified as incidents and should be reported to the Corporate Business Manager using the CCG's Incident Reporting form.

However, to encourage reporting, incidents may be reported to the Corporate Business Manager via other means, for example, telephone, e-mail, word of mouth in the first instance, however this should then be followed up the completion of the official form.

Examples of events which are classified as incidents include: (this list is not exhaustive)

- any injury to a visitor or member of staff
- a failure of equipment
- a failure to follow CCG policy or procedure
- any situation which includes verbal abuse or threatening behaviour towards staff
- any situation which actually or potentially places staff or visitors at unnecessary risk
- where there is evidence of concerns relating to financial probity

5. Immediate Action Following an Incident

The immediate management of the incident is the responsibility of the person in charge of the service/team at the time of the incident. This may or may not be the Service/Team Manager. The immediate action to be undertaken should follow agreed policies for the area concerned but must include the following actions:

- Make any injured or unwell person safe - where necessary contact the local first-aider, local ambulance service or other appropriate member of staff to assist
- Where other services/departments are affected or involved, arrange for these to be notified of the incident as soon as possible

In the event of an incident being notifiable to the Health & Safety Executive in accordance with RIDDOR a member of the Midlands & Lancashire Commissioning Unit (M&LCSU) Health & Safety Team must be contacted immediately during normal working hours

- Preservation of evidence. Any evidence that was involved at the scene of any incident must be preserved for further investigation. In the case of a possible or actual criminal incident no action must be taken to clean up an area until the Police have attended. Any evidence must be preserved until the Scene of Crime Officers has completed their investigation. However, if the safety of service users or staff is at risk reasonable precautions must be taken to remove the danger. This is the responsibility of the senior manager present at the incident.

6. Reporting an incident or near miss

Completing an Incident Report

Any staff member involved in or who has witnessed an incident involving staff or others must complete an incident form via the CCG's Incident Reporting form. The information given must be fact only, not opinion. Full details including exact times, full names of the people involved and serial numbers of equipment are required if available. The appropriate sections on the incident form should be completed, paying particular attention to include signature, designation and correct date.

Any immediate action taken to minimise the risk of the incident recurring should be documented on the incident report. As a minimum, the following must be reported:

- Full details of the incident detailing what happened? (event/near miss, severity of actual or potential harm, people and equipment involved)
- Where did it happen? (location/speciality)
- When did it happen? (date and time)
- How did it happen? (immediate causes and contributory factors)
- What action was taken or proposed immediate and longer term?
- What impact did the event have? (Harm to the organisation, the patient, others)
- What factors did, or could have, minimised the impact of the event?

6.1 Assigning a Risk Score

All incidents must be assigned a risk score. If an incident is classified as a serious incident or a serious near miss incident (i.e. 9 or above), then the Corporate Business Manager must be informed as soon as possible of knowledge of the

serious incident and with an incident form within 1 working day. The Health & Safety Team must also be informed as soon as possible.

7. Feedback from incidents

Feedback from incidents is the responsibility of the Corporate Business manager and can be given in a variety of ways including one to one with staff, team briefings, investigation reports etc. The Corporate Business Manager will liaise between managers and the CSU Health and Safety Department for further feedback.

8. Support for Staff

The CCG acknowledges that staff who are involved in or witness an accident or incident may be upset and distressed and may be in need of some support. It is crucial that individuals are offered support following any incident or near miss. This may be as simple as a Line Manager offering the opportunity to discuss the issue. Whatever the support provided it should be recorded on the incident report form. Line Managers are usually the first senior person that a staff member will come into contact with and should always offer support to staff following a stressful or traumatic incident.

Examples of immediate support include:

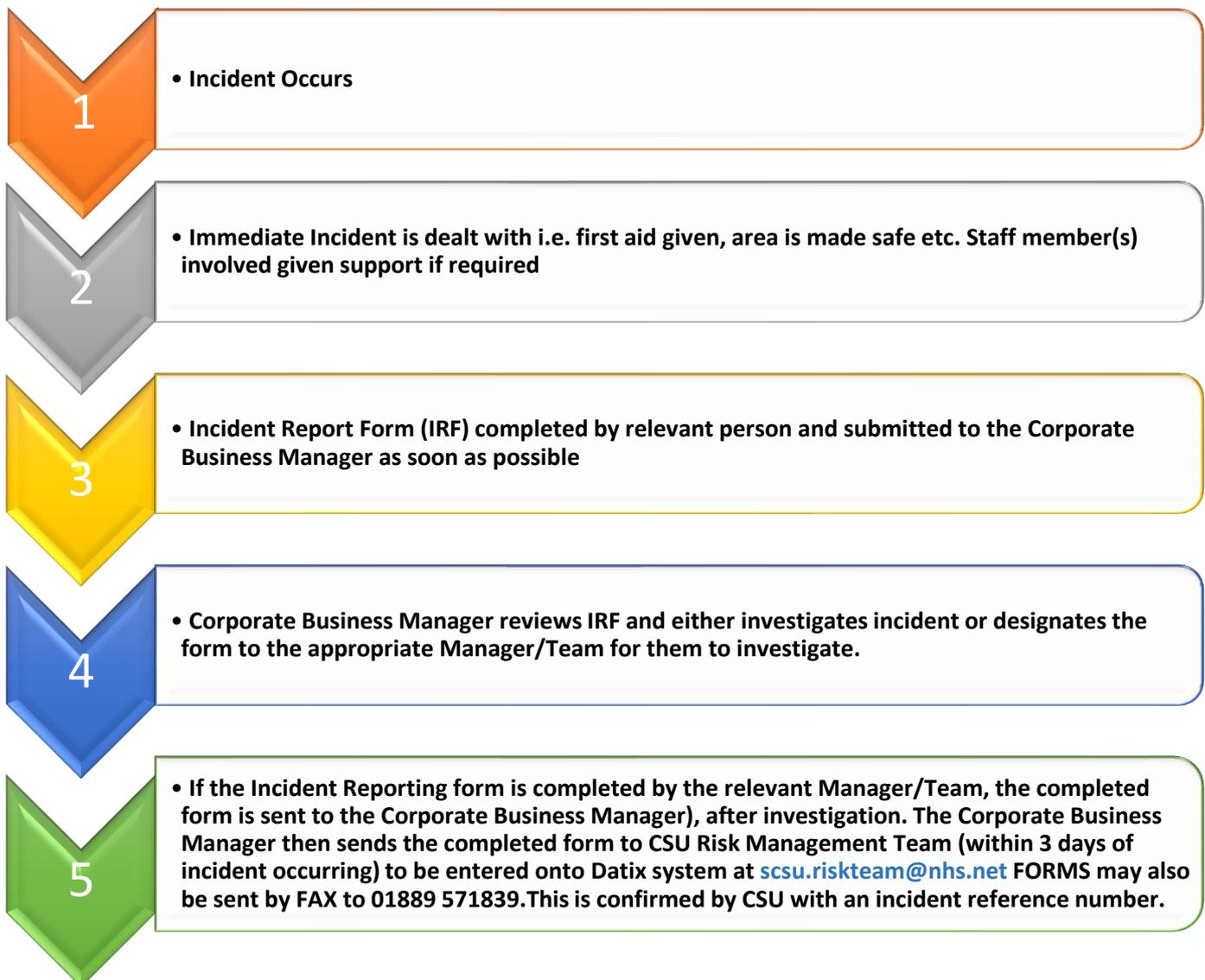
- Opportunity for staff member to talk about events and ask questions
- Provision of a named person or service for staff member to contact if further support is anticipated or desired. This may include information about what will happen next regarding the investigation.
- Referral to internal or external sources of advice.

The following individuals or groups can provide support and advice:

- Line Manager or a member of the Management Team
- Health & Safety Team
- HR/OH Managers
- Relevant Professional groups (e.g. RCN, RCM, GMC, Unison)
- Occupational Health Department and access to a counselling service.

9. Appendix A

Incident Reporting Flowchart



PLEASE NOTE: If the incident is **SERIOUS** it **SHOULD** be reported **IMMEDIATELY** by telephone to the M&LCSU on 0300 404 2999 ext 2449/2450/1679/1541 alternatively on 07825 783576. In the event of the incident requiring protracted investigation the IRF should be sent to the CSU Risk Management prior to completion. The completed form can then be forwarded on after investigation is complete.