


Incident and Accident Reporting

Services covered by this policy:	General Pre-school Children's Service	The Hamlet at Home Adult Services
Post holder(s) responsible for this policy:	Registered Manager and Senior Manager	
Date approved:	June 2022	
Approved by:	Ellie Coulson	
Signed:		
To be reviewed:	June 2024	

A. Policy statement

Our belief is that everyone at The Hamlet should be happy and safe, is unique and valued, can explore choice and opportunities, is encouraged to unlock their potential, can communicate in their own way and is part of the wider community.

This policy outlines the procedures when any employee, volunteer, Hamlet User, visitor or contractor has an accident, near miss or when a dangerous occurrence occurs on The Hamlet premises or as a result of work-related activities.

B. Purpose of this policy and why we have it

The Hamlet recognises that keeping records of incidents and safety incidents at work is required by law and is an important part of any health and safety risk management process. The analysis of comprehensive incident records is a valuable management tool that can be used to aid risk assessment and put in place safety actions to prevent incidents in the future.

On a larger scale, the collection of reports about serious incidents that may endanger the public is an essential role for an enforcing authority such as the Health and Safety Executive (HSE), local authorities and regulators.

C. Scope of this policy

- The Hamlet Users – children
- The Hamlet Users – adults
- Parents/carers/home support staff of Hamlet Users
- The Hamlet staff
- The Hamlet Volunteers
- Educational or work placements e.g., Occupational Therapy or Nursing
- Visitors

D. Policy

For the purposes of this policy, the following definitions apply.

- An accident is an unplanned incident that causes injury to persons, damage to property or a combination of both.
- A near miss is an incident that could have caused an accident or injury, but in the event did not — near misses may be warning signs of problems and should be reported and recorded so that proactive action can be taken to investigate the causes and prevent a more serious accident from occurring.
- Work-related activities include any activities that are related to the provision of care.

This policy covers reporting and recording procedures for managers, employees, and non-employees. Suitable information and training will be given to all personnel regarding incident reporting.

E. Procedures and monitoring

Range of Incidents to be Reported

Near misses are potential accidents or the results of human error that do not necessarily result in harm or injury but could have resulted in harm or injury under different circumstances.

Accidents such as falls, trips, knocks and impact accidents, and spillages of hazardous substances, which either cause injury or harm or could have caused injury or harm had they been more serious or eventful.

Behaviour that causes harm or puts anyone at risk of being harmed, including abusive, aggressive, or violent behaviour directed at Hamlet Users or care staff.

Restraints and restrictive practices should be reported and recorded to enable the matter to be investigated. Any use of restraint and restrictive measures are potential safeguarding matters may be discussed with the local safeguarding authority and notified to the CQC (for The Hamlet at Home only), depending on the results of any investigation / review.

Medication errors must be reported to enable the matters to be investigated and corrective actions taken. Medication errors will be dealt with at managerial level unless there is significant harm which will be treated as a safeguarding concern and safeguarding procedures will apply and CQC (for The Hamlet at Home) and Ofsted (for under 8's)

Alleged, suspected or actual abuse of a Hamlet User must be recorded and reported in line with the [Safeguarding policy](#) so that the appropriate safeguarding actions can be taken.

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Abuse of staff should be reported and recorded, as a health and safety issue. This includes any incident of physical, verbal, or written abuse, aggression, or violence directed at them from any source, e.g., Hamlet Users, relatives and others, so that appropriate actions can be taken in line with health and safety requirements. This includes online – see [Cyberbullying Policy](#).

Medical incidents that necessitate treatment provided by medical professionals e.g., calling 999.

Finance errors must be recorded and reported to enable the matters to be investigated and corrective actions taken. Finance errors involving Hamlet Users' money may be treated as safeguarding issues and safeguarding procedures will apply pending outcome of initial investigation.

Broken, damaged or missing belongings must be recorded and reported to enable the matters to be investigated and corrective actions taken. This includes items belonging to Hamlet Users, staff, The Hamlet, or any other parties.

Support errors e.g., a Hamlet User's personal care needs not being met, must be recorded, and reported to enable the matters to be investigated and corrective actions taken. Some errors will be treated as safeguarding issues and safeguarding procedures will apply.

Data breaches must be reported in line with the separate [Information Governance under the General Data Protection Regulation \(England\) Policy](#).

These incidents should be reported using the appropriate form on Access Care Planning or paper copies. Staff and volunteers must report any incidents or near misses immediately after they happen or are discovered, no matter how minor they are or who they involve - support staff working away from The Hamlet sites should report what happened to their line manager or on-call manager.

In general, minor incidents or near misses will be recorded and reviewed as part of routine health and safety procedures.

Emergencies

- Incidents must be managed in an appropriate manner to contain and eliminate any danger and minimise risk — all serious incidents occurring:
 - on The Hamlet premises
 - whilst providing care or support to a Hamlet User offsite
 - in a Hamlet User's home
 - travelling for work purposes e.g., between visits or meetings
 should be immediately reported to management.
- More serious incidents in the places listed above may require urgent remedial action and must be escalated to the senior management as required.

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- Immediate first-aid or emergency medical treatment should be sought and applied where there are injuries — where necessary, an ambulance should be called.
- Where necessary, in the event of an emergency, The Hamlet's crisis management and business continuity procedures will be put into action by the person in charge.
- Suitable training will be provided to managers and staff in dealing with incidents and emergencies, including how to respond to incidents in Hamlet User's homes (where applicable to their role).
- First aiders will be nominated and trained in compliance with The Hamlet's [first-aid policy](#).

Accident book reports

An incident must also be recorded in The Hamlet's [accident book](#) when a staff member, volunteer or visitor is injured. This includes if the injury was caused by an accident or the behaviour of a Hamlet User.

- The [accident book](#) should be used to record the following information:
 - date and time of the incident
 - full name and address of the person or persons affected
 - the person completing the entry (if different from above)
 - the occupation(s) of the person(s) affected
 - injuries caused and action taken
 - place where the accident or near miss occurred
 - a brief but clear description of the circumstances and sequence of events.
- Completing the form:
 - Use black pen
 - The report number, book number and date must be written above the perforation, this part stays in the book
 - The report number, book number and date must also be written below the perforation
 - Part 1: Fill this in.
 - Part 2: Only fill this in if you are completing it on behalf of someone else.
 - Part 3: Give as many details as you can.
 - Part 4: Sign and date.
 - Part 5: For employee only to give consent to employer to share information.
 - Part 6: For The Hamlet Charity to fill in if needed for RIDDOR.
 - Part 7: Data Protection (GDPR) to be signed by manager or administrator.
 - When the report has been completed it will be recorded, scanned, and stored here: The Hamlet Charity Team Site - Documents\Health & Safety\Staff Accident and Incident Forms

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- The [accident book](#) comprises accident forms which are completed by the person involved in an accident or by a witness — all forms are designed to comply with data protection law.
- Aside from informing the onsite or on-call manager and making a report, staff must maintain strict confidentiality relating to the details of any accident or incident.
- Managers will be responsible for assisting contractors, visitors and Hamlet Users in complying with the organisation's health and safety/accident reporting policies and procedures.

RIDDOR reports

- Incidents to be reported under the RIDDOR Regulations include:
 - accidents occurring at work that result in death or serious injury
 - certain dangerous occurrences, including acts of physical violence to support staff
 - certain diseases and medical conditions
 - injuries to staff causing incapacity of more than seven days, not counting the day on which the incident happened
 - injuries to members of the public or people who are not at work if they are injured through a work-related accident and are taken from the scene of the accident to hospital for treatment to that injury.
- Any serious incident which may require notification under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) must be immediately escalated to senior management.
- RIDDOR reports should be made by a senior manager using the appropriate online form on the HSE website or, in the case of a death or serious injury, by phone immediately to the HSE reporting centre on 0845 300 9923.
- If an incident results in over seven consecutive days of incapacity for work, it should be reported online under RIDDOR within 15 days.
- Copies of completed RIDDOR reports will be stored here: The Hamlet Charity Team Site - Documents\Health & Safety\RIDDOR

Care Quality Commission Notifications Procedures (Applicable for The Hamlet at Home only)

This service will comply with the requirements of the respective regulations to notify the CQC of any incident that has resulted in serious injury to or death of a Hamlet User and in relation to its statutory duty of candor. See also [Care Quality Commission Notifications](#) policy.

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Incident investigation

- All accidents, incidents, dangerous occurrences and/or near misses occurring on premises which are the responsibility of The Hamlet or occur in the homes of Hamlet Users in connection with the work activities of the organisation, should be investigated.
- Investigations should be conducted or led by a suitably trained manager.
- Investigations should be proportionate to the severity of the incident, the degree of risk and the scale of harm — investigations into serious incidents should result in a formal report to the CEO.
- Appropriate people should be involved in the investigation — this should include outside experts / contractors as required.
- The objectives of any incident investigation should be to determine the sequence of events leading to the incident and establish any unsafe acts and/or unsafe conditions within this sequence that were the direct causes of the incident.
- Appropriate action should be taken by management following an incident investigation — risk assessments should be reviewed and any learning from the investigation applied in order to prevent recurrence and maximise safety in the future.
- Investigations should be conducted in full collaboration with workforce representatives.
- The Hamlet will provide full access and co-operation where an HSE inspector or an inspector from a relevant regulatory body pursue their own investigation.

Reviewing incident and accident records

Incident, Behaviour, Medication Error, and Safeguarding records should be regularly reviewed by the management team in order to ascertain the nature of incidents that have occurred and to identify any incident patterns or trends. The following forms (on Access Care Planning) should be used for this:

- Incident: Management Follow-up
- Behaviour: Management Follow-up
- Medication Error: Management Follow-up
- Safeguarding: Management Follow-up

Training

Staff are given this policy at induction and expected to use its guidance to report incidents. Refresher training sessions may be offered as necessary.

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F. Regulations (Health and Social Care Act) and other legal references

The Hamlet complies with the requirements of the Health and Social Care Act (2014) (Regulated Activities) Regulations 2014 in respect of service user care, particularly 12: Safe Care and Treatment and the following regulations relating to accident management, reporting and investigation.

- It is a requirement of the Social Security (Claims and Payments) Regulations 1979, as amended, that organisations with 10 or more employees must keep records of all workplace accidents resulting in personal injury in an appropriate accident book.
- Reporting certain types of serious work-related accidents to the Health and Safety Executive (HSE) is a legal requirement under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).
- The Safety Representatives and Safety Committees Regulations 1977 require an employer to inform any appointed union safety representative of a notifiable accident to allow them to conduct an investigation.

The following HSE guidance will be followed:

- INDG453 *Reporting Accidents and Incidents at Work. A Brief Guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)*
- HSG245 *Investigating Accidents and Incidents: A Workbook for Employers, Unions, Safety Representatives and Safety Professionals*
- HSIS1 (rev3) *Reporting Injuries, Diseases and Dangerous Occurrences in Health and Social Care.*

Health and Social Care Act 2008 (Regulated Activities) Regulations 2014

- Regulation 12 – Safe Care and treatment
- Regulation 13 – Safeguarding service users from abuse and improper treatment
- Regulation 20 – Duty of Candour

Care Quality Commission (registration)- Regulation 2009

- Regulation 16 – Death of a service user
- Regulation 18- Notification of other incidents

Ofsted

- Reporting of significant or serious incidents.

This policy should be read in conjunction with any other relevant Hamlet policies and accompanying procedures.

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Access Care Planning Forms

Name of form	What to use form for
Medication Error	<ul style="list-style-type: none"> • Medication was not administered (at all or at the correct time) • Wrong medication was administered • Medication was administered via the wrong route • The incorrect dose was administered • Medication was administered to wrong Hamlet User • Reporting Error • Issue with medication e.g., dropped, bottle leaked, out of date
Incident Record	<ul style="list-style-type: none"> • Accident e.g., slip, trip or fall • Medical e.g., cardiac arrest • Finance • Broken, damaged or missing belongings • Care or support error • Abuse of Hamlet staff member (by a non-Hamlet User) • Abuse of anyone else e.g., visitor (not Hamlet staff or users)
Observation Record	Anything you observe in a Hamlet User that doesn't seem serious enough to be a safeguarding issue, but you want to record e.g., a bruise or upset Hamlet User.
Seizure Record	Seizures.
Safeguarding Record	Anything you think might be a safeguarding issue.
Behaviour Record	Behaviour incidents.

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