ISLINGTON
In partnership with
NHS
Islington Clinical Commissioning Group

Serious and Untoward Incident Reporting Procedure

For providers of adult social care services

Introduction

The purpose of this procedure is to define what a serious incident is and set out the process for reporting incidents to Islington Learning Disability Partnership (ILDP) and the Commissioning team.
This procedure is for:

- Supported Living
- Home care
- Sheltered Housing
- Extra Care Sheltered Housing
- Social Inclusion services
- Advocacy Services
- User & Carer involvement groups
- Day care

What is a serious or untoward incident?

A serious incident is an event or circumstance which could have or did result in unnecessary damage, loss or harm such as physical or mental injury to a service user, member of staff or a member of the public. These incidents include:

- Involvement of emergency services, or Emergency Department/hospital admission
- Where physical intervention was applied e.g. restraint
- Challenging behaviour out of character
- Serious harm to service users, staff or members of the public
- Unexpected/unexplained death or serious injury within the service
- Service user death
- Missing persons
- Medication errors
- Intentional acts of violence or crime
- Any incident that involves Infection Control and the involvement of the Health Protection Agency
- Any incident that may lead to a safeguarding alert being raised; including allegations of abuse or whistleblowing
- Any scenario that prevents or threatens to prevent the provider's ability to continue to deliver services e.g. actual loss or potential loss of personal/organisational information, damage to property, reputation or the environment, fire, flood, loss of power, heating or water.
- Where the service needed to be evacuated in an emergency
- Public concern about the organisation, e.g. Adverse media coverage, appointment of liquidators, or CQC inspection that has uncovered concerns
- A series of seemingly small incidents recurring in a service that may cause concern about an individual or the quality of the service provided. This includes recurrent patterns in ABC charts or patterns identified within internal/minor incident reporting mechanisms.

Safeguarding
All organisations operating in a London Borough are expected to follow the London Multi-Agency Policy and procedures regarding safeguarding vulnerable adults. Together, these policies and procedures set out:

- the guiding principles behind safeguarding adults
- the legal framework
- how we respond to reports of abuse
- guidance and templates for professionals investigating abuse

The policies can be found on the link below.
London Multi-Agency Policy

What should you do if you suspect abuse?
If there is a risk of immediate harm to the adult, yourself, and/or others:
- Take yourself out of danger
- Call 999

If there is no immediate risk but you think abuse or neglect may have occurred, contact the ILDP Duty Team on: 0207 527 2576 or duty.ildp@islington.gov.uk.

The out of office hours ILDP duty phone number is: 0207 226 0990 or edtduty@islington.gov.uk

Whistleblowing
If you are a care professional and suspect another colleague or professional person is abusing a vulnerable adult:
- Report this to your line manager immediately
- If you are dissatisfied with their response or do not feel you can approach them then call ILDP duty team on 0207 527 2576 or duty.ildp@islington.gov.uk
- You might feel worried about reporting your colleagues. Remember that it is difficult for vulnerable adults to report abuse and they rely on you to help them.

Serious Incident Reporting Process

Serious incident reports should be emailed via Egress **within 48 hours** to:

- ILDP care coordinator (if known / allocated)
- ILDP duty team – duty.ildp@islington.gov.uk
- LBI commissioning team – incidents@islington.gov.uk
- LBI contracts officer for the service (if known)

The information required in the report is as follows:

- Name and job title of person reporting the incident
- Witnesses
- Date and time of the incident
- Location of incident
- Nature of the incident
- All parties involved and what their role was during the incident
- Objective description of the incident
- If there was any property damage
- Service name

- Which other agencies and stakeholders have been informed
  Actions taken locally to address the cause of the incident
- There will also be prompts to ensure that the risk assessment is reviewed

If there is a valid reason for a delay in reporting an incident, then a holding email or telephone call can be made to ILDP Duty pending the incident report being sent as soon as possible.

Incident reports should be:

- Completed at the time of the incident whilst it is still fresh in people's minds.
- Completed by a member of staff who was present during the incident
- Authorised by a manager or deputy, or someone with delegated management responsibility for the service.

Post Incident Learning
A record of learning should be made on the incident report, in a post incident outcome section. The updated incident report inclusive of post incident outcome should be sent to the contacts named above.

Below are some questions that could act as a guide for discussing what the learning will be:

- Are there any triggers for the incident?
- Is there a need to review that person's Risk Assessment around triggers?
- Is there a need to review the Support Plan or Behaviour Management Strategy?
- Was restrictive physical intervention was used in line with a planned strategy or as a reactive response and whether any issues that arose from its use.
- Could use of the physical intervention have been avoided – could a less restrictive way have been used to manage the situation?

This differs from the Post Incident Debrief, which is more about the support to staff.

Post Incident Debrief and Staff Support
Where an incident may have an emotional impact of the members of staff involved, a post incident debrief should be carried out.

Below are some questions that could act as a guide for discussion within the post incident debrief:

- What were staff feelings at the time of the incident, at the review and how they may feel in the near future?
- What can be done to address their concerns?
- Do they understand that they can access the Employee Assistance Programme or similar so that they can seek independent counselling and support?

Some other things to think about are:

- Employee Risk Assessments are in place in relation to supporting people with challenging behaviour, and these are reviewed on a regular basis.
- Stress Risk Assessments are carried out routinely for teams and individual staff members.
- Ensure that there is a relevant up to date lone working risk assessment in place for staff members.

Reporting of Serious Incidents to CQC

For those services that are regulated by CQC there are specific requirements in relation to the notification of incidents.

CQC requires that a unique identifying number is given to any notification. In order to comply with data protection principles this must not be any number from which the person could be identified.

Information Governance
Providers must take steps to ensure that information is sent to the council in a secure way via Egress.

Reporting and monitoring of all incidents
In addition to reporting serious incidents to the council, the provider is expected to record all incidents that occur within services commissioned by Islington for the duration of the contract.
All incidents should be recorded with a view to increasing understanding, to detect patterns, and to draw up and review appropriate strategies of intervention. Within the provider's recording mechanism there should be a column for recording recommendations and include a way of checking to see that recommendations have been acted upon. E.g. a recommendation to review the person's risk assessment.

Providers are expected to complete the attached incident log on a monthly basis and send it, **on the 7th day of every month**, to:

- ILDP care coordinator (if known / allocated)
- ILDP duty team – duty.ildp@islington.gov.uk
- LBI commissioning team – incidents@islington.gov.uk
- LBI contracts officer for the service (if known)

This information will be used by Commissioning as part of the contract and performance management process.