INCIDENT REPORTING POLICY

PRN-77: Incident Reporting Policy
Company Name: AI Auto-Tech Ltd
Trading/Business Name: CAREHOPES
Company Registration Number: 15556946
SIC Code: 88100 – Social Work Activities Without Accommodation for the Elderly and Disabled
Email: admin@carehopes.com
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1. Purpose

The purpose of this policy is to establish a clear and consistent process for reporting, recording, investigating, and learning from incidents that occur during the delivery of the organisation's Non-Accommodation Companionship and Wellbeing Support Service.

The organisation is committed to:

- Protecting service users, staff, volunteers, and others from harm.
- Promoting openness and accountability.
- Learning from incidents and near misses.
- Improving service quality and safety.
- Meeting legal and regulatory responsibilities.
- Supporting a positive safety culture.

The organisation encourages prompt reporting of all incidents, regardless of severity.

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2. Scope

This policy applies to:

- Employees
- Volunteers
- Managers
- Directors
- Trustees

- Agency workers
- Students and placements

This policy applies to incidents occurring during:

- Home visits
- Community activities
- Accompanied outings
- Wellbeing visits
- Telephone and online support
- Organisational events
- Training sessions
- Volunteer activities
- Travel undertaken on behalf of the organisation

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3. Policy Statement

The organisation recognises that incidents can occur despite appropriate planning and risk management.

All incidents, accidents, near misses, safeguarding concerns, and unsafe situations must be reported promptly to ensure:

- Appropriate action is taken.
- Risks are identified and addressed.
- Individuals are protected from harm.
- Lessons are learned.
- Future incidents are prevented where possible.

No employee or volunteer will be criticised for reporting concerns in good faith.

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4. Objectives

This policy aims to:

- Promote timely reporting.
- Ensure accurate recording.

- Support effective investigation.
- Meet safeguarding responsibilities.
- Identify patterns and trends.
- Improve quality and safety.
- Protect all individuals involved.
- Promote organisational learning.

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5. Definitions

Incident

An incident is any unexpected event that causes, or could have caused, harm, injury, loss, damage, or disruption.

Accident

An unplanned event that results in injury or damage.

Examples:

- Slips, trips, and falls.
- Minor injuries.
- Vehicle-related incidents.
- Injuries sustained during activities.

Near Miss

An event that did not result in harm but had the potential to do so.

Examples:

- Unsafe access to a property.
- Equipment failure with no injury.
- Incorrect information being identified before use.

Near misses must be reported as they provide valuable learning opportunities.

Safeguarding Incident

Any concern involving:

- Abuse
- Neglect
- Exploitation
- Self-neglect
- Financial abuse
- Domestic abuse
- Discriminatory abuse

Safeguarding incidents must be managed under the Adult Safeguarding Policy.

Serious Incident

An incident involving:

- Serious injury
- Significant harm
- Death
- Criminal activity
- Serious safeguarding concerns
- Major reputational risk
- Significant data breaches

Serious incidents must be escalated immediately.

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6. Types of Incidents That Must Be Reported

Employees and volunteers must report:

Health and Safety Incidents

- Falls
- Injuries
- Hazards

- Unsafe environments

Safeguarding Concerns

- Abuse
- Neglect
- Exploitation
- Self-neglect

Behavioural Incidents

- Aggression
- Threats
- Harassment
- Violence

Property and Security Incidents

- Theft
- Criminal damage
- Lost property
- Security breaches

Information Governance Incidents

- Loss of confidential information
- Data breaches
- Incorrect disclosure of information

Financial Safeguarding Incidents

- Suspected fraud
- Financial abuse
- Theft of money or possessions

Service Delivery Incidents

- Failure to provide planned support
- Missed visits
- Significant communication failures

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7. Immediate Actions Following an Incident

Where an incident occurs, employees and volunteers must:

Ensure Immediate Safety

- Protect themselves and others.
- Remove individuals from danger where safe to do so.
- Seek emergency assistance if required.
- Inform the Police if assaulted and wanted to press for charges (this includes, Staff, Service Users, Volunteers & 3rd parties)

Obtain Medical Assistance

Where appropriate:

- Call emergency services (999).
- Seek medical support.
- Inform emergency contacts where authorised.

Preserve Evidence

Where criminal activity or safeguarding concerns are suspected:

- Avoid disturbing evidence.
- Record observations accurately.
- Follow management instructions.

Report Promptly

Managers must be informed as soon as possible.

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8. Emergency Situations

Emergency services should be contacted immediately where there is:

- Threat to life
- Serious injury
- Fire
- Serious criminal activity

- Immediate safeguarding risk

Emergency telephone number:

999

Employees and volunteers must prioritise safety above all other considerations.

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9. Reporting Procedure

All incidents should be reported as soon as reasonably practicable.

Step 1

Ensure immediate safety.

Step 2

Inform the appropriate manager or supervisor.

Step 3

Complete an Incident Report Form.

Step 4

You may wish to Inform the police **if assaulted** and wish to also press for charges. This is a personal decision, and no staff, volunteers or service users should be discouraged from reporting incidents to police. Managers have the responsibility of exposing the victims to all possible reporting options and allow the victim to decide. Where victim lacks proven capacity or unconscious, the person(s) available has the duty of care to report to the police unfailingly and call the emergency service (999) for help.

Step 5

Participate in any investigation if required.

Step 6

Implement agreed actions and recommendations.

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10. Incident Report Forms

Incident reports should normally include:

- Date and time
- Location

- Persons involved
- Nature of the incident
- Injuries or harm sustained
- Immediate actions taken
- Witness details
- Follow-up actions required
- Name of person completing the report

Reports must be factual and objective (not bias).

The primary objective of reporting is not to apportion blames or punish alleged offenders but for quality improvement to enable the organization to improve their system and protect the service users and staff wellbeing.

See the organization's patient safety and incidence response framework for reporting and investigating incidents (see Incident Reporting Flowchart/Framework section below).

Opinions should be clearly distinguished from facts.

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11. Recording Standards

All incident records must be:

- Accurate
- Timely
- Legible
- Objective
- Confidential
- Complete

Employees and volunteers must avoid:

- Speculation
- Assumptions
- Personal opinions
- Inflammatory language

- Biasness
- Presumptions
- Personal/Data Privacy Breach

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12. Incident Investigation

The organisation will investigate incidents proportionately.

The purpose of investigation is to:

- Establish facts.
- Identify contributory factors.
- Identify lessons learned.
- Reduce future risks.
- Improve service quality.

Investigations are not intended to assign blame unless misconduct is identified.

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13. Root Cause Analysis

Significant incidents may require a more detailed review.

This may include consideration of:

- Policies and procedures
- Training arrangements
- Communication issues
- Environmental factors
- Management systems
- Human factors

The organisation aims to understand why incidents occurred and how recurrence can be prevented.

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14. Safeguarding Incidents

Where an incident involves suspected abuse or neglect:

Employees and volunteers must:

- Follow the Adult Safeguarding Policy.
- Report immediately.
- Maintain confidentiality.
- Preserve evidence where possible.

Safeguarding incidents may require referral to:

- Local Authority Safeguarding Team
- Police
- Healthcare professionals

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15. Data Breach Incidents

Any suspected loss, theft, misuse, or inappropriate disclosure of personal information must be reported immediately.

Examples include:

- Lost records
- Emails sent to incorrect recipients
- Breach of confidentiality
- Unauthorised access to information

Such incidents must be managed under the organisation's Data Protection and GDPR Policy.

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16. Learning from Incidents

The organisation is committed to continuous improvement.

Learning may result in:

- Updated procedures
- Additional training
- Improved communication
- Revised risk assessments

- Service improvements
- Changes to working practices

Lessons learned should be shared appropriately.

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17. Support Following an Incident

Incidents can be distressing for those involved.

The organisation will seek to provide appropriate support to:

- Service users
- Employees
- Volunteers
- Witnesses

Support may include:

- Debriefing
- Supervision
- Wellbeing support
- Additional guidance and training

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18. Duty of Candour and Openness

The organisation is committed to honesty and transparency.

Where appropriate, individuals affected by incidents will receive:

- Accurate information
- Explanations of actions taken
- Apologies where appropriate
- Information regarding investigations

Communication will be respectful, timely, and sensitive.

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19. Responsibilities

Directors

Responsible for:

- Oversight of incident management.
- Reviewing serious incidents.
- Ensuring organisational learning.
- Ensure incidents response framework is on ground for investigating incidents for system improvement that will provide a safe environment for service users, staff, volunteers, companions and 3rd parties working with the organization.

Managers

Responsible for:

- Receiving incident reports.
- Investigating incidents.
- Maintaining records.
- Implementing improvements.
- Supporting staff and volunteers.

Employees and Volunteers

Responsible for:

- Reporting incidents promptly.
- Completing records accurately.
- Cooperating with investigations.
- Following safety procedures.

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20. Monitoring and Quality Assurance

The organisation will regularly monitor:

- Incident reports
- Accident records
- Near misses
- Safeguarding concerns
- Complaints
- Data breaches

- Training compliance

Trend analysis will be undertaken to identify recurring issues and opportunities for improvement.

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21. Incident Reporting Flowchart/Framework

Incident Occurs

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Ensure Immediate Safety

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Seek Emergency Assistance if Required

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Inform Manager / Supervisor / Authority *(e.g safeguarding, police, other external bodies if applicable)*

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Complete Incident Report Form

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Manager Reviews Incident

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Investigation (if required)

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Corrective Actions Implemented

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Lessons Learned Shared

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Risk Assessments Reviewed

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Incident Closed

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22. Case Study

Scenario: Fall During Community Activity

Mrs H attends a community coffee morning accompanied by a volunteer.

While entering the venue, she trips on an uneven paving slab and falls.

Immediate Actions

- Volunteer checks for injuries.
- First aid assistance is requested.
- Emergency contact is informed where appropriate.
- Incident is reported to the Service Manager.

Follow-Up Actions

- Incident Report Form completed.
- Venue access reviewed.
- Risk assessment updated.
- Future visits include alternative accessible entrance arrangements.

Learning Outcome

Improved venue-check procedures introduced for community activities.

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23. Review Arrangements

This policy will be reviewed:

- Annually
- Following serious incidents
- Following safeguarding reviews
- Following legislative changes
- Following significant organisational changes

Related Policies

- Health and Safety Policy
- Risk Assessment Policy

- Adult Safeguarding Policy
- Financial Safeguarding Policy
- Data Protection and GDPR Policy
- Confidentiality Policy
- Employee Wellbeing Policy
- Whistleblowing Policy
