



*Sunderland  
Clinical Commissioning Group*

# Incident Reporting and Management Policy



# Contents

1. Introduction .....	4
2. Status .....	5
3. Purpose and scope.....	5
4. Definitions.....	6
5. Incident Reporting .....	10
6. Management of CCG Incidents.....	12
7. Trend Analysis / Learning Lessons.....	17
8. Duties and Responsibilities.....	19
9. Implementation .....	20
10. Training Implications.....	21
11. Fair Blame .....	21
12. Documentation.....	22
13. Monitoring, Review and Archiving.....	23
14. Equality Analysis.....	24

## Version Control

Version	Date approved and where	Update comments	Date of next review	CCG Lead
V1	28.02.13			Deborah Cornell
V2	3 <sup>rd</sup> May 2016 Executive Committee	<p>Policy refresh in line with changing CCG incident reporting and management requirements aligned to the introduction of Safeguard Incident Risk System (SIRMS) across the CCG.</p> <p>Section 1 - types of incidents updated.</p> <p>Title of Section 4 amended and split into three separate sections. Glossary of terms now includes definition of 'contractors' and link to core set of never events. Definitions for DH, ICO and SIRO also added.</p> <p>Section 5.2 - amended as sentence repeated in 5.3. Appendices have been removed and Section 6 now refers to a separate standard operating procedure to be used in conjunction with the policy.</p> <p>Section numbers changed to include new section at 6.2, Interdependency of incident and risk management. Section 6.3 has an additional sentence added. Section 6.7 has an additional sentence regarding clinical quality reporting.</p> <p>Section 8 – NECS roles and responsibilities updated to include customer relationship manager.</p> <p>Section 10 – amended.</p> <p>Section 12 – separated into four sections.</p>	December 2018	Deborah Cornell

## 1. Introduction

NHS Sunderland Clinical Commissioning Group (the CCG) aspires to the highest standards of corporate behaviour and clinical competence, to ensure safe, fair and equitable procedures are applied to all organisational transactions, including relationships with patients and their carers, the public, staff, stakeholders and use of public resources. In order to provide clear and consistent guidance, the CCG will develop documents to fulfil all statutory, organisational and best practice requirements.

The organisation has a responsibility for managing incidents to ensure the quality of the services it commissions is safe and of a high standard. The CCG has a responsibility to ensure CCG employees (permanent, fixed term) and contractors have effective systems in place to identify and manage incidents and risks and support them in their development where necessary. The CCG has a duty to act as a conduit for information about such risks and incidents and to ensure that the learning (and the opportunities for risk reduction) from them is not lost within the CCG or the wider NHS.

This policy sets out the CCG's approach to the reporting and management of incidents in fulfilment of its strategic objectives and statutory obligations. The reporting of incidents will help the CCG identify potential breaches in its core business including breaches in:

- contractual obligations
- internal processes
- performance targets
- service specifications etc.
- statutory duties

This policy will enable the organisation to learn lessons from adverse events and supports implementation of actions to prevent incidents reoccurring. Reported incidents will be periodically analysed and results will be shared with where appropriate. The reporting and management process uses a root cause approach to analyse incidents.

The CCG aims to develop an open learning culture of incident reporting, based on the principles of fair blame.

There are four different incident types; non-clinical, clinical, NHS 111 and soft intelligence. Since incidents reported by the CCG will predominantly be non-clinical in nature, this policy focuses on the types of incidents that fall into this category. Once the risk type has been selected, a set of primary cause groups and cause groups linked to the incident type will be available to select.

The CCG incident reporting form is also used by GP practices. There is therefore an option to report clinical incidents, the majority of which will be reported by primary care about providers of clinical services.

The policy interlinks with the CCG's serious incident management policy.

The adoption and embedding within the organisation of an effective integrated incident management framework will ensure that the reputation of the CCG is maintained, enhanced, and its resources used effectively to ensure business success, financial strength and continuous quality improvement in its operating model.

## 2. Status

This is a corporate policy and outlines the Incident Reporting and Management Policy for Sunderland CCG.

## 3. Purpose and scope

This policy provides information and guidance to staff working within the CCG to report incidents and near misses. This will be achieved by:

- providing guidance on the process for reporting and managing incidents to CCG employees (permanent, fixed term) and contractors
- setting out the roles and responsibilities of CCG employees (permanent, fixed term) and contractors, committees and the organisation as a whole in the reporting and management of incidents
- outlining the principles that underpin the organisation's approach to incident reporting and management
- providing clear definitions of the terminology within incident reporting and management, to ensure that no confusion exists between historical and current terms
- providing clear guidance to employees of the organisation as to the kinds of incidents and issues that can be reported within the system
- providing a clear organisational position on the principles of investigation used when responding to incidents, including fair blame and root cause analysis
- outlining how actions, outcomes, trends and lessons learned from incidents will be monitored and reviewed
- providing information and guidance on how the organisation aims to meet the requirements for onward reporting of incidents to the National Reporting and Learning System (NRLS)
- integrating where relevant the existing organisational policy for Serious Incidents (SIs) "**CO18 CCG Serious Incidents (SIs) Management Policy**";
- providing a clear description of the reporting and management process based on the tools available in the Safeguard Incident and Risk Management System (SIRMS), to ensure that all of the above can be achieved.

## 4. Definitions

The following definitions and terms are used in this policy document.

### 4.1 Definition of an Incident

An incident is a single distinct event or circumstance that occurs within the organisation which leads to an outcome that was unintended, unplanned or unexpected.

The incident could also occur outside the organisation if a member of staff is visiting other locations in the course of their work.

Incidents are often negative by nature but can also include positive leaning events which can be shared throughout the organisation as good practice.

An incident could involve:

- contractors
- employees
- environment (workplace)
- organisational reputation
- property
- service delivery
- stakeholder

The incident might impact on different aspects of CCG operations for example:

- reputation
- resources
- staff
- quality of services

### 4.2 Examples of types of incidents

The following are examples of types of incidents used in this document:

#### **Clinical Quality Incident**

A clinical quality incident is any unintended or unexpected incident which could have led to or did lead to harm for one or more patient's receiving NHS care.

#### **Corporate Business Incident**

A corporate business incident is a business event or circumstance that could have or did have a negative impact on the organisation, its stakeholders or the services in which it commissioned.

### **Health and Safety, Fire, Security and Environmental Incident**

A health and safety, fire, environmental or security incident is an event or circumstance that affects staff/visitors safety.

### **Information Governance Incident**

An information governance incident is an event or circumstance which affects or could affect the security of the information maintained by the CCG.

### **Information Technology (IT) Incidents**

An information technology (IT) incident is an event or circumstance that affects or could affect the way the CCG does business negatively and is attributed to IT systems and/or the network.

## **4.3 Glossary of Terms**

The following terms are used in this document:

### **Caldicott Guardian**

An NHS (UK) appointee who is responsible for policies that safeguard the confidentiality and security, information clarity, rights of access and documentation accuracy of patient data. Caldicott Guardians are often senior professionals working within a particular NHS organisation-trust or in general practice.

### **Contractors**

In relation to this policy, 'contractors' refers to agency staff, and employees of NECS providing commissioning support services to the CCG. It does not include providers of clinical services. Contractors have a duty to report incidents they are involved in or witness in relation to the CCG.

### **Department of Health**

The Department of Health (DH) helps people to live better for longer. It leads, shapes and funds health and care in England, making sure people have the support, care and treatment they need, with the compassion, respect and dignity they deserve.

### **Fraud, Corruption and Bribery**

Fraud is essentially dishonest behaviour and is in very simple terms, "stealing".

An NHS insider may claim money for services not provided, claim more money than they are entitled to, or divert funds to themselves in other ways. External organisations may provide false or misleading information such as invoices, to claim money they are not entitled to.

If an incident relates to potential fraud, corruption or bribery, refer to the CCG's Anti-Fraud Policy.

## **Harm**

Harm is defined as an injury (physical or psychological), disease, suffering disability or death. In most circumstances harm can be considered to be unexpected, rather than the natural cause of the patient's underlying condition

## **Information Commissioner's Office**

The Information Commissioner's Office (ICO) upholds information rights in the public interest, promoting openness by public bodies and data privacy for individuals. ICO is an executive non-departmental public body, sponsored by the [Ministry of Justice](http://www.ico.org.uk/). <http://www.ico.org.uk/>

## **National Reporting and Learning System (NRLS)**

The NRLS is a central database of **patient safety incident reports**. Since the NRLS was set up in 2003, over four million incident reports have been submitted.

All information submitted is analysed to identify hazards, risks and opportunities to continuously improve the safety of patient care.

## **Near Miss**

An incident could be a **near miss** which is an event or situation that has the potential to cause harm but which never happened. These events should also be reported so the organisation can learn lessons and take preventative action where required.

## **NHS England**

The key functions and expertise for patient safety developed by the National Patient Safety Authority (NPSA) **transferred to the NHS Commissioning Board Special Health Authority**, known as NHS England.

The Board Authority harnesses the power of the **National Reporting and Learning System (NRLS)**, the world's most comprehensive database of patient safety information, to identify and tackle important patient safety issues at their root cause.

## **Root Cause Analysis (RCA)**

**RCA** is a systematic process whereby the factors that contributed to an incident are identified. As an investigation technique for incidents, it looks beyond the individuals concerned and seeks to understand the underlying causes and environmental context in which an incident happened.



## **Serious Incidents (SI)**

A definition of a serious incident corresponds with the National Patient Safety Authority (NPSA) definition:-

“A serious incident is an incident related to NHS-funded services and care resulting in one of the following:

- unexpected or avoidable death of one or more patients, staff, visitors or members of the public
- serious harm to one or more patients, staff, visitors or members of the public or where the outcome requires life-saving intervention, major surgical/medical intervention, permanent harm or will shorten life expectancy or result in prolonged pain or psychological harm (this includes incidents graded under the NPSA definition of severe harm)
- a scenario that prevents or threatens to prevent a provider organisation’s ability to continue to deliver healthcare services, for example, actual or potential loss of personal/organisational information, damage to property, reputation or the environment, IT failure or incidents in population programmes like screening and immunisation where harm potentially may extend to a large population
- allegations of abuse
- adverse media coverage or public concern about the organisation or the wider NHS
- one of the core set of never events, as updated on an annual basis <http://www.england.nhs.uk/wp-content/uploads/2013/12/nev-ev-list-1314-clar.pdf>.”

A SI involving the use of “Personal Confidential Data” is defined as an incident involving the actual or potential loss of personal information that could lead to identity fraud or have other significant impact on individuals.

## **Serious Incidents Requiring Investigation (SIRI)**

This is a serious incident requiring investigation. Incidents falling into this category are essentially information governance or IT security related. These incidents must be reported to the Department of Health (DH) and the Information Commissioners Office (ICO) via the Health and Social Care Information Centre Information Governance Toolkit. The CCG IG Lead is responsible for reporting a CCG SIRI incident on the national database with assistance from the NECS Information Governance team.

### **Senior Information Risk Owner**

The Senior Information Risk Owner (SIRO) is an Executive Director or Senior Management Board Member who will take overall ownership of the organisation's Information Risk Policy, act as champion for information risk on the Board and provide written advice to the Accounting Officer on the content of the organisation's Statement of Internal Control in regard to information risk.

The SIRO must understand how the strategic business goals of the organisation and how other organisations' business goals may be impacted by information risks, and how those risks may be managed. The SIRO implements and leads the Information Governance (IG) risk assessment and management processes within the organisation and advises the Board on the effectiveness of information risk management across the organisation.

### **Soft Intelligence**

The phrase 'soft intelligence' is used to describe information gathered about a provider and its services, either from those who have experienced that service or from those with a professional relationship with the service. There may not be substantiated evidence to prove whether or not the event or experience occurred or has had an immediate measurable impact, but the intelligence may contribute to the bigger picture when looked at alongside hard intelligence and other evidence based information.

### **The Strategic Executive Information System (StEIS)**

StEIS is a **national database for reporting and learning from the most serious incidents in the NHS.**

NECS Clinical Quality Team is responsible for recording serious incidents onto StEIS. This system is to be replaced by a new national consolidated system for reporting and learning from serious incidents in the near future.

## **5. Incident Reporting**

Every CCG employee (permanent, fixed term) and contractors must ensure that any incident that they are involved in, witness or become aware of is reported either by themselves or another person. Specific employee duties and responsibilities under this policy are described in **section 8** of this document.

The reporting of incidents and near-misses is a key element in the governance of the organisation. Having a system that enables the capture and analysis of incident information is the cornerstone to effective risk management and can assist in the learning of lessons, prevention of harm and improvement of performance.

## 5.1 How to report a CCG incident

CCG employees (permanent, fixed term) and contractors who have access to the staff intranet have access to the electronic on-line reporting system Safeguard Incident and Risk Management System (SIRMS). This is the preferred method for reporting incidents in the organisation. For the vast majority of staff, SIRMS can be accessed at this web-address:

<https://sirms.necsu.nhs.uk>

Full guidance on how to report an incident via the web-form can be found in the **SIRMS incident web-form reporting guide** and the **SIRMS incident manager's web-form guide** (see Appendices 9 & 10 of the SOP).

If there are any difficulties accessing the web-form please contact a member of the NECS Governance team who will be pleased to help you. The Governance team can be contacted via email:

[NECSU.SIRMSINCIDENTS@nhs.net](mailto:NECSU.SIRMSINCIDENTS@nhs.net)

## 5.2 Where to record your incident on SIRMS

CCG employees (permanent, fixed term) and contractors (with the exception of NECS staff) will report all CCG incidents they are involved in, witness or become aware of, on the **SIRMS CCG/GP incident reporting page**.

Contractors also have a responsibility to report incidents on their own incident reporting and management system as appropriate.

Should a NECS member of staff be involved in, witness or become aware of an incident, the incident will be recorded on the **SIRMS NECS incident reporting page (NECS Staff)**. NECS have robust reporting mechanisms in place to ensure that, should the incident have a significant impact on the CCG, the relevant personnel in the CCG are informed, via established reporting mechanisms. E.g. if a NECS member of staff reported a commissioning or contracting incident via the NECS reporting page in SIRMS, the NECS Head of Customer Programme would be notified in order to facilitate discussion with the CCG where appropriate.

## 5.3 What to report

All CCG employees (permanent, fixed term) and contractors have a duty to report all incidents that they are directly involved in, have witnessed or have an awareness of. This can mean the reporting of incidents most commonly associated with incident reporting such as slips, trips/ falls, road traffic accidents or information governance breaches, corporate business incidents and IT.

## 6. Management of CCG Incidents

The maintenance and administration of SIRMS is largely the responsibility of the Governance Team within NECS Organisational Development and Corporate Services Directorate. The operational management of specific incidents is the responsibility of the CCG with support from NECS as appropriate:

- Head of Corporate Affairs;
- CCG Incident Investigating Manager (relevant head of service or senior manager);
- the specialist NECS manager relating to the type of incident reported.

The SIRMS incident reporting tool operates an email notification system within which the CCG Head of Corporate Affairs is informed of the incident when submitted by CCG staff.

It is the responsibility of the reporter's line manager, acting as CCG Incident Investigating Manager, to follow up the incident/email notification and fill in the manager's web form which ensures ownership of:

- the management of the incident
- the management of risks associated with the incidents
- the action taken to mitigate further risk
- the implementation of action to address any lessons learned

A standard operating procedure (SOP) has been developed to support the reporting and management of incidents, which outlines the process that reporters and managers should follow, and consists of the following documents:

- **Appendix 1** – Incident Management Process: Non-clinical Incidents (Corporate Business / Health and Safety / Information Governance and IT Incidents)
- **Appendix 2** – Incident Management Process: Clinical Quality Incidents
- **Appendix 3** – Incident Assessment Matrix
- **Appendix 4** – Incident Reporters Frequently Asked Questions
- **Appendix 5** – SIRMS Incident Web-form Reporting Guide
- **Appendix 6** – Incident Manager's Checklist
- **Appendix 7** – SIRMS Incident Managers Web-form guide
- **Appendix 8** – Root Cause Analysis Guide

The SOP should be used in conjunction with this policy.

## **6.1 Investigation of Incidents**

Where incidents are sufficiently serious or complex, or part of an ongoing pattern, a formal investigation may need to take place to establish the root cause of the incident.

The level of investigation, guided by the level of risk presented by the reported incident, should be measured as part of the reporting procedure by both the reporter and the Incident Investigating Manager. However, it should be noted that as individual incidents can vary, so too can the level of investigation required.

The standard approach to the investigation of any incident occurring within the organisation is to apply the principles of a Root Cause Analysis (RCA) to establish the true reasons for the incident so they may be prevented in the future. Refer to the RCA guidance in Appendix 8 of the SOP.

In practical terms, any incident that takes place will usually generate a volume of paperwork related to its investigation and management. The SIRMS enables users to attach electronic documents to the individual incident files. Once incidents are reported onto the SIRMS, managers are encouraged to use the system as an archive for key documents and information related to the incident, for example, investigation reports, meeting notes or risk assessments.

## **6.2 Interdependency of incident and risk management**

Management of incidents and risks through the SIRMS is interdependent since risks can be identified through the monitoring of incident themes and trends. If a particular type of incident continues to occur, this is an indication that there is a risk that requires management through the SIRMS risk register.

Reasons for occurrence of an incident should be analysed and evidence established as to whether a trend of similar incidents exists, that need to be managed through the risk register. Please also refer to Section 3.9, Risk Materialisation, in the CCG's Risk Management Policy.

Both clinical and non-clinical incident reports are reviewed, as agreed, at the CCG's committees (as specified in section 7.1). This provides an opportunity for themes and trends to be picked up. These reports might indicate that there is a strategic risk e.g. if a number of practices are regularly reporting incidents around ambulance response times or referral problems. This is the most likely way that risks will be identified from incidents. It is unlikely that incidents reported by CCG staff will become a risk e.g. information governance or health & safety incidents, although not impossible.

### **6.3 Investigation of Serious Incidents (SIs)**

In some cases the outcome of an incident is such that it is immediately obvious that the incident is serious. In this instance the serious incident should be immediately reported to the CCG Head of Corporate Affairs. To help you assess the risk score of a CCG incident, the reporter should use the incident assessment matrix, (see Appendix 5 of the SOP). The matrix demonstrates the criteria for scoring the consequence of the incident (which indicates the seriousness of the incident).

A consequence score of 5 (catastrophic) or 4 (high) indicates the incident is serious and this should be reported immediately to the CCG Head of Corporate Affairs.

A management response is required as soon as possible, within one working day. These incidents need to be reported verbally if possible and recorded immediately on SIRMS (within one working day).

NECS Clinical Quality Team is responsible for recording CCG serious incidents on to the Strategic Executive Information System (StEIS). Not all CCG serious incidents will be StEIS reportable, but to ensure each serious incident is given due attention, SIRMS will immediately trigger all CCG reported serious incidents to the Clinical Quality Team's generic mailbox for consideration.

Incidents involving the use of "Personal Confidential Data" are also recorded on StEIS.

### **6.4 Corporate Business Serious Incidents**

The CCG, as commissioners, seek to assure that all services they commission or directly provide meet national identified standards, and to ensure that this is managed through their contracting process. Compliance with serious incident (SI) reporting is a standard clause in all CCG contracts and service level agreements as part of the quality schedule.

The impact of a business incident is likely to have led to a financial loss or a negative impact on the reputation of the business.

A business incident that is reportable is likely to include one or more of the following:

- a lack of capacity or a service gap in meeting commissioning responsibilities
- a quality concern
- a communications breakdown

An overview of CCG corporate business incident trends, themes and lessons learnt will be included in the quarterly Corporate Affairs Assurance Report to Executive Committee.

Refer to Appendix 1 of the SOP.

## **6.5 Health and Safety/Fire/Security/Environmental, Serious Incidents - RIDDOR Reportable**

The organisation is statutorily obliged to report RIDDOR (Report of Injuries, Diseases and Dangerous Occurrences REGS, 1995) incidents to the Health and Safety Executive (HSE). Incidents must be reported to RIDDOR when someone has been absent from work for more than 7 days due to an incident. Your NECS Health and Safety Governance Specialist will report the incident to the HSE on your behalf. If the incident recorded falls into this category, staff should email NECS Health and Safety Governance Specialist at: [necsu.healthandsafety@nhs.net](mailto:necsu.healthandsafety@nhs.net) and advise accordingly.

Refer to Appendix 1 of the SOP.

## **6.6 Information Governance (IG) and Information Technology (IT) Serious Incidents**

From June 2013 all organisations processing health and adult social care personal data are required to use the IG Toolkit Incident Reporting Tool to report level 2 IG SIRs to the DH, ICO and other regulators.

For information governance, there is no simple definition of a serious incident. What may at first appear to be of minor importance may, on further investigation, be found to be serious and vice versa.

As a guide, an IG/IT serious incident could be any incident which involves actual or potential failure to meet the requirements of the Data Protection Act 1981 and/or the Common Law Duty of Confidentiality. This includes:

- unlawful disclosure or misuse of confidential data, recording or sharing of inaccurate data, information security breaches and inappropriate invasion of people's privacy
- personal data breaches which could lead to identity fraud or have other significant impact on individuals
- and applies irrespective of the media involved and includes both electronic media and paper records

As there is no simple definition for an IG serious incident, the IG team will quality check daily CCG incidents recorded in SIRMS to determine if the recorded incident is reportable as a SIRI through the Health and Social Care Information Centre (HSCIC) IG Toolkit. The NECS IG Team will assist the CCG in making this assessment and reporting SIRI's appropriately. Where it is suspected that an IG SIRI has taken place, it is good practice to informally notify key staff (Chief Executive, SIRO, Caldicott Guardian, other Directors etc.) as an 'early warning' to ensure that they are in a position to respond to enquiries from third parties and to avoid 'surprises'. For cyber incidents, notify the person responsible for any operational response (typically the Head of IT).

Refer to Appendix 1 of the SOP.

A cyber-related incident is anything that could (or has) compromised information assets within Cyberspace. "Cyberspace is an interactive domain made up of digital networks that is used to store, modify and communicate information. It includes the internet, but also the other information systems that support our businesses, infrastructure and services." Source : UK Cyber Security Strategy, 2011

Types of incidents could include:

- Denial of service attacks
- Phishing emails
- Social media disclosures
- Web site defacement
- Malicious internal damage
- Spoof website
- Cyber bullying

Refer to Appendix 1 of the SOP.

## **6.7 Clinical Quality Serious Incidents**

A clinical quality incident occurs when one or more patients is harmed or potentially harmed. It is expected that this type of incident will not often occur in a CCG organisation as they do not provide clinical services. CCG employees (permanent, fixed term) and contractors, have a duty to report any clinical quality incidents they witness, are involved in or become aware of. To report these, staff are instructed to use the CCG/GP reporting an incident page of SIRMS - <https://sirms.necsu.nhs.uk/>

The NECS clinical quality team leads in the management of patient safety clinical incidents in CCGs and GP member practices. The team is responsible for recording serious incidents on StEIS. Not all serious incidents will be StEIS reportable, but to ensure each serious incident is given due attention, SIRMS automatically triggers all CCG reported serious incidents to the clinical quality team's generic mailbox.



The clinical quality team will consider if the serious incident falls into the category of a StEIS reportable SI and report accordingly using guidance found in the **CCG Serious Incidents (SIs) Management Policy (CO18)**.

CCG's are required to report incidents that have a direct consequence on the safety of patients to the NRLS (National Reporting and Learning System); this is a clinical quality team function.

SIRMS is configured to escalate incidents to the clinical quality team in line with the SI policy.

Clinical quality incident trends, themes and lessons learned are reported to the CCG's Quality, Safety and Risk Committee by the clinical quality team. Reports feature incidents recorded by GP practices about providers.

Refer to Appendix 2 of the SOP.

## **6.8 Fraud and Corruption Serious Incidents**

All cases of suspected fraud or corruption should be notified immediately to the Head of Corporate Affairs and Chief Finance Officer who will then give advice or arrange investigation of the incident, in accordance with the CCG's Standing Financial Instructions and Whistleblowing Policy.

Sunderland Internal Audit Services (SIAS) is commissioned to support the CCG with their counter- fraud arrangements through their Internal Audit Function.

## **7. Trend Analysis / Learning Lessons**

### **7.1 Internal Reporting of Incidents**

SIRMS is capable of producing a range of reports based on all of the information fields and variables on the SIRMS incident reporting/management system at regular intervals. These reports can be tailored to the specific needs of the organisation via directorates, teams or committees. They can be used to feedback information on trends, lessons learned and actions taken. Requests for specific tailored reports can be made to NECS Governance Team - [NECSU.SIRMSINCIDENTS@nhs.net](mailto:NECSU.SIRMSINCIDENTS@nhs.net)

An overview of incidents reported across the organisation will be monitored for trends, themes and lessons learned through the quarterly Corporate Affairs Assurance Report to Executive Committee.

The CCG Head of Corporate Affairs will also receive a non-clinical incident report at the beginning of each month.

## 7.2 Levels of Investigation

It is the responsibility of the CCG to ensure that an appropriate investigation takes place following an incident or near miss according to the severity and possible implications of the incident. It is important to note that:

- All losses and compensations must be investigated
- All potential claims and complaints must be investigated

If the incident occurred within a different organisation, the incident must still be reported for appropriate investigation and a decision made as to the most appropriate lead for the investigation.

Incidents with an impact assessment of 1 to 3 may not require further action other than that specified in the initial incident form. Reassessment of any residual risk must be carried out after the implementation of any actions. For incidents with an impact assessment of 4 or 5, an investigation must always be carried out.

## 7.3 Onward Reporting

Occasionally, the CCG will be required to onward report trends and lessons learned for certain categories of incidents to other organisations.

All serious incidents are initially reported through SIRMS. These incidents are then escalated via SIRMS to the appropriate team/contact person responsible for managing external reporting for:

- NRLS - National reporting and learning system
- StEIS – Strategic executive information system
- SIRI – Serious incidents requiring investigation
- RIDDOR - Report of injuries, diseases and dangerous occurrences regulations
- The health and safety executive
- The information commissioner's office
- NHS Protect – protection against fraud and corruption in the NHS.

Requests for specific tailored reports will be agreed with NECS and CCG.  
[NECSU.SIRMSINCIDENTS@nhs.net](mailto:NECSU.SIRMSINCIDENTS@nhs.net)

## 8. Duties and Responsibilities

<b>Member Practices</b>	Have delegated responsibility to the governing body (GB) for setting the strategic context in which organisational process documents are developed, and for establishing a scheme, of governance for the formal review and approval of such documents.
<b>Chief Officer</b>	The Chief Officer has overall responsibility for the strategic direction and operational management, including ensuring that CCG process documents comply with all legal, statutory and good practice guidance requirements.
<b>Head of Corporate Affairs</b>	The Accountable Officer has overall responsibility for ensuring: <ul style="list-style-type: none"> <li>• The incident management process is robust and adhered too;</li> <li>• incidents are maintained and managed in timely manner;</li> <li>• staff have the necessary training required to implement the policy;</li> <li>• mechanisms are in place within the organisation for regular reporting and monitoring of incident themes and lesson learnt.</li> </ul>
<b>Line Managers</b>	The service leads have the responsibility: <ul style="list-style-type: none"> <li>• To support their directors and staff to maintain the incident policy and to manage individual incidents in accordance with policy;</li> <li>• to work closely with the Head of Corporate Affairs to ensure a transparent and consistent approach to incident management across the CCG in partnership with key stakeholders.</li> </ul> <p>All line managers and supervisory staff are responsible for the adherence and monitoring compliance within this policy.</p>
<b>All Staff</b>	All staff, including temporary and agency staff, are responsible for: <ul style="list-style-type: none"> <li>• Compliance with relevant process documents. Failure or comply may result in disciplinary action being taken;</li> <li>• co-operating with the development and implementation of policies and procedures as part of their normal duties and responsibilities;</li> <li>• identify the need for a change in policy or procedure as a result of becoming aware of changes to statutory requirements, revised professional or clinical standards and local/national directives, and advising there line manager;</li> <li>• attending training/awareness sessions when provided.</li> </ul>

<p><b>North of England commissioning (NECS)</b></p>	<p>NECS Senior Governance Officer will:</p> <ul style="list-style-type: none"> <li>• Provide incident management support and advice.</li> <li>• produce CCG reported incident reports as requested.</li> <li>• identify trends, lessons learned and themes in incident reporting in order to identify any issues of concern for the CCG.</li> <li>• provide training and assistance to the CCG in incident reporting and management in the SIRMS system.</li> <li>• manage the administration of the SIRMS database.</li> <li>• undertake an incident investigation in conjunction with CCG managers if required e.g. health and safety and IG incidents.</li> </ul> <p>NECS Clinical Quality Manager will:</p> <ul style="list-style-type: none"> <li>• Consider if a serious incident falls into the category of a StEIS reportable SI and report accordingly.</li> <li>• review clinical quality incidents reported by the CCG.</li> <li>• provide clinical quality incident reports as requested.</li> </ul> <p>NECS Head of Customer Programme:</p> <ul style="list-style-type: none"> <li>• Receive notification of incidents relating to CCG reported corporate business incidents.</li> <li>• facilitate discussion with the CCG regarding corporate business incidents, where appropriate.</li> </ul>
<p><b>NECS Information Governance Lead</b></p>	<p>NECS Information Governance Lead have the responsibility to:</p> <ul style="list-style-type: none"> <li>• Provide information governance support to staff in the organisation;</li> <li>• co-ordinate different areas of information governance and to ensure progress against key standards and requirements;</li> <li>• in collaboration with IT, develop, implement and monitor information security across the organisation;</li> <li>• support the CCG in evidence collation, upload and publicise the IG Toolkit.</li> </ul>

## 9. Implementation

- 9.1 This policy will be available on the CCG intranet for all staff, for use in the reporting and management of incidents and near misses.
- 9.2 All CCG directors and managers are responsible for ensuring that relevant staff within the CCG have read and understood this policy and are competent to carry out their duties in accordance with the procedures described.

- 9.3 The implementation of the detail of this policy is aligned into the full roll-out, development and implementation of the incident module of the SIRMS system across the CCG, NECS and their Member Practices.
- 9.4 This policy is reviewed at regular intervals to ensure that the implementation of the processes contained in the policy is in line with the practical experience of users of the SIRMS system.

## **10. Training Implications**

The sponsoring director will ensure that the necessary training or education needs and methods required to implement the policy are identified and resourced or built into the delivery planning process. This may include identification of external training providers or development of an internal training process.

The level of training required in incident reporting and management varies depending on the level and responsibility of the individual employee.

The training required to comply with this policy is key to the successful implementation of the policy and embedding a culture of incident reporting and management in the organisation. Through a training and education programme, staff will have the opportunity to develop more detailed knowledge and appreciation of the role of incident reporting and management. Training and education will be offered through a rolling programme of incident reporting and management training.

## **11. Fair Blame**

The CCG is committed to a policy of 'fair blame'. In particular formal disciplinary procedures will only be invoked following an incident where:

- there are repeat occurrences involving the same person where their actions are considered to contribute towards the incident;
- there has been a failure to report an incident in which a member of staff was either involved or about which they were aware (failure to comply with organisation's policy and procedure);
- in line with the organisation and/or professional regulatory body, the action causing the incident is removed from acceptable practice or standards, or where;
- there is proven malice or intent.

Fair blame means that the organisation:

- operates its incident reporting policy in a culture of openness and transparency which fulfils the requirements for integrated governance;

- adopts a systematic approach to an incident when it is reported and does not rush to judge or 'blame' without understanding the facts surrounding it;
- encourages incident reporting in the spirit of wanting to learn from things that go wrong and improve services as a result.

### **11.1 Support for staff, and others**

When an incident is reported it can be a stressful time for anyone involved, whether they are members of staff, a patient directly involved or a witness to the incident. They all need to know that they are going to be treated fairly and that lessons will be learnt and action taken to prevent the incident happening again.

During an incident investigation, appropriate support will be offered to staff and anyone else involved in the incident if required. Support includes access to counselling services and the provision of regular updates of the investigation and its outcomes. Information is available on request from the Governance Team.

## **12. Documentation**

### **12.1 Other Related Documents**

- Security Procedure
- First Aid Procedure
- Fire Safety Procedure
- Business Continuity Plan

### **12.2 NHS policy**

- HR35 Whistleblowing Policy
- IG01 Confidentiality and Data Protection Policy
- IG02 Data Quality Policy
- IG03 Information Governance and Information Risk Policy
- IG04 Information Access Policy
- IG05 Information Security Policy
- IG06 Records Management Policy and Strategy
- CO02 Complaints Policy and Procedure
- CO05 Fire Safety Policy
- CO06 Anti-Fraud Policy
- CO07 Health and Safety Policy
- CO11 Moving and Handling Policy
- CO14 Risk Management Policy
- CO17 Security Policy
- CO18 Serious Incidents (SIs) Management Policy
- CO20 Violence, Aggression and Abuse Management Policy

### 12.3 Legislation and statutory requirements

- Checklist Guidance for Reporting, Managing and Investigating Information Governance and Cyber Security Serious Incidents Requiring Investigation – February 2015
- Information Governance Incident Reporting Tool User Guide
- NHS England Incident reporting policy October 2012
- No secrets: Guidance on developing and implementing multi-agency policies and procedures to protect vulnerable adults from abuse (Department of Health) 2000
- The National Framework for Reporting and Learning from Serious Incidents Requiring Investigation – National Patient Safety Agency (NPSA) - 2010
- The Never Events List; 2013/14 Update, NHS England
- The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (HMSO) 1995
- Working together to safeguard children, (HM Government) 2006
- UK Cyber Security Strategy, 2011

### 12.4 References

The major references consulted in preparing this policy are described above.

## 13. Monitoring, Review and Archiving

### 13.1 Monitoring

The Head of Corporate Affairs will agree a method for the monitoring, dissemination and implementation of this framework.

### 13.2 Review

The Executive Committee will ensure that each policy document is reviewed in accordance with the timescale specified at the time of approval. **No policy or procedure will remain operational for a period exceeding three years without a review taking place.**

Staff who become aware of changes in practice, changes to statutory requirements, revised professional or clinical standards and local/national directives that affect, or could potentially affect policy documents, should advise the sponsoring director as soon as possible, via line management arrangements. The sponsoring director will then consider the need to review the policy or procedure outside of the agreed timescale for revision.

For ease of reference for reviewers or approval bodies, changes should be noted in the 'document history' table on the front page of this document.

### 13.3 Archiving

The Executive Committee will ensure that archived copies of superseded policy documents are retained in accordance with Records Management: NHS Code of Practice 2006.

## 14. Equality Analysis

Equality Analysis Screening Template (Abridged)

<b>Title of Policy:</b>	Incident Reporting and Management Policy		
<b>Short description of Policy (e.g. aims and objectives):</b>	<p>This policy sets out the CCG's approach to the management of incidents in fulfilment of its strategic objectives and statutory obligations.</p> <p>The reporting of incidents will help the CCG identify potential breaches in its core business including breaches in:</p> <ul style="list-style-type: none"> <li>• contractual obligations;</li> <li>• internal processes;</li> <li>• performance targets;</li> <li>• service specifications etc;</li> <li>• Statutory duties.</li> </ul>		
<b>Directorate Lead:</b>	Director Corporate Affairs		
<b>Is this a new or existing policy?</b>	Existing		
<b>Equality Group</b>	<b>Does this policy have a positive, neutral or negative impact on any of the equality groups? Please state which for each group.</b>		
<b>Age</b>	Neutral		
<b>Disability</b>	Neutral		
<b>Gender Reassignment</b>	Neutral		
<b>Marriage And Civil Partnership</b>	Neutral		
<b>Pregnancy And Maternity</b>	Neutral		
<b>Race</b>	Neutral		
<b>Religion Or Belief</b>	Neutral		
<b>Sex</b>	Neutral		
<b>Sexual Orientation</b>	Neutral		
<b>Carers</b>	Neutral		
<b>Screening Completed By</b>	<b>Job Title and Directorate</b>	<b>Organisation</b>	<b>Date completed</b>
Debra Elliott	Senior Governance Manager	NECS	10/02/2015
<b>Directors Name</b>	<b>Directors Signature</b>	<b>Organisation</b>	<b>Date</b>
David Gallagher		Sunderland CCG	