

Policy

TITLE		Accidents and Incidents Policy	
Policy ref:	C014P	Approval date	October 2023
Owner	Corporate Services Director	Planned review date	October 2026
Approved by	Executive Committee		

Version	Purpose/change	Author	Date
1.0	Previous Incidents and Significant Events policy approved by EMT	Divisional Directorate	11 th March 2013
2.0	- Policy updated to include accidents at work and renamed. - Procedure for online accident reporting added - Flow chart added - Two new investigation forms included. Approved by Executive Committee in April 2018	S Kendall L Garrett	28 th March 2018
3.0	Policy renamed to Accidents and Incidents, content split into policy and procedure and restructured, further definitions and additional role responsibilities added.	J. Conway / M. Boothman / L. Garrett	September 2021
3.1	Addition of Reporting a RIDDOR SOP. No changes to the policy.	M. Boothman	February 2022
4.0	Policy reviewed and minor changes made, including TAS to ALS and the addition of the Head of Operational Care Compliance. Addition of Responding to a medical emergency in Housing SOP and Managing Insurance Claims SOP. Minor wording updates to existing SOPs.	J. Conway / M. Boothman / L. Garrett / J. Lavery	October 2023
4.1	SOP 10.3 Maintenance and Use of Disaster Recovery Workbooks removed as this has been replaced by SOP 10.2 Maintenance and Use of Service-Level Business Continuity Workbooks, which now sits under the Business Continuity Management (LG046P) Policy. Reference to the Quality Team removed from responsibilities section.	M Boothman	April 2024
4.2	References to the Director of Legal & Compliance changed to Corporate Services Director following corporate restructure.	M Boothman	June 2024
4.3	Reference to “notifiable safety incident” red flag type changed to “duty of candour”.	M Boothman	December 2024
4.4	Inclusion of Environmental Incident definitions and reference to environmental incidents throughout document.	N Collins	October 2025

1 Background	This policy has been developed to ensure a consistent approach to the handling of accidents, near misses, dangerous occurrences and other incidents across Abbeyfield Living Society (ALS), including those which affect the environment. This policy is written to comply fully with the Health and Safety at Work Act 1974; the Reporting of Injuries Diseases and Dangerous Occurrence Regulations
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Policy

	(RIDDOR) 2013; the Regulatory Reform (Fire Safety) Order 2005 and the Management of Health and Safety at Work Regulations 1999.
2 Objectives	The aims of this policy are to ensure: • All accidents and incidents are investigated thoroughly, recorded accurately and those who need to be informed are notified at the earliest opportunity. • We improve our services by learning from accidents and incidents, and by sharing learning across the organisation. • We are open and transparent in our dealings with residents and their families and with regulators following an accident or incident.
3 Scope	This policy applies to all Abbeyfield Living Society (ALS) staff, including agency workers, and volunteers. The policy applies to all accidents, incidents and near misses involving Abbeyfield residents, employees, volunteers, visitors or contractors. This policy applies to accidents and incidents that occur at Abbeyfield premises or during any work activity being undertaken on behalf of Abbeyfield in someone's own home, during outings or whilst travelling in relation to work. Please note: All accidents and incidents which affect residents in an Abbeyfield Care service should be recorded using the Nourish system. All other accidents and incidents (e.g., those which affect staff, visitors, volunteers, contractors, the whole service, or residents in Housing services) should be recorded using the 'Raio' online accident and incident portal.
4 Policy	POLICY STATEMENT It is the policy of Abbeyfield to report all accidents and incidents and to investigate the circumstances surrounding each accident/incident to identify the root cause(s) with a view to preventing any reoccurrence in the future. It should be noted that reference to accidents and incidents throughout this policy also includes near misses. To achieve this, it is imperative that all accidents and incidents, irrespective of whether there was any resulting injury or damage, must be reported internally according to the laid down procedures. See Recording and Reporting an Accident or Incident Procedure SOP. Accidents and incidents will also be reported externally to the relevant regulator(s), when required, including the Health & Safety Executive (HSE), Care Quality Commission (CQC), the Charity Commission, the Environment Agency and Natural England

	Abbeyfield recognises that failing to report or record an accident or incident could have both legal and insurance implications. All accident and incident records must be clear, concise and accurate, detail the date and time of the accident/incident, where this is known, and provide details of all individuals involved and include the full name of the person making the report and date the report was made. Abbeyfield recognises that records relating to accidents and incidents are defensible documents and could be used in both a criminal and civil court as evidence. All accident and incident records will be retained for a period of 6 years. Where an accident or incident involves actual or potential abuse, the Responding to suspected or actual abuse SOP will also be followed.
4.2	DEFINITIONS Abbeyfield uses the following definitions: 4.2.1 Accident: A specific unexpected event that results in personal injury or damage to property, plant or equipment. 4.2.2 Incident: An unplanned, undesirable event that adversely affects normal operations and may cause distress or potential injury, harm, or property damage, or some combination of all three in varying degrees. 4.2.4 Near miss: A narrowly avoided accident. 4.2.4 Dangerous occurrences: specific, reportable events, as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). There are several categories of dangerous occurrences, an extensive list of which can be found on the HSE website (http://www.hse.gov.uk/riddor/dangerous-occurences.htm). For example: • the collapse, overturning or failure of load-bearing parts of lifts and lifting equipment; • plant or equipment coming into contact with overhead power lines; or • the accidental release of any substance which could cause injury to any person. 4.2.5 Work-related illness: diagnoses of certain occupational diseases where these are likely to have been caused or made worse by a person's work. These diseases include: • carpal tunnel syndrome; • severe cramp of the hand or forearm; • occupational dermatitis;

	• hand-arm vibration syndrome; • occupational asthma; • tendonitis or tenosynovitis of the hand or forearm; • any occupational cancer; and • any disease attributed to an occupational exposure to a biological agent. 4.2.6 Duty of Candour: An incident within a regulated care service that meets all three of the following criteria is classed as a notifiable safety incident: • It must have been unintended or unexpected. • It must have occurred during the provision of a regulated activity • In the reasonable opinion of a healthcare professional, already has, or might, result in death, or severe or moderate harm to the person receiving care. In these kinds of events, the statutory duty of candour will be implemented – see the Duty of Candour Policy (C027P) for more information. 4.2.7 Harm Harm is defined as physical or psychological damage or injury (CQC, 2017) or damage or injury to the environment and wildlife. The different levels of harm are defined by Abbeyfield as: No / negligible harm – Unsubstantiated, or there were no ill effects experienced by the victim(s) or the environment Minor harm – Some but limited harm experienced by the victim(s) or local environment. Moderate harm – The victim(s) required a moderate increase in care or support and / or significant, but not permanent, harm. Environmental harm was more widespread Severe harm – Victim(s) experienced a permanent lessening of bodily, sensory, motor, physiologic or intellectual functions, that is related directly to the incident and not related to the natural course of an illness or underlying condition. Major pollution events or large emissions to air leading to widespread environmental impact and the need to notify the responsible regulator. In addition, the following supplementary definitions should be used alongside those above: • Moderate increase in treatment - An unplanned return to surgery, an unplanned re-admission, a prolonged episode of care, extra time in hospital or as an outpatient, cancelling of treatment, or transfer to another treatment area (such as intensive care) • Prolonged pain - Pain which a service user has experienced, or is likely to experience, for a continuous period of at least 28 days.
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	• Prolonged psychological harm - Psychological harm which a service user has experienced, or is likely to experience, for a continuous period of at least 28 days 4.2.8 Serious injury (based on both RIDDOR and CQC definitions): An injury that leads to, or that if untreated is likely to lead to, permanent damage (or damage that is likely to last more than 28 days) to: • a person's sight, hearing, touch, smell or taste • any major organ of the body (including the brain and skin, e.g. scalds) • bones (e.g. fracture) – other than to fingers, thumbs or toes • muscles, tendons, joints or vessels • the development of a pressure ulcer of grade 3 or above at the service • prolonged pain • intellectual functions, such as intelligence or speech • psychological health, including post traumatic stress disorder, anxiety or depression. Or any other injury which leads to a loss of consciousness or requires resuscitation or admittance to hospital for more than 24 hours. 4.2.9 Environmental Incident: any unplanned event that results in, or has the potential to result in pollution or harm to air, land, water, wildlife, or human health. For example: • damage to protected species or natural habitats • a heating oil tank leaks, contaminating groundwater, sewers or land
4.3	DUTIES AND RESPONSIBILITIES 4.3.1 Chief Executive The Chief Executive has overall responsibility for health and safety at the Abbeyfield Living Society (ALS). 4.3.2 Corporate Services Director The Corporate Services Director has day-to-day responsibility for overseeing the Health & Safety function at the Abbeyfield Living Society (ALS), delegated from the Chief Executive. The Corporate Services Director is also responsible for advising the Chief Executive and Trustees of any serious incidents which need to be reported to The Charity Commission, even where these have also been reported to the Police or another regulator. 4.3.3 The Health, Safety and Environment Team It is the responsibility of the Health, Safety & Environment Team to:

	• Maintain oversight of all accident and incident reports submitted centrally to ensure that the required steps have been taken to fully investigate and prevent a similar incident occurring in the future. • Advise on all potential RIDDOR reports to ensure that, where applicable, RIDDOR requirements are met and a copy of all RIDDOR submissions are held centrally. • Follow up Red Flag accident/incident reports and provide support, advice and guidance as needed. • Depending on the nature of the incident, liaise and work with other relevant colleagues, such as the Property or People Support Services Team, to ensure appropriate resources are allocated where needed, to make a situation immediately safe. • Disseminate the outcome of health and safety related investigations where there are lessons to be learned across Abbeyfield to facilitate continuous improvement. • Produce accident/incident management information for the Corporate Health, Safety & Quality group and Customer Committee to ensure senior management oversight and control. 4.3.4 The Head of Operational Care Compliance It is the responsibility of the Head of Operational Care Compliance to: • Where appropriate, provide support, advice and guidance following an incident, including guidance to ensure that the requirements of the CQC statutory notifications process is followed. • Monitor compliance with the statutory Duty of Candour process by Registered Managers. • Liaise with the Health and Safety Team to ensure that any serious incidents are notified to the Corporate Services Director for potential reporting to the Charity Commission. • Depending on the nature of the incident, liaise and work with other relevant colleagues to support the investigation process and learn lessons. • Report the findings to the Corporate Services Director and to other senior managers, where appropriate, to ensure resources are allocated, where needed, to make a situation immediately safe. • Disseminate the outcome of clinical or safeguarding related accidents/incidents where there are lessons to be learned across Abbeyfield to facilitate continuous improvement. 4.3.5 Regional Operations Managers It is the responsibility of the Regional Operations Manager to: • Maintain oversight of accidents/incidents within their service area.
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	• Ensure accidents/incidents are reported and investigated in accordance with the Recording and Reporting an Accident or Incident SOP and Investigating and Learning from Accidents and Incidents SOP. • Bring 'Red Flag' incidents to the attention of their line manager, when required. • Ensure their services have an up-to-date Business Continuity Workbook in place. 4.3.6 Service/Registered Managers It is the duty of the Manager to ensure that: • All accidents, incidents and near misses are reported, however minor, with specific serious incidents classified as a 'Red Flag' event • Appropriate safe systems of work and risk assessments are in place to manage or control risks and prevent accidents, and these are regularly reviewed. • Where an accident or incident occurs, they are managed in a safe way and appropriate and timely actions are taken to minimise risk of further harm, damage or adverse effects. • Residents who are affected, and where appropriate their representatives, are supported and kept fully informed. • All accidents, incidents and near misses are properly recorded and fully investigated to identify the root cause(s). • Accidents and incidents are monitored, reviewed and analysed monthly to identify emerging patterns and trends with a view to taking timely action to reduce accidents/incidents wherever possible • Any lessons learnt are identified, put into practice and shared with relevant person in line with the Learning Lessons policy (LG045P) to ensure due diligence and governance. • The relevant Abbeyfield departments and personnel are informed, where required. This includes notifying the Legal Team and insurers in the event of potential litigation or liability claims, or if an unexpected death is referred to the coroner, and the Health & Safety Team prior to submitting a RIDDOR report. • External regulators and stakeholders are notified as required, including the submission of statutory notifications to the Care Quality Commission (CQC) by registered care services. • The service has an up-to-date Business Continuity Workbook in place. 4.3.7 Employees It is the duty of all employees to report any accidents, incidents or near misses to their Line Managers and follow the reporting procedure outlined in the Recording and Reporting an Accident or Incident SOP.
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4.4	BEING OPEN AND TRANSPARENT WHEN THINGS GO WRONG In all circumstances, Abbeyfield recognises that candour underpins a culture of safety, and we have an overarching duty to always be open and transparent with residents and their representatives. This includes apologising when things go wrong. It is Abbeyfield's policy to be open and transparent following any incident and to ensure lessons are learnt and improvements are made when things go wrong. The Manager is responsible for ensuring that any residents, and their authorised representatives/relatives, or staff, who are adversely affected by an incident are kept fully informed of the investigation and its findings and are appropriately supported throughout the process. If the incident occurs in a registered care service which results in death or harm to a resident, the Registered Manager must consider whether the statutory duty of candour applies. Where it does, the guidance set out in the How to apply the duty of candour SOP 10.1) must be followed.
5 Finance, Value for Money & Social Value	Abbeyfield will continuously improve the quality of its services by learning from accidents and incidents.
6 Linked policies	Business Continuity Management (LG046P) Disciplinary (S008P) Duty of Candour (C042P) Falls in Housing (R021P) First Aid (YH007P) Health and Safety (YH009P) Learning Lessons (LG045P) Prevention and Management of Falls (C016P) Safeguarding Adults (LG031P) Statutory Notifications (C027P)
7 Relevant Legislation / Regulation	Health and Safety at Work Act 1974 The Reporting of Injuries Diseases and Dangerous Occurrence Regulations (RIDDOR) 2013 The Regulatory Reform (Fire Safety) Order 2005 The Management of Health and Safety at Work Regulations 1999. Health and Social Care Act 2008 (Regulated Activities) Regulation 2014 (Part 3) Care Quality Commission (Registration) Regulations 2009 (Part 4) (as amended) The Environmental Damage (Prevention and Remediation) Regulations 2015

Policy

8 Guidance	There is guidance on the HSE website: http://www.hse.gov.uk/riddor/reportable-incidents.htm For social care settings additional guidance can be found at: http://www.hse.gov.uk/pubns/hsis1.htm CQC (2017), Glossary of terms for Providers https://www.cqc.org.uk/guidance-providers/regulations-enforcement/glossary-terms-used-guidance-providers-managers#h
9 Review	Every 3 years, subject to any regulatory or legislative updates.
10 Procedure(s) 10.1 10.2 10.3 10.4 10.5	Recording and Reporting an Accident or Incident Investigating and Learning from Accidents and Incidents Reporting a RIDDOR Responding to a medical emergency in housing Managing Insurance Claims
11 Process Map(s) 11.1	N/A