


Policy No: 03-1020	Authorised: 	Date: 04/02/2020
NOTIFICATIONS TO C.Q.C.		

During the course of operating the Organisation's care service, certain incidents may occur which are required to be reported to C.Q.C. This Policy will identify such incidents in summary format, and the reporting procedures to be followed, and will be in accordance with the relevant Regulations of the Care Quality Commission (Registration) Regulations 2009:

A: NOTIFIABLE INCIDENTS:

1. *Serious Injuries to the service user:*

In accordance with the requirements of *Regulation 18* of the *Care Quality Commission (Registration) Regulations 2009*, any serious injuries sustained by the service user will be notified to C.Q.C. A serious injury is defined as one which:

- Permanently impairs the service user's sensory, motor or cognitive functions.
- Causes prolonged pain.
- Changes the structure of their body.
- Shortens life expectancy.

2. *Abuse, or allegations of abuse:*

In accordance with the requirements of *Regulation 18* of the *Care Quality Commission (Registration) Regulations 2009*, any incident of abuse or alleged abuse involving a service user will be notified to C.Q.C. This will apply when the service user is either the victim or the abuser.

3. *Applications to deprive a service user of their liberty ("Deprivation of Liberty Safeguards"):*

In accordance with the requirements of *Regulation 18* of the *Care Quality Commission (Registration) Regulations 2009*, any application to deprive a service user of their liberty for care and treatment under the terms of the *Mental Capacity Act 2005* will be notified to C.Q.C., together with details of the subsequent outcome.

4. *Death of a service user:*

In accordance with the requirements of *Regulation 16* of the *Care Quality Commission (Registration) Regulations 2009*, the death of a service user will be reported without delay to C.Q.C. for monitoring purposes. Notifications will not identify the person, but refer to each using a unique code which is recorded by the Organisation for future purposes.


5. *Incidents reported to, or investigated by, the police:*

In accordance with the requirements of *Regulation 18* of the *Care Quality Commission (Registration) Regulations 2009*, any incident relating to a regulated activity that has been reported to, or is being investigated by, the police will be notified to C.Q.C.

6. *Events that prevent, or threaten to prevent, the Registered Person from implementing an activity safely and to an appropriate standard ("Disruptions to the Service"):*

These incidents are defined in *Regulation 18* of the *Care Quality Commission (Registration) Regulations 2009*, and will include the following:

- Fire and flooding at the service user's home.

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- Interruption of gas, electricity, water supplies, or sewerage / waste disposal services, at the service user's home for more than 24 hours.
- Physical damage to the premises where the service user resides.
- Insufficient number of suitably qualified, trained and experienced Care Staff to attend the service user.
- A financial crisis within the service that could compromise or disrupt the service.

7. *Changes in the Organisation's Registration details:*

These will include the following changes as covered in *Regulation 15 of the Care Quality Commission (Registration) Regulations 2009*, and will be implemented as soon as is reasonably practical:

- Changes of provider for an activity.
- Changes of registered manager for an activity.
- Changes to registered individual's name.
- Changes to the membership of a partnership.
- Changes to an Organisation's name or address.
- Changes to an Organisation's officers or directors.
- Changes to the e-mail address or telephone number of the main contact within the Organisation.
- The appointment of a trustee in bankruptcy, receiver, or liquidator.
- The sequestration of a registered person's estate.

8. *Changes in the Organisation's Statement of Purpose:*

In accordance with the requirements of *Regulation 12 of the Care Quality Commission (Registration) Regulations 2009*, any changes to the Organisation's Statement of Purpose will be notified to C.Q.C. within 28 days.

9. *Absence of the Registered Person for a period of 28 days or more:*

In accordance with the requirements of *Regulation 14 of the Care Quality Commission (Registration) Regulations 2009*, absence of the Registered Person for 28 days or more will be notified to C.Q.C., together with details of the arrangements in place to manage the activity during the period of absence.

B: REPORTING PROCEDURES:

1. Reporting notifiable incidents to C.Q.C. will be done either on-line or on downloadable (paper) Record Forms created by C.Q.C. specifically for this purpose. Each of the 9 types of incident summarised in Part A of this Policy will have its own dedicated Form, and they are obtained from the C.Q.C. website.
2. The completion of the Record Forms and their submission to C.Q.C. is the responsibility of the Registered Person, or nominated deputy.
3. A summary of each notifiable incident will be entered in the Incident & Action Log (*safeguarding and improvement log*) for review and analysis at Quality Management Review Meetings, ref *Policy No 2203*.