Umbrella Provider/UHB Incident and SI Process

Incident occurs with patient in Umbrella service

Immediate action to ensure the situation is safe

Report incident on local system where appropriate and escalate to UHB CR&C

CR&C to determine level of harm as per NHSE definitions as per UHB and local Incident reporting procedures and determine action

No harm/Low harm

Moderate/Severe harm

Umbrella provider to follow local/UHB policy for the reporting and management of incidents

Umbrella Provider to investigate and provide UHB with outcome as per contractual and Governance Framework agreement

If incident results in moderate or severe harm DoC applies

UHB SI process commenced. Executive Director and Umbrella Provider informed. If SI then CCG also informed within 48hrs

DoC discussion to take place with patient/NoK within 10 working days by Umbrella provider

Lead Investigator appointed who completes investigation within 45 days and forwards to CR&C as per contractual reporting agreement

Umbrella to complete DoC process and provide assurance to CR&C

Report approved by Executive Director and Umbrella provider

Upon approval of report, Umbrella provider to feed-back investigation findings to patient/ NoK within **10 days** via letter or face-to-face

STEIS updated by CR&C and final report sent to CCG by CR&C team

Key

Actions arising from investigation to be presented to CEAG by Umbrella provider/ Divisional team

CR&C = Clinical Risk & Compliance CCG = Clinical Commissioning Group DoC = Duty of Candour CEAG = Chief Executive Advisory Group SI = Serious Incident

CR&C/Umbrella provider and Umbrella Governance Framework to monitor completion of actions

