

Incident Level Guidance: Version 3 NOV 2020

CATEGORY DESCRIPTION	LEVEL 1 INSIGNIFICANT/MINOR (Low or no harm/ Low near miss) Reviewed and closed within 5 working days.	LEVEL 2 MODERATE (Moderate harm/ Near miss) Initial review completed within 3 working days.	LEVEL 3 SIGNIFICANT/MAJOR (Serious Incident) Immediate escalation, initial strategy meeting and identification of Investigating Officer, followed by Rapid Review (RR) within 3 working days. If RCA required to be completed within further 60 days.
Level of Investigation required.	Managed Locally within Service and remedial action taken with 2 Working Days.	Managed within the service. Remedial actions taken. Escalation of any residual risks/gaps identified within 3 working days. May require use of some of the tools within the RCA framework.	RR to be completed within 3 working days. If the incident is StEIS reportable and involves a clinical member of staff, this decision must be ratified by the Medical Director. Potential requirement to complete full RCA Investigation as advised by outcome of RR.
ACCIDENT	Accident with no harm or minor harm which may require first aid.	Accident with moderate harm requiring medical attention (over and above local first aid provision). OR Work related accident resulting in any Staff absence from work (for less than 7 days)	Accident with major harm requiring urgent medical treatment including fractures or loss of consciousness (Includes members of public if affected as a result of PC24 work activity, acts or omissions). Work related accident resulting in Staff absence from work for more than 7 days. Any RIDDOR reportable accident.
CONSENT	Not Applicable (N/A)	Incident with moderate impact to patient. Omission to request, record consent e.g. Safeguarding referral, capacity to consent, sharing of information. Consideration of Duty of Candour assessment.	Incident with significant/major impact to patient. Breach of legislation. Duty of Candour assessment required.

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DEATH	Not Applicable (N/A)	Expected Death(s) whereby e.g. Terminal Illness but no anticipatory drugs available, absence of DNAR.	Any Unexpected death(s) of Patient or work related death of Staff or Contractor.
ENVIRONMENTAL	Incidents with minor impact to property or person due to flood, Gas Leak, Actual fire, false Alarm or other environmental related incidents. Adverse weather conditions.	Incidents with Moderate impact to property, business or person due to flood, Gas Leak, Actual fire, exposure to asbestos, inappropriate disposal of Clinical / Domestic Waste or other environmental related incidents. Adverse weather condition with a moderate impact on service delivery/resulting in impact on business. OR Potential regulatory action against PC24 e.g. fire service enforcement notice	Incidents with significant/Major impact to property, business or person due to flood, Gas Leak, Actual fire, Exposure to Asbestos (of a level requiring RIDDOR reporting to HSE) or Legionella outbreak (includes a single incident). OR Actual enforcement action issued against PC24 e.g. fire service enforcement notice.
INFECTION PREVENTION	Incident involving infection prevention and control with minor actual/potential impact to patient/staff member/member of the public/organisation.	Incident involving infection prevention and control with moderate actual/potential impact to patient/staff member/member of the public/organisation. Cleaning schedule not maintained, overfilled sharps bin, incorrect construction/storage of sharps bin, availability of equipment i.e. bed rolls/hand sanitiser.	Incident involving infection prevention and control with major actual/potential impact to patient/staff member/organisation. Needle stick injury, exposure to blood/body fluid borne virus. Availability of appropriate PPE equipment. IPC incident has impact on service delivery and normal business function. Re-use of single use equipment which caused actual harm.

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INFORMATION GOVERNANCE	Loss or compromise of basic demographic data (non-sensitive) Isolated incident involving a limited number of people	Loss or compromise of detailed personal data (including sensitive personal data) which would cause significant distress. Loss of personal data that may compromise security (internal) Personal information shared/Unencrypted media lost externally without secure procedures being followed.	Unencrypted media lost/stolen/misplaced/misdirected containing personal data which would cause significant damage and distress to affected individual/s OR Disclosing information externally that identifies an individual and releasing sensitive personal data without consent or any other legal justification. OR Detailed sensitive personal information breached lost in the public domain. Reputational damage to the organisation.
IT SYSTEMS & EQUIPMENT	Minor disruption / failure of core systems and services that threatens to compromise the continued delivery of business functions. Disruption lasting over 4 hours	Wider moderate disruption / failure of core systems and services that threatens to compromise the continued delivery of business functions. Disruption lasting over 8 hours	Significant major disruption / failure of core systems and services that threatens to compromise the continued delivery of business functions, triggering the organisation's Business Continuity Plan. Disruption lasting more than 24 hours.
MEDICAL EQUIPMENT	Incident with minor harm to patient. Use of out of date equipment, which has caused no harm. Unavailable Medical Equipment. Equipment which has not been calibrated/PAT tested.	Incident with moderate harm to patient. Absence of medical equipment which results in actual harm. Actual harm caused by unsafe/ineffective equipment.	Incident with significant/major harm to patient caused by unsafe, ineffective or unavailability of equipment. Resuscitation equipment not available.

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MEDICATION	Isolated incident potential to cause minor harm e.g. additional dose of correct meds, minor breach of policy but no legal infringement. Unavailable emergency medication. Administration of injection without valid prescription.	Incident resulting in moderate harm or a Cluster of similar minor incidents demonstrating high risk of reoccurrence, significant breach of policy/professional standards. Unable to reconcile prescriptions with dispensed medication. Drug error.	Incidents resulting in significant/major harm or Cluster of moderate harm incidents, e.g. change of care pathway, prolonged additional observations, and legal breach. Prescribing of medication which is contraindicated for use e.g. Known allergy resulting in anaphylaxis. Involvement of Merseyside Internal Audit Agency (MIAA) in relation to Meds Management incident.
PATIENT CARE	Incident affecting patient care with minor actual/potential harm to patient.	Incident affecting patient care with moderate actual/potential harm to patient e.g. Failure to refer, failure to provide appropriate level of clinical assessment, failure to safety net resulting in moderate actual/ potential moderate harm.	Incident affecting patient care with significant/major actual/potential harm to patient e.g. Failure to refer, failure to provide appropriate level of clinical assessment, failure to safety net resulting in moderate actual significant/major harm.
SECURITY	Security breach, theft/loss/damage or incident with minor impact to property or person.	Security breach, theft/loss/damage or incident with moderate impact to property or person. May require police assistance / Safeguarding referral. Potential for PREVENT referral.	Security breach, theft/loss/damage or incident with major impact to property or person. Firearms incident. Breach in the management of Zero Tolerance patients. Police intervention / Safeguarding referral. Actual PREVENT referral.

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SELF HARM	Not Applicable (N/A)	Expressed suicidal/self-harm ideation, or minor self-harm not requiring hospital review. This includes the impact on staff of expressed intent or actions of patients.	Actual Self Harm which results in hospitalisation or death. This includes refusal to go to hospital when indicated.
SERVICE DELIVERY	Incident resulting in minor disruption to service delivery affecting patient/staff member/member of the public/organisation.	Incident resulting in moderate disruption to service delivery affecting to patient/staff member/member of the public/organisation.	Incident resulting in major disruption to service delivery affecting patient/staff member/member of the public/organisation.
VEHICLE INCIDENT	Vehicle related incident with no harm or minor damage.	Vehicle related incident with Moderate harm, damage or loss. May require Police assistance. Minor motoring offence.	Vehicle related incident with major harm, loss or damage and Police or emergency services required. Serious criminal offence.
WELFARE CONCERNS	Incident causing minor harm to Staff, Patient or Visitor, this includes Verbal abuse. Potential to cause harm. Identified financial loss.	Incident causing moderate harm to Staff, Patient or Visitor, this includes Physical, Emotional or Neglect abuse and may require police assistance, medical treatment and / or Safeguarding Referral.	Incident causing significant/major/serious/SI harm to Staff, Patient or Visitor, this includes Physical abuse, Sexual assault, Hate crimes and will require police intervention, possible medical treatment and / or Safeguarding Referral/PREVENT referral.