

**MUCKAMORE ABBEY HOSPITAL INQUIRY  
WITNESS STATEMENT**

**Statement of Briege Donaghy  
Regulation and Quality Improvement Authority ("RQIA")  
Date: 24 February 2023**

---

**Exhibit BD8**

---



Health and Social  
Care Board

Procedure for the Reporting and  
Follow up of  
Serious Adverse Incidents

November 2016  
Version 1.1

# CONTENTS

FOREWORD.....	4
<b>SECTION ONE - PROCEDURE.....</b>	<b>5</b>
1.0 BACKGROUND.....	5
2.0 INTRODUCTION.....	8
3.0 APPLICATION OF PROCEDURE.....	9
4.0 DEFINITION AND CRITERIA.....	13
5.0 SAI REVIEWS.....	14
6.0 TIMESCALES.....	17
7.0 OTHER INVESTIGATIVE/REVIEW PROCESSES.....	18
8.0 LEARNING FROM SAIs.....	21
9.0 TRAINING AND SUPPORT.....	22
10.0 INFORMATION GOVERNANCE.....	22
11.0 ROLE OF DESIGNATED REVIEW OFFICER (DRO).....	24
12.0 PROCESS.....	24
13.0 EQUALITY.....	28

## **SECTION TWO - APPENDICES**

- APPENDIX 1 Serious Adverse Incident Notification Form
- APPENDIX 2 Guidance Notes - Serious Adverse Incident Notification Form
- APPENDIX 3 HSC Interface Incident Notification Form
- APPENDIX 4 SEA Report / Learning Summary Report on the Review of a SAI and Service User/Family/Carer Engagement Checklist
- APPENDIX 5 Guidance Notes - SEA Report / Learning Summary Report on the Review of a SAI and Service User/Family/Carer Engagement Checklist
- APPENDIX 6 RCA Report on the Review of a SAI and Service User/Family/Carer Engagement Checklist
- APPENDIX 7 Guidance Notes – Level 2 and 3 RCA Report
- APPENDIX 8 Guidance on Minimum Standards for Action Plans
- APPENDIX 9 Guidance on Incident Debrief
- APPENDIX 10 Level 1 Review – Guidance on Review Team Membership
- APPENDIX 11 Level 2 Review – Guidance on Review Team Membership
- APPENDIX 12 Level 3 Review – Guidance on Review Team Membership
- APPENDIX 13 Guidance on Joint Reviews/Investigations
- APPENDIX 14 Protocol for Responding to SAIs in the Event of a Homicide – 2013
- APPENDIX 15 Administrative Protocol – Reporting and Follow Up of SAIs Involving RQIA Mental Health/Learning Disability and Independent/Regulated Sector
- APPENDIX 16 HSC Regional Impact Table/Risk Matrix
- APPENDIX 17 Child and Adult Safeguarding and SAI Processes

## **SECTION THREE - ADDENDUM**

- ADDENDUM 1 A Guide for HSC Staff – Engagement / Communication with the Service User/Family/Carers Following a SAI

## FOREWORD

Commissioners and Providers of health and social care want to ensure that when a serious event or incident occurs, there is a systematic process in place for safeguarding services users, staff, and members of the public, as well as property, resources and reputation.

One of the building blocks for doing this is a clear, regionally agreed approach to the reporting, management, follow-up and learning from serious adverse incidents (SAIs). Working in conjunction with other Health and Social Care (HSC) organisations, this procedure was developed to provide a system-wide perspective on serious incidents occurring within the HSC and Special Agencies and also takes account of the independent sector where it provides services on behalf of the HSC.

The procedure seeks to provide a consistent approach to:

- what constitutes a serious adverse incident;
- clarifying the roles, responsibilities and processes relating to the reporting, reviewing, dissemination and implementation of learning;
- fulfilling statutory and regulatory requirements;
- tools and resources that support good practice.

Our aim is to work toward clearer, consistent governance arrangements for reporting and learning from the most serious incidents; supporting preventative measures and reducing the risk of serious harm to service users.

The implementation of this procedure will support governance at a local level within individual organisations and will also improve existing regional governance and risk management arrangements by continuing to facilitate openness, trust, continuous learning and ultimately service improvement.

This procedure will remain under continuous review.

Valerie Watts  
**Chief Executive**

## SECTION ONE - PROCEDURE

### 1.0 BACKGROUND

Circular HSS (PPM) 06/04 introduced interim guidance on the reporting and follow-up on serious adverse incidents (SAIs). Its purpose was to provide guidance for HPSS organisations and special agencies on the reporting and management of SAIs and near misses.

[http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/hss\(ppm\)06-04.pdf](http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/hss(ppm)06-04.pdf)

Circular HSS (PPM) 05/05 provided an update on safety issues; to underline the need for HPSS organisations to report SAIs and near misses to the DHSSPS in line with Circular HSS (PPM) 06/04.

<http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/hssp05-05.pdf>

Circular HSS (PPM) 02/2006 drew attention to certain aspects of the reporting of SAIs which needed to be managed more effectively. It notified respective organisations of changes in the way SAIs should be reported in the future and provided a revised report pro forma. It also clarified the processes DHSSPS had put in place to consider SAIs notified to it, outlining the feedback that would then be made to the wider HPSS.

[http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/qpi\\_adverse\\_incidents\\_circular.pdf](http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/qpi_adverse_incidents_circular.pdf)

In March 2006, DHSSPS introduced Safety First: A Framework for Sustainable Improvement in the HPSS. The aim of this document was to draw together key themes to promote service user safety in the HPSS. Its purpose was to build on existing systems and good practice so as to bring about a clear and consistent DHSSPS policy and action plan.

[http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/safety\\_first\\_-\\_a\\_framework\\_for\\_sustainable\\_improvement\\_on\\_the\\_hpss-2.pdf](http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/safety_first_-_a_framework_for_sustainable_improvement_on_the_hpss-2.pdf)

The Health and Personal Social Services (Quality Improvement and Regulation) (Northern Ireland) Order 2003 imposed a 'statutory duty of quality' on HPSS Boards and Trusts. To support this legal responsibility, the Quality Standards for Health and Social Care were issued by DHSSPS in March 2006.

[www.health-ni.gov.uk/publications/quality-standards-health-and-social-care-documents](http://www.health-ni.gov.uk/publications/quality-standards-health-and-social-care-documents)

Circular HSC (SQS) 19/2007 advised of refinements to DHSSPS SAI system and of changes which would be put in place from April 2007, to promote learning from SAIs and reduce any unnecessary duplication of paperwork for organisations. It also clarified arrangements for the reporting of breaches of patients waiting in excess of 12 hours in emergency care departments.

[http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/hss\\_sqsd\\_19-07.pdf](http://webarchive.prni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/hss_sqsd_19-07.pdf)

Under the Provisions of Articles 86(2) of the Mental Health (NI) Order 1986, the Regulation & Quality Improvement Authority (RQIA) has a duty to make inquiry into any

case where it appears to the Authority that there may be amongst other things, ill treatment or deficiency in care or treatment. Guidance in relation to reporting requirements under the above Order previously issued in April 2000 was reviewed, updated and re-issued in August 2007. (Note: Functions of the previous Mental Health Commission transferred to RQIA on 1 April 2009).

[http://webarchive.prni.gov.uk/20101215075727/http://www.dhsspsni.gov.uk/print/utec\\_guidance\\_august\\_2007.pdf](http://webarchive.prni.gov.uk/20101215075727/http://www.dhsspsni.gov.uk/print/utec_guidance_august_2007.pdf)

Circular HSC (SQSD) 22/2009 provided specific guidance on initial changes to the operation of the system of SAI reporting arrangements during 2009/10. The immediate changes were to lead to a reduction in the number of SAIs that were required to be reported to DHSSPS. It also advised organisations that a further circular would be issued giving details about the next stage in the phased implementation which would be put in place to manage the transition from the DHSSPS SAI reporting system, through its cessation and to the establishment of the RAIL system.

<https://www.health-ni.gov.uk/sites/default/files/publications/dhssps/HSC%20%28SQSD%29%2022-09.pdf>

Circular HSC (SQSC) 08/2010, issued in April 2010, provided guidance on the transfer of SAI reporting arrangements from the Department to the HSC Board, working in partnership with the Public Health Agency. It also provided guidance on the revised incident reporting roles and responsibilities of HSC Trusts, Family Practitioner Services, the Health & Social Care (HSC) Board and Public Health Agency (PHA), the extended remit of the Regulation & Quality Improvement Authority (RQIA), and the Department.

<https://www.health-ni.gov.uk/sites/default/files/publications/dhssps/HSC%20%28SQSD%29%2008-10.pdf>

Circular HSC (SQSD) 10/2010 advises on the operation of an Early Alert System, the arrangements to manage the transfer of Serious Adverse Incident (SAI) reporting arrangements from the Department to the HSC Board, working in partnership with the Public Health Agency and the incident reporting roles and responsibilities of Trusts, family practitioner services, the new regional organisations, the Health & Social Care (HSC) Board and Public Health Agency (PHA), and the extended remit of the Regulation & Quality Improvement Authority (RQIA).

<https://www.health-ni.gov.uk/sites/default/files/publications/dhssps/HSC%20%28SQSD%29%2010-10.pdf>

In May 2010 the Director of Social Care and Children HSCB issued guidance on 'Untoward Events relating to Children in Need and Looked After Children' to HSC Trusts. This guidance clarified the arrangements for the reporting of events, aligned to delegated statutory functions and Departmental Guidance, which are more appropriately reported to the HSCB Social Care and Children's Directorate.

In 2012 the HSCB issued the 'Protocol for responding to SAIs involving an alleged homicide'. The 2013 revised HSCB 'Protocol for responding to SAIs involving an alleged homicide' is contained in Appendix 14.

Circular HSS (MD) 8/2013 replaces HSS (MD) 06/2006 and advises of a revised Memorandum of Understanding (MOU) when investigating patient or client safety incidents. This revised MOU is designed to improve appropriate information sharing and co-ordination when joint or simultaneous investigations/reviews are required when a serious incident occurs.

[www.health-ni.gov.uk/sites/default/files/publications/dhssps/hss-md-8-2013.pdf](http://www.health-ni.gov.uk/sites/default/files/publications/dhssps/hss-md-8-2013.pdf)

DHSSPS Memo dated 17 July 2013 from Chief Medical Officer introduced the HSCB/PHA protocol on the dissemination of guidance/information to the HSC and the assurance arrangements where these are required. The protocol assists the HSCB/PHA in determining what actions would benefit from a regional approach rather than each provider taking action individually.

<http://intranet.hscb.hscni.net/documents/Governance/Information%20for%20DROs/002%20%20HSCB-PHA%20Protocol%20for%20Safety%20Alerts.pdf>

Circular HSC (SQSD) 56/16 (21 October 2016) from the Deputy Chief Medical Officer advises of the intention to introduce a Never Events process and that information relating to these events will be captured as part of the Serious Adverse Incident Process. The circular indicates the Never Events process will be based on the adoption of Never Event List with immediate effect.

<https://www.health-ni.gov.uk/sites/default/files/publications/health/HSC-SQSD-56-16.pdf>



## 2.0 INTRODUCTION

The purpose of this procedure is to provide guidance to Health and Social Care (HSC) Organisations, and Special Agencies (SA) in relation to the reporting and follow up of Serious Adverse Incidents (SAIs) arising during the course of their business or commissioned service.

The requirement on HSC organisations to routinely report SAIs to the Department of Health (DoH) {formerly known as the DHSSPS} ceased on 1 May 2010. From this date, the revised arrangements for the reporting and follow up of SAIs, transferred to the Health and Social Care Board (HSCB) working both jointly with the Public Health Agency (PHA) and collaboratively with the Regulation and Quality Improvement Authority (RQIA).

This process aims to:

- Provide a mechanism to effectively share learning in a meaningful way; with a focus on safety and quality; ultimately leading to service improvement for service users;
- Provide a coherent approach to what constitutes a SAI; to ensure consistency in reporting across the HSC and Special Agencies;
- Clarify the roles, responsibilities and processes relating to the reporting, reviewing, dissemination and implementation of learning arising from SAIs which occur during the course of the business of a HSC organisation / Special Agency or commissioned/funded service;
- Ensure the process works simultaneously with all other statutory and regulatory organisations that may require to be notified of the incident or be involved the review;
- Keep the process for the reporting and review of SAIs under review to ensure it is fit for purpose and minimises unnecessary duplication;
- Recognise the responsibilities of individual organisations and support them in ensuring compliance; by providing a culture of openness and transparency that encourages the reporting of SAIs;
- Ensure trends, best practice and learning is identified, disseminated and implemented in a timely manner, in order to prevent recurrence;
- Maintain a high quality of information and documentation within a time bound process.

## 3.0 APPLICATION OF PROCEDURE

### 3.1 Who does this procedure apply to?

This procedure applies to the reporting and follow up of SAIs arising during the course of the business in Department of Health (DoH) Arm's Length Bodies (ALBs) i.e.

- **HSC organisations (HSC)**
  - Health and Social Care Board
  - Public Health Agency
  - Business Services Organisation
  - Belfast Health and Social Care Trust
  - Northern Health and Social Care Trust
  - Southern Health and Social Care Trust
  - South Eastern Health and Social Care Trust
  - Western Health and Social Care Trust
  - Northern Ireland Ambulance Service
  - Regulation and Quality Improvement Authority
  
- **Special Agencies (SA)**
  - Northern Ireland Blood Transfusion Service
  - Patient Client Council
  - Northern Ireland Medical and Dental Training Agency
  - Northern Ireland Practice and Education Council

The principles for SAI management set out in this procedure are relevant to all the above organisations. Each organisation should therefore ensure that its incident policies are consistent with this guidance while being relevant to its own local arrangements.

### 3.2 Incidents reported by Family Practitioner Services (FPS)

Adverse incidents occurring within services provided by independent practitioners within: General Medical Services, Pharmacy, Dental or Optometry, are routinely forwarded to the HSCB Integrated Care Directorate in line with the HSCB Adverse Incident Process within the Directorate of Integrated Care (September 2016). On receipt of reported adverse incidents the HSCB Integrated Care Directorate will decide if the incident meets the criteria of a SAI and if so will be the organisation responsible to report the SAI.

### **3.3 Incidents that occur within the Independent /Community and Voluntary Sectors (ICVS)**

SAIs that occur within ICVS, where the service has been commissioned/funded by a HSC organisation must be reported. For example: service users placed/funded by HSC Trusts in independent sector accommodation, including private hospital, nursing or residential care homes, supported housing, day care facilities or availing of HSC funded voluntary/community services. These SAIs must be reported and reviewed by the HSC organisation who has:

- referred the service user (this includes Extra Contractual Referrals) to the ICVS;

or, if this cannot be determined;

- the HSC organisation who holds the contract with the IVCS.

HSC organisations that refer service users to ICVS should ensure all contracts, held with ICVS, include adequate arrangements for the reporting of adverse incidents in order to ensure SAIs are routinely identified.

All relevant events occurring within ICVS which fall within the relevant notification arrangements under legislation should continue to be notified to RQIA.

### **3.4 Reporting of HSC Interface Incidents**

Interface incidents are those incidents which have occurred in one organisation, but where the incident has been identified in another organisation. In such instances, it is possible the organisation where the incident may have occurred is not aware of the incident; however the reporting and follow up review may be their responsibility. It will not be until such times as the organisation, where the incident has occurred, is made aware of the incident; that it can be determined if the incident is a SAI.

In order to ensure these incidents are notified to the correct organisation in a timely manner, the organisation where the incident was identified will report to the HSCB using the HSC Interface Incident Notification Form (see Appendix 3). The HSCB Governance Team will upon receipt contact the organisation where the incident has occurred and advise them of the notification in order to ascertain if the incident will be reported as a SAI.

Some of these incidents will subsequently be reported as SAIs and may require other organisations to jointly input into the review. In these instances refer to Appendix 13 – Guidance on Joint Reviews.

### **3.5 Incidents reported and Investigated/ reviewed by Organisations external to HSC and Special Agencies**

The reporting of SAIs to the HSCB will work in conjunction with and in some circumstances inform the reporting requirements of other statutory agencies and external bodies. In that regard, all existing local or national reporting arrangements, where there are statutory or mandatory reporting obligations, will continue to operate in tandem with this procedure.

#### **3.5.1 Memorandum of Understanding (MOU)**

In February 2006, the DoH issued circular HSS (MD) 06/2006 – a Memorandum of Understanding – which was developed to improve appropriate information sharing and co-ordination when joint or simultaneous investigations/reviews are required into a serious incident.

Circular HSS (MD) 8/2013 replaces the above circular and advises of a revised MOU Investigating patient or client safety incidents which can be found on the Departmental website:

[www.health-ni.gov.uk/sites/default/files/publications/dhssps/hss-md-8-2013.pdf](http://www.health-ni.gov.uk/sites/default/files/publications/dhssps/hss-md-8-2013.pdf)

The MOU has been agreed between the DoH, on behalf of the Health and Social Care Service (HSCS), the Police Service of Northern Ireland (PSNI), the Northern Ireland Courts and Tribunals Service (Coroners Service for NI) and the Health and Safety Executive for Northern Ireland (HSENI). It will apply to people receiving care and treatment from HSC in Northern Ireland. The principles and practices promoted in the document apply to other locations, where health and social care is provided e.g. it could be applied when considering an incident in a family doctor or dental practice, or for a person receiving private health or social care provided by the HSCS.

It sets out the general principles for the HSCS, PSNI, Coroners Service for NI and HSENI to observe when liaising with one another.

The purpose of the MOU is to promote effective communication between the organisations. The MOU will take effect in circumstances of unexpected death or serious untoward harm requiring investigation by the PSNI, Coroners Service for NI or HSENI separately or jointly. This may be the case when an incident has arisen from or involved criminal intent, recklessness and/or gross negligence, or in the context of health and safety, a work-related death.

The MOU is intended to help:

- Identify which organisations should be involved and the lead investigating body.
- Prompt early decisions about the actions and investigations/reviews thought to be necessary by all organisations and a dialogue about the implications of these.
- Provide an understanding of the roles and responsibilities of the other organisations involved in the memorandum before high level decisions are taken.
- Ensure strategic decisions are taken early in the process and prevent unnecessary duplication of effort and resources of all the organisations concerned.

HSC Organisations should note that the MOU does not preclude simultaneous investigations/reviews by the HSC and other organisations e.g. Root Cause Analysis by the HSC when the case is being reviewed by the Coroners Service and/or PSNI/HSENI.

In these situations, the Strategic Communication and Decision Group can be used to clarify any difficulties that may arise; particularly where an external organisation's investigation/review has the potential to impede a SAI review and subsequently delay the dissemination of regional learning.

### 3.6 Reporting of SAIs to RQIA

RQIA have a statutory obligation to investigate some incidents that are also reported under the SAI procedure. In order to avoid duplication of incident notification and review, RQIA will work in conjunction with the HSCB/PHA with regard to the review of certain categories of SAI. In this regard the following SAIs should be notified to RQIA at the same time of notification to the HSCB:

- All mental health and learning disability SAIs reportable to RQIA under Article 86.2 of the Mental Health (NI) Order 1986.
- Any SAI that occurs within the regulated sector (whether statutory or independent) for a service that has been commissioned/funded by a HSC organisation.

*It is acknowledged these incidents should already have been reported to RQIA as a 'notifiable event' by the statutory or independent organisation where the incident has occurred (in line with relevant reporting regulations). This notification will alert RQIA that the incident is also being reviewed as a SAI by the HSC organisation who commissioned the service.*

- The HSCB/PHA Designated Review Officer (DRO) will lead and co-ordinate the SAI management, and follow up, with the reporting organisation; however for these SAIs this will be carried out in

conjunction with RQIA professionals. A separate administrative protocol between the HSCB and RQIA can be accessed at Appendix 15.

### **3.7 Reporting of SAIs to the Safeguarding Board for Northern Ireland**

There is a statutory duty for the HSC to notify the Safeguarding Board for Northern Ireland of child deaths where:

- a child has died or been significantly harmed (Regulation 17(2)(a))

**AND**

- abuse/neglect suspected **or** child or sibling on child protection register **or** child or sibling is/has been looked after Regulation (2)(b) (see Appendix 17)

## **4.0 DEFINITION AND CRITERIA**

### **4.1 Definition of an Adverse Incident**

**‘Any event or circumstances that could have or did lead to harm, loss or damage to people, property, environment or reputation’<sup>1</sup>** arising during the course of the business of a HSC organisation / Special Agency or commissioned service.

The following criteria will determine whether or not an adverse incident constitutes a SAI.

### **4.2 SAI criteria**

**4.2.1** serious injury to, or the unexpected/unexplained death of:

- a service user, (including a Looked After Child or a child whose name is on the Child Protection Register and those events which should be reviewed through a significant event audit)
- a staff member in the course of their work
- a member of the public whilst visiting a HSC facility;

**4.2.2** unexpected serious risk to a service user and/or staff member and/or member of the public;

**4.2.3** unexpected or significant threat to provide service and/or maintain business continuity;

---

<sup>1</sup> Source: DoH - How to classify adverse incidents and risk guidance 2006  
[http://webarchive.proni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/ph/how\\_to\\_classify\\_adverse\\_incidents\\_and\\_risk\\_-\\_guidance.pdf](http://webarchive.proni.gov.uk/20120830142323/http://www.dhsspsni.gov.uk/ph/how_to_classify_adverse_incidents_and_risk_-_guidance.pdf)

**4.2.4** serious self-harm or serious assault (*including attempted suicide, homicide and sexual assaults*) by a service user, a member of staff or a member of the public within any healthcare facility providing a commissioned service;

**4.2.5** serious self-harm or serious assault (*including homicide and sexual assaults*)

- on other service users,
- on staff or
- on members of the public

by a service user in the community who has a mental illness or disorder (*as defined within the Mental Health (NI) Order 1986*) and/or known to/referred to mental health and related services (*including CAMHS, psychiatry of old age or leaving and aftercare services*) and/or learning disability services, in the 12 months prior to the incident;

**4.2.6** suspected suicide of a service user who has a mental illness or disorder (*as defined within the Mental Health (NI) Order 1986*) and/or known to/referred to mental health and related services (*including CAMHS, psychiatry of old age or leaving and aftercare services*) and/or learning disability services, in the 12 months prior to the incident;

**4.2.7** serious incidents of public interest or concern relating to:

- any of the criteria above
- theft, fraud, information breaches or data losses
- a member of HSC staff or independent practitioner.

**ANY ADVERSE INCIDENT WHICH MEETS ONE OR MORE OF THE ABOVE CRITERIA SHOULD BE REPORTED AS A SAI.**

*Note: The HSC Regional Risk Matrix may assist organisations in determining the level of 'seriousness' refer to Appendix 16.*

## **5.0 SAI REVIEWS**

SAI reviews should be conducted at a level appropriate and proportionate to the complexity of the incident under review. In order to ensure timely learning from all SAIs reported, it is important the level of review focuses on the complexity of the incident and not solely on the significance of the event.

Whilst most SAIs will be subject to a Level 1 review, for some more complex SAIs, reporting organisations may instigate a Level 2 or 3 review immediately following the incident occurring. The level of review should be noted on the SAI notification form.

The HSC Regional Risk Matrix (refer to Appendix 16) may assist organisations in determining the level of 'seriousness' and subsequently the level of review to be

undertaken. SAIs which meet the criteria in 4.2 above will be reviewed by the reporting organisation using one or more of the following:

## 5.1 Level 1 Review – Significant Event Audit (SEA)

Most SAI notifications will enter the review process at this level and a SEA will immediately be undertaken to:

- assess what has happened;
- assess why did it happened;
  - o what went wrong and what went well;
- assess what has been changed or agree what will change;
- identify local and regional learning.

(refer to Appendix 5 – Guidance Notes for Level 1 – SEA & Learning Summary Report; Appendix 9 – Guidance on Incident Debrief); and Appendix 10 – Level 1 Review - Guidance on review team membership)

The possible outcomes from the review may include:

- closed – no new learning;
- closed – with learning;
- requires Level 2 or 3 review.

A SEA report will be completed **which should be retained by the reporting organisation** (see Appendices 4 and 5).

The reporting organisation will then complete a **SEA Learning Summary Report** (see Appendices 4 and 5 – Sections 1, 3-6), which should be signed off by the relevant professional or operational director and submitted to the HSCB within **8 weeks** of the SAI being notified.

The HSCB will not routinely receive SEA reports unless specifically requested by the DRO. This process assigns reporting organisations the responsibility for Quality Assuring Level 1 SEA Reviews. This will entail engaging directly with relevant staff within their organisation to ensure the robustness of the report and identification of learning prior to submission to the HSCB.

If the outcome of the SEA determines the SAI is more complex and requires a more detailed review, the review will move to either a Level 2 or 3 RCA review. In this instance the SEA Learning Report Summary will be forwarded to the HSCB within the timescales outlined above, with additional sections being completed to outline membership and Terms of Reference of the team completing the Level 2 or 3 RCA review and proposed timescales.

## 5.2 Level 2 – Root Cause Analysis (RCA)

As stated above, some SAIs will enter at Level 2 review following a SEA.

When a Level 2 or 3 review is instigated immediately following notification of a SAI, the reporting organisation will inform the HSCB within 4 weeks, of the Terms of Reference (TOR) and Membership of the Review Team for



consideration by the HSCB/PHA DRO. This will be achieved by submitting sections two and three of the review report to the HSCB. (Refer to Appendix 6 – template for Level 2 and 3 review reports).

The review must be conducted to a high level of detail (see Appendix 7 – template for Level 2 and 3 review reports). The review should include use of appropriate analytical tools and will normally be conducted by a multidisciplinary team (not directly involved in the incident), and chaired by someone independent to the incident but who can be within the same organisation. (Refer to Appendix 9 – Guidance on Incident Debrief); and Appendix 11 – Level 2 Review - Guidance on review team membership).

Level 2 RCA reviews may involve two or more organisations. In these instances, it is important a lead organisation is identified but also that all organisations contribute to, and approve the final review report (Refer to Appendix 13 Guidance on joint reviews/investigations).

On completion of Level 2 reviews, the final report must be submitted to the HSCB within 12 weeks from the date the incident was notified.

### 5.3 Level 3 – Independent Reviews

Level 3 reviews will be considered for SAIs that:

- are particularly complex involving multiple organisations;
- have a degree of technical complexity that requires independent expert advice;
- are very high profile and attracting a high level of both public and media attention.

In some instances the whole team may be independent to the organisation/s where the incident/s has occurred.

The timescales for reporting Chair and Membership of the review team will be agreed by the HSCB/PHA Designated Review Officer (DRO) at the outset (see Appendix 9 – Guidance on Incident Debrief); and Appendix 12 – Level 3 Review - Guidance on Review Team Membership).

The format for Level 3 review reports will be the same as for Level 2 reviews (see Appendix 7 – guidance notes on template for Level 2 and 3 reviews).

For any SAI which involves an alleged homicide by a service user who has a mental illness or disorder (*as defined within the Mental Health (NI) Order 1986*) and/or known to/referred to mental health and related services (*including CAMHS, psychiatry of old age or leaving and aftercare services*) and/or learning disability services, in the 12 months prior to the incident, the Protocol for Responding to SAIs in the Event of a Homicide, issued in 2012 and revised in 2013 should be followed (see Appendix 14).

## 5.4 Involvement of Service Users/Family/Carers in Reviews

- Following a SAI it is important, in the spirit of honesty and openness to ensure a consistent approach is afforded to the level of service user / family engagement across the region. When engaging with Service Users/Family/Carers, organisations should refer to addendum 1 – *A Guide for Health and Social Care Staff Engagement/Communication with Service User/Family/Cares following a SAI*.
- In addition a 'Checklist for Engagement/Communication with the Service User/Family/Carers following a SAI' must be completed for each SAI regardless of the review level, and where relevant, if the SAI was also a Never Event (refer to section 12.2).
- The checklist also includes a section to indicate if the reporting organisation had a statutory requirement to report the death to the Coroners office and that this is also communicated to the Family/Carer.

## 6.0 TIMESCALES

### 6.1 Notification

Any adverse incident that meets the criteria indicated in section 4.2 should be reported within **72 hours** of the incident being discovered using the SAI Notification Form (see Appendix 1).

### 6.2 Review Reports

#### LEVEL 1 – SEA

SEA reports must be completed using the SEA template which will be retained by the reporting organisation (see Appendices 4 and 5). A SEA Learning Summary Report (see Appendices 4 and 5 – Sections 1, 3-6) must be completed and submitted to the HSCB within **8 weeks** of the SAI being reported for all Level 1 SAIs whether learning has been identified or not. The Checklist for Engagement/Communication with Service User/Family/Carer following a SAI' must also accompany the Learning Summary Report.

If the outcome of the SEA determines the SAI is more complex and requires a more detailed review, timescales for completion of the RCA will be indicated by Trusts via the Learning Summary Report to the HSCB.

#### LEVEL 2 – RCA

For those SAIs where a full RCA is instigated immediately, sections 2 and 3 of the RCA Report, outlining TOR and membership of the review team, must be submitted **no later than within 4 weeks** of the SAI being notified to the HSCB.

RCA review reports must be fully completed using the RCA report template and submitted together with comprehensive action plans for each recommendation identified to the HSCB **12 weeks** following the date the incident was notified. (see Appendix 6 – Level 2 & 3 RCA Review Reports and Appendix 8 – Guidance on Minimum Standards for Action Plans).

### LEVEL 3 – INDEPENDENT REVIEWS

Timescales for completion of Level 3 reviews and comprehensive action plans for each recommendation identified will be agreed between the reporting organisation and the HSCB/PHA DRO as soon as it is determined that the SAI requires a Level 3 review.

**Note: Checklist for Engagement/Communication with Service User/Family/Carer following a SAI must accompany all SAI Review/Learning Summary Reports which are included within the report templates.**

## 6.3 Exceptions to Timescales

In most circumstances, all timescales for submission of reports **must be** adhered to. However, it is acknowledged, by exception, there may be occasions where a review is particularly complex, perhaps involving two or more organisations or where other external organisations such as PSNI, HSENI etc.; are involved in the same review. In these instances the reporting organisation must provide the HSCB with regular updates.

## 6.4 Responding to additional information requests

Once the review / learning summary report has been received, the DRO, with appropriate clinical or other support, will review the report to ensure that the necessary documentation relevant to the level of review is adequate.

If the DRO is not satisfied with the information provided additional information may be requested and must be provided in a timely manner. Requests for additional information should be provided as follows:

- Level 1 review within **2 week**
- Level 2 or 3 review within **6 weeks**

## 7.0 OTHER INVESTIGATIVE/REVIEW PROCESSES

The reporting of SAIs to the HSCB will work in conjunction with all other HSC investigation/review processes, statutory agencies and external bodies. In that regard, all existing reporting arrangements, where there are statutory or mandatory reporting obligations, will continue to operate in tandem with this procedure.

In that regard, there may be occasions when a reporting organisation will have reported an incident via another process before or after it has been reported as a SAI.

## **7.1 Complaints in the HSC**

Complaints in HSC Standards and Guidelines for Resolution and Learning (The Guidance) outlines how HSC organisations should deal with complaints raised by persons who use/have used, or are waiting to use HSC services. While it is a separate process to the management and follow-up of SAIs, there will be occasions when an SAI has been reported by a HSC organisation, and subsequently a complaint is received relating to the same incident or issues, or alternatively, a complaint may generate the reporting of an SAI.

In these instances, the relevant HSC organisation must be clear as to how the issues of complaint will be investigated. For example, there may be elements of the complaint that will be solely reliant on the outcome of the SAI review and there may be aspects of the complaint which will not be part of the SAI review and can only be investigated under the Complaints Procedure.

It is therefore important that complaints handling staff and staff who deal with SAIs communicate effectively and regularly when a complaint is linked to a SAI review. This will ensure that all aspects of the complaint are responded to effectively, via the most appropriate means and in a timely manner. Fundamental to this, will obviously be the need for the organisation investigating the complaint to communicate effectively with the complainant in respect of how their complaint will be investigated, and when and how they can expect to receive a response from the HSC organisation.

## **7.2 HSCB Social Care Untoward Events Procedure**

The above procedure provides guidance on the reporting of incidents relating to statutory functions under the Children (NI) Order 1995.

If, during the review of an incident reported under the HSCB Untoward Events procedure, it becomes apparent the incident meets the criteria of a SAI, the incident should immediately be notified to the HSCB as a SAI. Board officers within the HSCB will close the Untoward Events incident and the incident will continue to be managed via the SAI process.

## **7.3 Child and Adult Safeguarding**

Any incident involving the suspicion or allegation that a child or adult is at risk of abuse, exploitation or neglect should be investigated under the procedures set down in relation to a child and adult protection.

If during the review of one of these incidents it becomes apparent that the incident meets the criteria for an SAI, the incident will immediately be notified to the HSCB as an SAI.

It should be noted that, where possible, safeguarding investigations will run in parallel as separate to the SAI process with the relevant findings from these investigations/reviews informing the SAI review (see appendix 17).

On occasion the incident under review may be considered so serious as to meet the criteria for a Case Management Review (CMR) for children, set by the Safeguarding Board for Northern Ireland; a Serious Case Review (SCR) for adults set by the Northern Ireland Adult Safeguarding Partnership; or a Domestic Homicide Review.

In these circumstances, the incident will be notified to the HSCB as an SAI. This notification will indicate that a CMR, SCR or Domestic Homicide Review is underway. This information will be recorded on the Datix system, and the SAI will be closed.

## 7.4 Reporting of Falls

Reporting organisations will no longer be required to routinely report falls as SAIs which have resulted in harm in all Trust facilities, (as defined in the impact levels 3 – 5 of the regional risk matrix - see appendix 16). Instead a new process has been developed with phased implementation, which requires HSC Trusts to do a timely post fall review debrief to ensure local application of learning. See links below to Shared Learning Form and Minimum Data Set for Post Falls Review:

[http://intranet.hscb.hscni.net/documents/Governance/Information%20for%20DROs/033%20Falls\\_Shared%20Learning%20Template\\_%20V2\\_June%202016.rtf](http://intranet.hscb.hscni.net/documents/Governance/Information%20for%20DROs/033%20Falls_Shared%20Learning%20Template_%20V2_June%202016.rtf)

[http://intranet.hscb.hscni.net/documents/Governance/Information%20for%20DROs/032%20Regional%20Falls%20Minimum%20Dataset%202016\\_V2\\_June%202016.pdf](http://intranet.hscb.hscni.net/documents/Governance/Information%20for%20DROs/032%20Regional%20Falls%20Minimum%20Dataset%202016_V2_June%202016.pdf)

Local learning will be shared with the Regional Falls Group where trends and themes will be identified to ensure regional learning.

Reporting organisations will therefore manage falls resulting in moderate to severe harm as adverse incidents, unless there are particular issues or the subsequent internal review identifies contributory issues/concerns in treatment and/or care or service issues, or any identified learning that needs to be reviewed through the serious adverse incident process.

## 7.5 Transferring SAIs to other Investigatory Processes

Following notification and initial review of a SAI, more information may emerge that determines the need for a specialist investigation.

This type of investigation includes:

- Case Management Reviews
- Serious Case Reviews

Once a DRO has been informed a SAI has transferred to one of the above investigation s/he will close the SAI.

## 7.6 De-escalating a SAI

It is recognised that organisations report SAIs based on limited information and the situation may change when more information has been gathered; which may result in the incident no longer meeting the SAI criteria.

Where a reporting organisation has determined the incident reported no longer meets the criteria of a SAI, a request to de-escalate the SAI should be submitted immediately to the HSCB by completing section 21 of the SAI notification form (Additional Information following initial Notification).

The DRO will review the request to de-escalate and will inform the reporting organisation and RQIA (where relevant) of the decision as soon as possible and at least within **10 working days** from the request was submitted.

If the DRO agrees, the SAI will be de-escalated and no further SAI review will be required. The reporting organisation may however continue to review as an adverse incident or in line with other HSC investigation/review processes (as highlighted above). If the DRO makes a decision that the SAI should not be de-escalated the review report should be submitted in line with previous timescales.

It is important to protect the integrity of the SAI review process from situations where there is the probability of disciplinary action, or criminal charges. The SAI review team must be aware of the clear distinction between the aims and boundaries of SAI reviews, which are solely for the identification and reporting learning points, compared with disciplinary, regulatory or criminal processes.

HSC organisations have a duty to secure the safety and well-being of patients/service users, the review to determine root causes and learning points should still be progressed **in parallel** with other reviews/investigations, ensuring remedial actions are put in place as necessary and to reduce the likelihood of recurrence.

## 8.0 LEARNING FROM SAIs

The key aim of this procedure is to improve services and reduce the risk of incident recurrence, both within the reporting organisation and across the HSC as a whole. The dissemination of learning following a SAI is therefore core to achieving this and to ensure shared lessons are embedded in practice and the safety and quality of care provided.

HSCB in conjunction with the PHA will:

- ensure that themes and learning from SAIs are identified and disseminated for implementation in a timely manner; this may be done via:
  - o learning letters / reminder of best practice letters;
  - o learning newsletter;
  - o thematic reviews.

- provide an assurance mechanism that learning from SAIs has been disseminated and appropriate action taken by all relevant organisations;
- review and consider learning from external/independent reports relating to quality/safety.

It is acknowledged HSC organisations will already have in place mechanisms for cascading local learning from adverse incidents and SAIs internally within their own organisations. The management of dissemination and associated assurance of any regional learning is the responsibility of the HSCB/PHA.

## **9.0 TRAINING AND SUPPORT**

### **9.1 Training**

Training will be provided to ensure that those involved in SAI reviews have the correct knowledge and skills to carry out their role, i.e:

- Chair and/or member of an SAI review team
- HSCB/PHA DRO.

This will be achieved through an educational process in collaboration with all organisations involved, and will include training on review processes, policy distribution and communication updates.

### **9.2 Support**

#### **9.2.1 Laypersons**

The panel of lay persons, (already involved in the HSC Complaints Procedure), have availed of relevant SAI training including Root Cause Analysis. They are now available to be called upon to be a member of a SAI review team; particularly when a degree of independence to the team is required.

Profiles and relevant contact details for all available laypersons can be obtained by contacting [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)

#### **9.2.2 Clinical/Professional Advice**

If a DRO requires a particular clinical view on the SAI review, the HSCB Governance Team will secure that input, under the direction of the DRO.

## **10.0 INFORMATION GOVERNANCE**

The SAI process deals with a considerable amount of sensitive personal information. Appropriate measures must be put in place to ensure the safe and secure transfer of this information. All reporting organisations should adhere to their own Information Governance Policies and Procedures. However, as a minimum the HSCB would recommend the following measures be adopted when

transferring patient/client identifiable information via e-mail or by standard hard copy mail:

- E-Mail - At present there is not a requirement to apply encryption to sensitive information transferred across the HSC network to other HSC organisations within Northern Ireland. Information transferred between the HSCB, Trusts and Northern Ireland Department of Health is not sent across the internet. If you are transferring information to any address that does not end in one of those listed below, it is essential that electronic measures to secure the data in transit, are employed, and it is advised that encryption is therefore applied at all times to transfers of sensitive / personal information.

List of email addresses **within the Northern Ireland secure network:**

'hscni.net',

'n-i.nhs.uk'

'ni.gov.uk' or

'ni.gov.net'

**No sensitive or patient/service user data** must be emailed to an address other than those listed above unless they have been protected by encryption mechanisms that have been approved by the BSO-ITS.

Further advice on employing encryption software can be sought from the BSO ICT Security Team.

**Note:** Although there is a degree of protection afforded to email traffic that contains sensitive information when transmitting within the Northern Ireland HSC network it is important that the information is sent to the correct recipient. With the amalgamation of many email systems, the chances of a name being the same or similar to the intended recipient has increased. It is therefore recommended that the following simple mechanism is employed when transmitting information to a new contact or to an officer you haven't emailed previously.

- Step 1** Contact the recipient and ask for their email address.
- Step 2** Send a test email to the address provided to ensure that you have inserted the correct email address.
- Step 3** Ask the recipient on receiving the test email to reply confirming receipt.
- Step 4** Attach the information to be sent with a subject line 'Private and Confidential, Addressee Only' to the confirmation receipt email and send.

- Standard Mail – It is recommended that any mail which is deemed valuable, confidential or sensitive in nature (such as patient/service user level information) should be sent using 'Special Delivery' Mail.

Further guidance is available from the HSCB Information Governance Team on:

Tel [REDACTED]



## 11.0 ROLE OF DESIGNATED REVIEW OFFICER (DRO)

A DRO is a senior professional/officer within the HSCB / PHA and has a key role in the implementation of the SAI process namely:

- liaising with reporting organisations:
  - o on any immediate action to be taken following notification of a SAI
  - o where a DRO believes the SAI review is not being undertaken at the appropriate level
- agreeing the Terms of Reference for Level 2 and 3 RCA reviews;
- reviewing completed SEA Learning Summary Reports for Level 1 SEA Reviews and full RCA reports for level 2 and 3 RCA Reviews; liaising with other professionals (where relevant);
- liaising with reporting organisations where there may be concerns regarding the robustness of the level 2 and 3 RCA reviews and providing assurance that an associated action plan has been developed and implemented;
- identification of regional learning, where relevant;
- surveillance of SAIs to identify patterns/clusters/trends.

Whilst the HSCB will not routinely receive Level 1 SEA reports these can be requested, on occasion, by a DRO.

An internal HSCB/PHA protocol provides further guidance for DROs regarding the nomination and role of a DRO.

## 12.0 PROCESS

### 12.1 Reporting Serious Adverse Incidents

Any adverse incident that meets the criteria of a SAI as indicated in section 4.2 should be reported within 72 hours of the incident being discovered using the SAI Notification Form (Appendix 1) and forwarded to [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)

HSC Trusts to copy RQIA at [seriousincidents@rqia.org.uk](mailto:seriousincidents@rqia.org.uk) in line with notifications relevant to the functions, powers and duties of RQIA as detailed in section 3.6 of this procedure.

Any SAI reported by FPS or ICVS must be reported in line with 3.2 and 3.3 of this procedure.

Reporting managers must comply with the principles of confidentiality when reporting SAIs and must not refer to service users or staff by name or by any other identifiable information. A unique Incident Reference/Number should be utilised on all forms/reports and associated

correspondence submitted to the HSCB and this should NOT be the patients H &C Number or their initials. (See section 10 – Information Governance)

## 12.2 Never Events

Never Events are SAIs that are wholly preventable, as guidance or safety recommendations that provide strong systemic protective barriers are already available at a national level and should have been implemented by all health care providers.

Each Never Event type has the potential to cause serious patient harm or death. However, serious harm or death is not required to have happened as a result of a specific incident occurrence for that incident to be categorised as a Never Event.

It is important, in the spirit of honesty and openness, that when staff are engaging with Service Users, Families, Carers as part of the SAI process, that in addition to advising an individual of the SAI, they should also be told if the SAI is a Never Event. However it will be for HSC organisations to determine when to communicate this information to Service Users, Families, Carers.

All categories included in the current NHS Never Events list (see associated DoH link below) should now be identified to the HSCB when notifying a SAI.

A separate section within the SAI notification form is to be completed to specify if the SAI is listed on the Never Events list. The SAI will continue to be reviewed in line with the current SAI procedure.

<https://www.health-ni.gov.uk/topics/safety-and-quality-standards/safety-and-quality-standards-circulars>

## 12.3 Reporting Interface Incidents

In line with section 3.4 of this procedure, any organisation alerted to an incident which it feels has the potential to be a SAI should report the incident to the HSCB using the Interface Incident Notification form (Appendix 3) to [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net).

An organisation who has been contacted by the HSCB Governance Team re: an interface incident being reported; will consider the incident in line with section 4.2 of the procedure, and if deemed it meets the criteria of a SAI, will report to the HSCB in line with 12.1 of this procedure.

## 12.4 Acknowledging SAI Notification

On receipt of the SAI notification the HSCB Governance Team will record the SAI on the DATIX risk management system and electronically acknowledge receipt of SAI notification to reporting organisation; advising

of the HSCB/PHA DRO, HSCB unique identification number, and requesting the completion of:

- SEA Learning Summary Report for Level 1 SAIs within 8 weeks from the date the incident is reported;
- RCA Report for Level 2 SAIs within 12 weeks from the date the incident is reported;
- RCA Report for Level 3 SAIs within the timescale as agreed at the outset by the DRO;

Where relevant, RQIA will be copied into this receipt.

## 12.5 Designated Review Officer (DRO)

Following receipt of a SAI the Governance Team will circulate the SAI Notification Form to the relevant Lead Officers within the HSCB/PHA to assign a DRO.

Once assigned the DRO will consider the SAI notification and if necessary, will contact the reporting organisation to confirm all immediate actions following the incident have been implemented.

## 12.6 Review/Learning Summary Reports

*Note: Appendices 5 and 7 provide guidance notes to assist in the completion of Level 1, 2 & 3 review reports.*

Timescales for submission of review/learning summary reports and associated engagement checklists will be in line with section 6.0 of this procedure.

On receipt of a review/learning summary report, the Governance Team will forward to the relevant DRO and where relevant RQIA.

The DRO will consider the adequacy of the review/learning summary report and liaise with relevant professionals/officers including RQIA (*where relevant*) to ensure that the reporting organisation has taken reasonable action to reduce the risk of recurrence and determine if the SAI can be closed. The DRO will also consider the referral of any learning identified for regional dissemination. In some instances the DRO may require further clarification and may also request sight of the full SEA review report.

If the DRO is not satisfied that a report reflects a robust and timely review s/he will continue to liaise with the reporting organisation and/or other professionals /officers, including RQIA (*where relevant*) until a satisfactory response is received. When the DRO has received all relevant and necessary information the timescale for closure of the SAI will be within 12 weeks, unless in exceptional circumstances which will have been agreed between the Reporting Organisation and the DRO.

## 12.7 Closure of SAI

Following agreement to close a SAI, the Governance Team will submit an email to the reporting organisation to advise the SAI has been closed, copied to RQIA (where relevant). The email will also indicate, if further information is made available to the reporting organisation (for example, Coroners Reports), which impacts on the outcome of the initial review, that it should be communicated to the HSCB/PHA DRO via the serious incidents mailbox.

This will indicate that based on the review / learning summary report received and any other information provided that the DRO is satisfied to close the SAI. It will acknowledge that any recommendations and further actions required will be monitored through the reporting organisation's internal governance arrangements in order to reassure the public that lessons learned, where appropriate have been embedded in practice.

On occasion and in particular when dealing with level 2 and 3 SAIs, a DRO may close a SAI but request the reporting organisation provides an additional assurance mechanism by advising within a stipulated period of time, that action following a SAI has been implemented. In these instances, monitoring will be followed up via the Governance team.

## 12.8 Regional Learning from SAIs

It is acknowledged HSC organisations will already have in place mechanisms for cascading local learning from adverse incidents and SAIs internally within their own organisations. However, the management of regional learning and associated assurance is the responsibility of the HSCB/PHA.

Therefore, where regional learning is identified following the review of an SAI, the DRO will refer this for consideration via HSCB/PHA Quality and Safety Structures and where relevant, will be disseminated as outlined in section 8.0.

## 12.9 Communication

All communication between HSCB/PHA and reporting organisation must be conveyed between the HSCB Governance department and Governance departments in respective reporting organisations. This will ensure all communication both written and verbal relating to the SAI, is recorded on the HSCB DATIX risk management system.

## **13 EQUALITY**

This procedure has been screened for equality implications as required by Section 75 and Schedule 9 of the Northern Ireland Act 1998. Equality Commission guidance states that the purpose of screening is to identify those policies which are likely to have a significant impact on equality of opportunity so that greatest resources can be devoted to these.

Using the Equality Commission's screening criteria, no significant equality implications have been identified. The procedure will therefore not be subject to equality impact assessment.

Similarly, this procedure has been considered under the terms of the Human Rights Act 1998 and was deemed compatible with the European Convention Rights contained in the Act.

**SECTION TWO APPENDICES**

**APPENDICES**

**APPENDIX 1**  
**Revised November 2016 (Version 1.1)**

<b>SERIOUS ADVERSE INCIDENT NOTIFICATION FORM</b>			
1. ORGANISATION:		2. UNIQUE INCIDENT IDENTIFICATION NO. / REFERENCE	
3. HOSPITAL / FACILITY / COMMUNITY LOCATION <i>(where incident occurred)</i>		4. DATE OF INCIDENT: DD / MM / YYYY	
5. DEPARTMENT / WARD / LOCATION EXACT <i>(where incident occurred)</i>			
6. CONTACT PERSON:		7. PROGRAMME OF CARE: <i>(refer to Guidance Notes)</i>	
8. DESCRIPTION OF INCIDENT:			
DOB: DD / MM / YYYY <i>(complete where relevant)</i>		GENDER: M / F	AGE: years
9. IS THIS INCIDENT A NEVER EVENT?		If 'YES' provide further detail on which never event - refer to DoH link below <a href="https://www.health-ni.gov.uk/topics/safety-and-quality-standards/safety-and-quality-standards-circulars">https://www.health-ni.gov.uk/topics/safety-and-quality-standards/safety-and-quality-standards-circulars</a>	
YES		NO	
DATIX COMMON CLASSIFICATION SYSTEM (CCS) CODING			
STAGE OF CARE: <i>(refer to Guidance Notes)</i>		DETAIL: <i>(refer to Guidance Notes)</i>	ADVERSE EVENT: <i>(refer to Guidance Notes)</i>
10. IMMEDIATE ACTION TAKEN TO PREVENT RECURRENCE:			
11. CURRENT CONDITION OF SERVICE USER: <i>(complete where relevant)</i>			
12. HAS ANY MEMBER OF STAFF BEEN SUSPENDED FROM DUTIES? <i>(please select)</i>			YES    NO    N/A
13. HAVE ALL RECORDS / MEDICAL DEVICES / EQUIPMENT BEEN SECURED? <i>(please specify where relevant)</i>			YES    NO    N/A
14. WHY IS THIS INCIDENT CONSIDERED SERIOUS?: <i>(please select relevant criteria below)</i>			
serious injury to, or the unexpected/unexplained death of:			
- a service user (including a Looked After Child or a child whose name is on the Child Protection Register and those events which should be reviewed through a significant event audit)			
- a staff member in the course of their work			
- a member of the public whilst visiting a HSC facility.			
unexpected serious risk to a service user and/or staff member and/or member of the public			
unexpected or significant threat to provide service and/or maintain business continuity			
serious self-harm or serious assault <i>(including attempted suicide, homicide and sexual assaults)</i> by a service user, a member of staff or a member of the public within any healthcare facility providing a commissioned service			
serious self-harm or serious assault <i>(including homicide and sexual assaults)</i>			
- on other service users,			
- on staff or			
- on members of the public			
by a service user in the community who has a mental illness or disorder <i>(as defined within the Mental Health (NI) Order 1986)</i> and/or known to/referred to mental health and related services <i>(including CAMHS, psychiatry of old age or leaving and aftercare services)</i> and/or learning disability services, in the 12 months prior to the			

## SERIOUS ADVERSE INCIDENT NOTIFICATION FORM

incident			
suspected suicide of a service user who has a mental illness or disorder ( <i>as defined within the Mental Health (NI) Order 1986</i> ) and/or known to/referred to mental health and related services ( <i>including CAMHS, psychiatry of old age or leaving and aftercare services</i> ) and/or learning disability services, in the 12 months prior to the incident			
serious incidents of public interest or concern relating to: <ul style="list-style-type: none"> <li>- any of the criteria above</li> <li>- theft, fraud, information breaches or data losses</li> <li>- a member of HSC staff or independent practitioner</li> </ul>			
<b>15. IS ANY IMMEDIATE REGIONAL ACTION RECOMMENDED:</b> ( <i>please select</i> )			YES
			NO
<i>if 'YES' (full details should be submitted):</i>			
<b>16. HAS THE SERVICE USER / FAMILY BEEN ADVISED THE INCIDENT IS BEING REVIEWED AS A SAI?</b>		YES	DATE INFORMED: DD/MM/YY
		NO	<i>specify reason:</i>
<b>17. HAS ANY PROFESSIONAL OR REGULATORY BODY BEEN NOTIFIED?</b> ( <i>refer to guidance notes e.g. GMC, GDC, PSNI, NISCC, LMC, NMC, HCPC etc.</i> ) <i>please specify where relevant</i>			YES
			NO
<i>if 'YES' (full details should be submitted including the date notified):</i>			
<b>18. OTHER ORGANISATION/PERSONS INFORMED:</b> ( <i>please select</i> )		DATE INFORMED:	OTHERS: ( <i>please specify where relevant, including date notified</i> )
DoH EARLY ALERT			
HM CORONER			
INFORMATION COMMISSIONER OFFICE (ICO)			
NORTHERN IRELAND ADVERSE INCIDENT CENTRE (NIAIC)			
HEALTH AND SAFETY EXECUTIVE NORTHERN IRELAND (HSENI)			
POLICE SERVICE FOR NORTHERN IRELAND (PSNI)			
REGULATION QUALITY IMPROVEMENT AUTHORITY (RQIA)			
SAFEGUARDING BOARD FOR NORTHERN IRELAND (SBNI)			
NORTHERN IRELAND ADULT SAFEGUARDING PARTNERSHIP (NIASP)			
<b>19. LEVEL OF REVIEW REQUIRED:</b> ( <i>please select</i> )		LEVEL 1	LEVEL 2*
			LEVEL 3*
* FOR ALL LEVEL 2 OR LEVEL 3 REVIEWS PLEASE COMPLETE AND SUBMIT SECTIONS 2 AND 3 OF THE RCA REPORT TEMPLATE WITHIN 4 WEEKS OF THIS NOTIFICATION REFER APPENDIX 6			
<b>20.</b> I confirm that the designated Senior Manager and/or Chief Executive has/have been advised of this SAI and is/are content that it should be reported to the Health and Social Care Board / Public Health Agency and Regulation and Quality Improvement Authority. ( <i>delete as appropriate</i> )			
Report submitted by: _____		Designation: _____	
Email: _____		Date: DD / MM / YYYY	
Telephone: _____			
<b>21. ADDITIONAL INFORMATION FOLLOWING INITIAL NOTIFICATION:</b> ( <i>refer to Guidance Notes</i> )			
Additional information submitted by: _____		Designation: _____	
Email: _____		Date: DD / MM / YYYY	
Telephone: _____			

**Completed proforma should be sent to: [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)  
and (where relevant) [seriousincidents@rqia.org.uk](mailto:seriousincidents@rqia.org.uk)**



## Guidance Notes

## SERIOUS ADVERSE INCIDENT NOTIFICATION FORM

The following guidance designed to help you to complete the Serious Adverse Incident Report Form effectively and to minimise the need for the HSCB to seek additional information about the circumstances surrounding the SAI. This guidance should be considered each time a report is submitted.

<b>1. ORGANISATION:</b> <i>Insert the details of the reporting organisation (HSC Organisation /Trust or Family Practitioner Service)</i>	<b>2. UNIQUE INCIDENT IDENTIFICATION NO. / REFERENCE</b> <i>Insert the unique incident number / reference generated by the reporting organisation.</i>
<b>3. HOSPITAL / FACILITY / COMMUNITY LOCATION</b> <i>(where incident occurred) Insert the details of the hospital/facility/specialty/department/ directorate/place where the incident occurred</i>	<b>4. DATE OF INCIDENT: DD / MM / YYYY</b>  <i>Insert the date incident occurred</i>
<b>5. DEPARTMENT / WARD / LOCATION EXACT</b> <i>(where incident occurred)</i>	
<b>6. CONTACT PERSON:</b> <i>Insert the name of lead officer to be contacted should the HSCB or PHA need to seek further information about the incident</i>	<b>7. PROGRAMME OF CARE:</b> <i>Insert the Programme of Care from the following: Acute Services/ Maternity and Child Health / Family and Childcare / Elderly Services / Mental Health / Learning Disability / Physical Disability and Sensory Impairment / Primary Health and Adult Community (includes GP's) / Corporate Business(Other)</i>
<b>8. DESCRIPTION OF INCIDENT:</b> <i>Provide a <b>brief factual description</b> of what has happened and a summary of the events leading up to the incident. <b><u>PLEASE ENSURE SUFFICIENT INFORMATION IS PROVIDED SO THAT THE HSCB/ PHA ARE ABLE TO COME TO AN OPINION ON THE IMMEDIATE ACTIONS, IF ANY, THAT THEY MUST TAKE.</u></b> Where relevant include D.O.B, Gender and Age. <b><u>All reports should be anonymised</u></b> – the names of any practitioners or staff involved must <b>not</b> be included. Staff should only be referred to by job title.</i>  <i>In addition include the following:</i>  <b>Secondary Care</b> – recent service history; contributory factors to the incident; last point of contact (ward / specialty); early analysis of outcome.  <b>Children</b> – when reporting a child death indicate if the Regional Safeguarding Board has been advised.  <b>Mental Health</b> - when reporting a serious injury to, or the unexpected/unexplained death (including suspected suicide, attempted suicide in an in-patient setting or serious self-harm of a service user who has been known to Mental Health, Learning Disability or Child and Adolescent Mental Health within the last year) include the following details: the most recent HSC service context; the last point of contact with HSC services or their discharge into the community arrangements; whether there was a history of DNAs, where applicable the details of how the death occurred, if known.  <b>Infection Control</b> - when reporting an outbreak which severely impacts on the ability to provide services, include the following: measures to cohort Service Users; IPC arrangements among all staff and visitors in contact with the infection source; Deep cleaning arrangements and restricted visiting/admissions.  <b>Information Governance</b> –when reporting include the following details whether theft, loss, inappropriate disclosure, procedural failure etc.; the number of data subjects (service users/staff )involved, the number of records involved, the media of records (paper/electronic),whether encrypted or not and the type of record or data involved and sensitivity.  <b>DOB: DD / MM / YYYY</b> <b>GENDER: M / F</b> <b>AGE: years</b> <i>(complete where relevant)</i>	
<b>9. IS THIS INCIDENT A NEVER EVENT?</b> Yes/No <i>(please select)</i>	If 'YES' provide further detail on which never event - refer to DoH link below <a href="https://www.health-ni.gov.uk/topics/safety-and-quality-standards/safety-and-quality-standards-circulars">https://www.health-ni.gov.uk/topics/safety-and-quality-standards/safety-and-quality-standards-circulars</a>

DATIX COMMON CLASSIFICATION SYSTEM (CCS) CODING			
STAGE OF CARE: <i>(refer to Guidance Notes)</i> <i>Insert CCS Stage of Care Code description</i>	DETAIL: <i>(refer to Guidance Notes)</i> <i>Insert CCS Detail Code description</i>	ADVERSE EVENT: <i>(refer to Guidance Notes)</i> <i>Insert CCS Adverse Event Code description</i>	
<b>10. IMMEDIATE ACTION TAKEN TO PREVENT RECURRENCE:</b> <i>Include a summary of what actions, if any, have been taken to address the immediate repercussions of the incident and the actions taken to prevent a recurrence.</i>			
<b>11. CURRENT CONDITION OF SERVICE USER:</b> <i>(complete where relevant)</i> <i>Where relevant please provide details on the current condition of the service user the incident relates to.</i>			
<b>12. HAS ANY MEMBER OF STAFF BEEN SUSPENDED FROM DUTIES?</b> <i>(please select)</i>	YES	NO	N/A
<b>13. HAVE ALL RECORDS / MEDICAL DEVICES / EQUIPMENT BEEN SECURED</b> <i>(please select and specify where relevant)</i>	YES	NO	N/A
<b>14. WHY INCIDENT CONSIDERED SERIOUS:</b> <i>(please select relevant criteria from below )</i>			
serious injury to, or the unexpected/unexplained death of:			
<ul style="list-style-type: none"> <li>- a service user (including a Looked After Child or a child whose name is on the Child Protection Register and those events which should be reviewed through a significant event audit)</li> <li>- a staff member in the course of their work</li> <li>- a member of the public whilst visiting a HSC facility.</li> </ul>			
unexpected serious risk to a service user and/or staff member and/or member of the public			
unexpected or significant threat to provide service and/or maintain business continuity			
serious self-harm or serious assault <i>(including attempted suicide, homicide and sexual assaults)</i> by a service user, a member of staff or a member of the public within any healthcare facility providing a commissioned service			
serious self-harm or serious assault <i>(including homicide and sexual assaults)</i> <ul style="list-style-type: none"> <li>- on other service users,</li> <li>- on staff or</li> <li>- on members of the public</li> </ul> by a service user in the community who has a mental illness or disorder <i>(as defined within the Mental Health (NI) Order 1986)</i> and/or known to/referred to mental health and related services <i>(including CAMHS, psychiatry of old age or leaving and aftercare services)</i> and/or learning disability services, in the 12 months prior to the incident			
suspected suicide of a service user who has a mental illness or disorder <i>(as defined within the Mental Health (NI) Order 1986)</i> and/or known to/referred to mental health and related services <i>(including CAMHS, psychiatry of old age or leaving and aftercare services)</i> and/or learning disability services, in the 12 months prior to the incident			
serious incidents of public interest or concern relating to: <ul style="list-style-type: none"> <li>- any of the criteria above</li> <li>- theft, fraud, information breaches or data losses</li> <li>- a member of HSC staff or independent practitioner</li> </ul>			
<b>15. IS ANY IMMEDIATE REGIONAL ACTION RECOMMENDED:</b> <i>(please select)</i>			YES NO
<i>if 'YES' (full details should be submitted):</i>			
<b>16. HAS THE SERVICE USER / FAMILY BEEN ADVISED THE INCIDENT IS BEING REVIEWED AS A SAI?</b> <i>(please select)</i>	YES	DATE INFORMED: DD/MM/YY <i>Insert the date informed</i>	
	NO	<i>Specify reason:</i>	

<b>17. HAS ANY PROFESSIONAL OR REGULATORY BODY BEEN NOTIFIED?</b> <i>(refer to guidance notes e.g. GMC, GDC, PSNI, NISCC, LMC, NMC, HCPC etc.) please specify where relevant</i>	YES	NO	
if 'YES' (full details should be submitted including the date notified):			
GENERAL MEDICAL COUNCIL ( <b>GMC</b> ) GENERAL DENTAL COUNCIL ( <b>GDC</b> ) PHARMACEUTICAL SOCIETY NORTHERN IRELAND ( <b>PSNI</b> ) NORTHERN IRELAND SOCIAL CARE COUNCIL ( <b>NISCC</b> ) LOCAL MEDICAL COMMITTEE ( <b>LMC</b> ) NURSING AND MIDWIFERY COUNCIL ( <b>NMC</b> ) HEALTH CARE PROFESSIONAL COUNCIL ( <b>HCPC</b> ) REGULATION AND QUALITY IMPROVEMENT AUTHORITY ( <b>RQIA</b> ) SAFEGUARDING BOARD FOR NORTHERN IRELAND ( <b>SBNI</b> )			
OTHER – PLEASE SPECIFY BELOW			
<b>18. OTHER ORGANISATION/PERSONS INFORMED:</b> <i>(please select)</i> DoH EARLY ALERT HM CORONER INFORMATION COMMISSIONER OFFICE (ICO) NORTHERN IRELAND ADVERSE INCIDENT CENTRE (NIAIC) HEALTH AND SAFETY EXECUTIVE NORTHERN IRELAND (HSENI) POLICE SERVICE FOR NORTHERN IRELAND (PSNI) REGULATION QUALITY IMPROVEMENT AUTHORITY (RQIA) SAFEGUARDING BOARD FOR NORTHERN IRELAND (SBNI) NORTHERN IRELAND ADULT SAFEGUARDING PARTNERSHIP (NIASP)	DATE INFORMED:	OTHERS: <i>(please specify where relevant, including date notified)</i>	
<b>19. LEVEL OF REVIEW REQUIRED:</b> <i>(please select)</i>	LEVEL 1	LEVEL 2*	LEVEL 3*
* FOR ALL LEVEL 2 OR LEVEL 3 REVIEWS PLEASE COMPLETE AND SUBMIT SECTIONS 2 AND 3 OF THE RCA REPORT TEMPLATE WITHIN 4 WEEKS OF THIS NOTIFICATION REFER APPENDIX 6			
<b>20.</b> I confirm that the designated Senior Manager and/or Chief Executive has/have been advised of this SAI and is/are content that it should be reported to the Health and Social Care Board / Public Health Agency and Regulation and Quality Improvement Authority. <i>(delete as appropriate)</i>  Report submitted by: _____ Designation: _____  Email: _____ Telephone: _____ Date: DD / MM / YYYY			
<b>21. ADDITIONAL INFORMATION FOLLOWING INITIAL NOTIFICATION:</b>  <i>Use this section to provide updated information when the situation changes e.g. the situation deteriorates; the level of media interest changes</i>  <i>The HSCB and PHA recognises that organisations report SAIs based on limited information, which on further review may not meet the criteria of a SAI. Use this section to request that a SAI be de-escalated and send to <a href="mailto:seriousincidents@hscni.net">seriousincidents@hscni.net</a> with the unique incident identification number/reference in the subject line. When a request for de-escalation is made the reporting organisation must include information on why the incident does not warrant further review under the SAI process.</i>  <i>The HSCB/PHA DRO will review the de-escalation request and inform the reporting organisation of its decision within 5 working days. The HSCB / PHA may take the decision to close the SAI without a report rather than de-escalate it. The HSCB / PHA may decide that the SAI should not be de-escalated and a full review report is required.</i>  PLEASE NOTE PROGRESS IN RELATION TO TIMELINESS OF COMPLETED REVIEW REPORTS WILL BE REGULARLY REPORTED TO THE HSCB/PHA REGIONALGROUP. THEY WILL BE MONITORED ACCORDING TO AGREED TIMESCALES. IT IS IMPORTANT TO KEEP THE HSCB INFORMED OF PROGRESS TO ENSURE THAT MONITORING INFORMATION IS ACCURATE AND BREECHEs ARE NOT REPORTED WHERE AN EXTENDED TIME SCALE HAS BEEN AGREED.  Additional information submitted by: _____ Designation: _____  Email: _____ Telephone: _____ Date: DD / MM / YYYY			

**Completed proforma should be sent to: [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)  
 and (where relevant) [seriousincidents@rqia.org.uk](mailto:seriousincidents@rqia.org.uk)**

**APPENDIX 3**  
Revised November 2016 (Version 1.1)

<b>HSC INTERFACE INCIDENT NOTIFICATION FORM</b>		
<b>1. REPORTING ORGANISATION:</b>	<b>2. DATE OF INCIDENT: DD / MM / YYYY</b>	
<b>3. CONTACT PERSON AND TEL NO:</b>	<b>4. UNIQUE REFERENCE NUMBER:</b>	
<b>5. DESCRIPTION OF INCIDENT:</b>		
<div style="display: flex; justify-content: space-between;"> <span><b>DOB: DD / MM / YYYY</b> <i>(complete where relevant)</i></span> <span><b>GENDER: M / F</b></span> <span><b>AGE: years</b></span> </div>		
<b>6. ARE OTHER PROVIDERS INVOLVED?</b> <i>(e.g. HSC TRUSTS / FPS / OOH / ISP / VOLUNTARY / COMMUNITY ORG'S)</i>	<b>YES</b>	<b>NO</b>
<i>if 'YES' (full details should be submitted in section 7 below)</i>		
<b>7. PROVIDE DETAIL ON ISSUES/AREAS OF CONCERN:</b>		
<b>8. IMMEDIATE ACTION TAKEN BY REPORTING ORGANISATION:</b>		
<b>9. WHICH ORGANISATION/PROVIDER (FROM THOSE LISTED IN SECTIONS 6 AND 7 ABOVE) SHOULD TAKE THE LEAD RESPONSIBILITY FOR THE REVIEW AND FOLLOW UP OF THIS INCIDENT?</b>		
<b>10. OTHER COMMENTS:</b>		
<div style="display: flex; justify-content: space-between;"> <span><b>REPORT SUBMITTED BY:</b> _____</span> <span><b>DESIGNATION:</b> _____</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span><b>Email:</b> _____</span> <span><b>Telephone:</b> _____</span> <span><b>Date: DD / MM / YYYY</b></span> </div>		

Completed proforma should be sent to: [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)

**APPENDIX 4**

Revised November 2016 (Version 1.1)

**LEVEL 1 – SIGNIFICANT EVENT AUDIT INCLUDING LEARNING SUMMARY REPORT AND SERVICE USER/FAMILY/CARER ENGAGEMENT CHECKLIST**

**SECTION 1**

1. ORGANISATION:	2. UNIQUE INCIDENT IDENTIFICATION NO. / REFERENCE:
3. HSCB UNIQUE IDENTIFICATION NO. / REFERENCE:	4. DATE OF INCIDENT/EVENT: DD / MM / YYYY
5. PLEASE INDICATE IF THIS SAI IS INTERFACE RELATED WITH OTHER EXTERNAL ORGANISATIONS: YES / NO <i>Please select as appropriate</i>	6. IF 'YES' TO 5. PLEASE PROVIDE DETAILS:
7. DATE OF SEA MEETING / INCIDENT DEBRIEF: DD / MM / YYYY	
8. SUMMARY OF EVENT:	

**SECTION 2**

9. SEA FACILITATOR / LEAD OFFICER:

10. TEAM MEMBERS PRESENT:

11. SERVICE USER DETAILS:  
*Complete where applicable*

12. WHAT HAPPENED?

13. WHY DID IT HAPPEN?

**SECTION 3 - LEARNING SUMMARY**

14. WHAT HAS BEEN LEARNED:

15. WHAT HAS BEEN CHANGED or WHAT WILL CHANGE?

16. RECOMMENDATIONS (please state by whom and timescale)

17. INDICATE ANY PROPOSED TRANSFERRABLE REGIONAL LEARNING POINTS FOR CONSIDERATION BY HSCB/PHA:

18. FURTHER REVIEW REQUIRED? YES / NO  
Please select as appropriate

If 'YES' complete SECTIONS 4, 5 and 6. If 'NO' complete SECTION 5 and 6.

**SECTION 4 (COMPLETE THIS SECTION ONLY WHERE A FURTHER REVIEW IS REQUIRED)**

19. PLEASE INDICATE LEVEL OF REVIEW:  
LEVEL 2 / LEVEL 3  
Please select as appropriate

20. PROPOSED TIMESCALE FOR COMPLETION:  
DD / MM / YYYY

21. REVIEW TEAM MEMBERSHIP (If known or submit asap):

22. TERMS OF REFERENCE (If known or submit asap):

**SECTION 5**

**APPROVAL BY RELEVANT PROFESSIONAL DIRECTOR AND/OR OPERATIONAL DIRECTOR**

23. NAME:

24. DATE APPROVED:

25. DESIGNATION:

**SECTION 6**

26. DISTRIBUTION LIST:

**Checklist for Engagement / Communication  
with Service User<sup>1</sup>/ Family/ Carer following a Serious Adverse Incident**

Reporting Organisation SAI Ref Number:		HSCB Ref Number:	
---	--	------------------	--

<b>SECTION 1</b>			
<b>INFORMING THE SERVICE USER<sup>1</sup> / FAMILY / CARER</b>			

1) Please indicate if the SAI relates to a single service user, or a number of service users.  Please select as appropriate (✓)	<b>Single Service User</b>		<b>Multiple Service Users*</b>	
	<b>Comment:</b>  <i>*If multiple service users are involved please indicate the number involved</i>			
2) Was the Service User <sup>1</sup> / Family / Carer informed the incident was being reviewed as a SAI?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT INFORMING</b> the Service User / Family / Carer that the incident was being reviewed as a SAI			
	a) No contact or Next of Kin details or Unable to contact			
	b) Not applicable as this SAI is not 'patient/service user' related			
	c) Concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user			
	d) Case involved suspected or actual abuse by family			
	e) Case identified as a result of review exercise			
	f) Case is environmental or infrastructure related with no harm to patient/service user			
	g) Other rationale			
<b>If you selected c), d), e), f) or g) above please provide further details:</b>				
3) Was this SAI also a Never Event? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
4) If <b>YES</b> , was the Service User <sup>1</sup> / Family / Carer informed this was a Never Event?  Please select as appropriate (✓)	<b>YES</b>	If <b>YES</b> , insert <b>date informed</b> : DD/MM.YY		
	<b>NO</b>	If <b>NO</b> , provide details:		
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>				
Content with rationale?	<b>YES</b>		<b>NO</b>	

<b>SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER</b>			
<i>(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)</i>			

5) Has the Final Review report been shared with the Service User <sup>1</sup> / Family / Carer?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert date informed:			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT SHARING</b> the SAI Review Report with Service User / Family / Carer:			
	a) Draft review report has been shared and further engagement planned to share final report			
b) Plan to share final review report at a later date and further engagement planned				



**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**

*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

	c) Report not shared but contents discussed <b>(if you select this option please also complete 'l' below)</b>			
	d) No contact or Next of Kin or Unable to contact			
	e) No response to correspondence			
	f) Withdrew fully from the SAI process			
	g) Participated in SAI process but declined review report			
	<b>(if you select any of the options below please also complete 'l' below)</b>			
	h) concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user <sup>1</sup> family/ carer			
	i) case involved suspected or actual abuse by family			
	j) identified as a result of review exercise			
	k) other rationale			
l) If you have selected c), h), i), j), or k) above please provide further details:				
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>				
<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	

**SECTION 2**

**INFORMING THE CORONERS OFFICE (under section 7 of the Coroners Act (Northern Ireland) 1959)** *(complete this section for all death related SAIs)*

1) Was there a Statutory Duty to notify the Coroner on the circumstances of the death? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please provide details:			
2) If you have selected 'YES' to question 1, has the review report been shared with the Coroner? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date report shared</b> :			
	If <b>NO</b> , please provide details:			
3) 'If you have selected 'YES' to question 1, has the Family / Carer been informed? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
			<b>N/A</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
If <b>NO</b> , please provide details:				

<b>DATE CHECKLIST COMPLETED</b>	
---------------------------------	--

<sup>1</sup> Service User or their nominated representative



SECTION 2	
<p>9. SEA FACILITATOR / LEAD OFFICER:</p> <p><i>Refer to guidance on Level 1 review team membership for significant event analysis – Appendix 10</i></p>	<p>10. TEAM MEMBERS PRESENT:</p> <p><i>NAMES AND DESIGNATIONS</i></p>
<p>11. SERVICE USER DETAILS:</p> <p><b>Complete where applicable</b></p> <p><i>DOB / GENDER / AGE</i></p>	
<p>12. WHAT HAPPENED?</p> <p><i>(Describe in detailed chronological order what actually happened. Consider, for instance, how it happened, where it happened, who was involved and what the impact was on the patient/service user<sup>1</sup>, the team, organisation and/or others).</i></p>	
<p>13. WHY DID IT HAPPEN?</p> <p><i>(Describe the main and underlying reasons contributing to why the event happened. Consider for instance, the professionalism of the team, the lack of a system or failing in a system, the lack of knowledge or the complexity and uncertainty associated with the event)</i></p>	

<sup>1</sup> ensure sensitivity to the needs of the patient/ service user/ carer/ family member is in line with Regional Guidance on Engagement with Service Users, Families and Carers issued February 2015 (Revised November 2016)

**All sections below be submitted to the HSCB**

**SECTION 3 - LEARNING SUMMARY**

14. WHAT HAS BEEN LEARNED: *(Based on the reason established as to why the event happened, outline the learning identified. Demonstrate that reflection and learning have taken place on an individual or team basis and that relevant team members have been involved in the analysis of the event. Consider, for instance: a lack of education and training; the need to follow systems or procedures; the vital importance of team working or effective communication)*

15. WHAT HAS BEEN CHANGED or WHAT WILL CHANGE? *Based on the understanding of why the event happened and the identification of learning, outline the action(s) agreed and implemented, where this is relevant or feasible. Consider, for instance: if a protocol has been amended, updated or introduced; how was this done and who was involved; how will this change be monitored. It is also good practice to attach any documentary evidence of change e.g. a new procedure or protocol.*

*NOTE: Action plans should also be developed and set out how learning will be implemented, with named leads responsible for each action point (Refer to Appendix 7 Minimum Standards for Action Plans).*

*Action plans for this level of review will be retained by the reporting organisation.*

16. RECOMMENDATIONS (please state by whom and timescale) *It should be noted that it is the responsibility of the HSCB/PHA to consider and review all recommendations, of suggested /proposed learning relevant to other organisations, arising from the review of a SAI. In addition, it is the responsibility of the HSCB/PHA to subsequently identify any related learning to be communicated across the HSC and where relevant with other organisations regionally and/or nationally.*

*It is the responsibility of the reporting organisation to communicate to service users, families and carer's that learning identified relevant to other organisations (arising from the review of a SAI) and submitted to the HSCB/PHA, to consider and review, may not on every occasion result in regional learning.*

17. INDICATE ANY PROPOSED TRANSFERRABLE REGIONAL LEARNING POINTS FOR CONSIDERATION BY HSCB/PHA:

*Self- explanatory*

18. FURTHER REVIEW REQUIRED? YES / NO  
*Please select as appropriate*

If 'YES' complete SECTIONS 4, 5 and 6.                      If 'NO' complete SECTION 5 and 6.

**SECTION 4 (COMPLETE THIS SECTION ONLY WHERE A FURTHER REVIEW IS REQUIRED)**

19. PLEASE INDICATE LEVEL OF REVIEW: LEVEL 2 / LEVEL 3 <i>Please select as appropriate</i>	20. PROPOSED TIMESCALE FOR COMPLETION: DD / MM / YYYY
21. REVIEW TEAM MEMBERSHIP (If known or submit ASAP):  <i>Refer to section 2 of appendix 7.</i>	
22. TERMS OF REFERENCE (If known or submit ASAP):  <i>Refer to section 3 of appendix 7.</i>	

**SECTION 5 - (COMPLETE THIS SECTION FOR ALL LEVELS OF REVIEW)**

**APPROVAL BY RELEVANT PROFESSIONAL DIRECTOR AND/OR OPERATIONAL DIRECTOR**

23. NAME: <i>Self- explanatory</i>	24. DATE APPROVED: <i>Self- explanatory</i>
25. DESIGNATION: <i>Self- explanatory</i>	

**SECTION 6**

26. DISTRIBUTION LIST:

*List of the individuals, groups or organisations the final report has been shared with.*

To be submitted to the HSCB

Checklist for Engagement / Communication  
with Service User<sup>1</sup> / Family / Carer following a Serious Adverse Incident

Reporting Organisation SAI Ref Number:		HSCB Ref Number:	
---	--	------------------	--

**SECTION 1**

**INFORMING THE SERVICE USER<sup>1</sup> / FAMILY / CARER**

1) Please indicate if the SAI relates to a single service user, or a number of service users.  Please select as appropriate (✓)	<b>Single Service User</b>		<b>Multiple Service Users*</b>	
	<b>Comment:</b> <i>*If multiple service users are involved please indicate the number involved</i>			
2) Was the Service User <sup>1</sup> / Family / Carer informed the incident was being reviewed as a SAI?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT INFORMING</b> the Service User / Family / Carer that the incident was being reviewed as a SAI			
	a) No contact or Next of Kin details or Unable to contact			
	b) Not applicable as this SAI is not 'patient/service user' related			
	c) Concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user			
	d) Case involved suspected or actual abuse by family			
	e) Case identified as a result of review exercise			
	f) Case is environmental or infrastructure related with no harm to patient/service user			
	g) Other rationale			
<b>If you selected c), d), e), f) or g) above please provide further details:</b>				
3) Was this SAI also a Never Event? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
4) If <b>YES</b> , was the Service User <sup>1</sup> / Family / Carer informed this was a Never Event?  Please select as appropriate (✓)	<b>YES</b>	If <b>YES</b> , insert <b>date informed</b> : DD/MM.YY		
	<b>NO</b>	If <b>NO</b> , provide details:		
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>				
<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**  
*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

5) Has the Final Review report been shared with the Service User <sup>1</sup> / Family / Carer?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert date informed:			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT SHARING</b> the SAI Review Report with Service User / Family / Carer:			

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**  
*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

	a) Draft review report has been shared and further engagement planned to share final report	
	b) Plan to share final review report at a later date and further engagement planned	
	c) Report not shared but contents discussed <b>(if you select this option please also complete 'I' below)</b>	
	d) No contact or Next of Kin or Unable to contact	
	e) No response to correspondence	
	f) Withdrew fully from the SAI process	
	g) Participated in SAI process but declined review report	
	<b>(if you select any of the options below please also complete 'I' below)</b>	
	h) concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user <sup>1</sup> family/ carer	
	i) case involved suspected or actual abuse by family	
	j) identified as a result of review exercise	
	k) other rationale	
l) If you have selected c), h), i), j), or k) above please provide further details:		

**For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))**

<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	
--------------------------------	------------	--	-----------	--

**SECTION 2**

**INFORMING THE CORONERS OFFICE**  
**(under section 7 of the Coroners Act (Northern Ireland) 1959)**  
*(complete this section for all death related SAIs)*

1) Was there a Statutory Duty to notify the Coroner on the circumstances of the death? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please provide details:			
2) If you have selected 'YES' to question 1, has the review report been shared with the Coroner? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date report shared</b> :			
	If <b>NO</b> , please provide details:			
3) 'If you have selected 'YES' to question 1, has the Family / Carer been informed? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
			<b>N/A</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
If <b>NO</b> , please provide details:				

<b>DATE CHECKLIST COMPLETED</b>	
---------------------------------	--

<sup>1</sup> Service User or their nominated representative

Insert organisation Logo

# **Root Cause Analysis report on the review of a Serious Adverse Incident including Service User/Family/Carer Engagement Checklist**

Organisation's Unique Case Identifier:

Date of Incident/Event:

HSCB Unique Case Identifier:

Service User Details: (*complete where relevant*)

D.O.B:                      Gender: (M/F)                      Age: (yrs)

Responsible Lead Officer:

Designation:

Report Author:

Date report signed off:

**1.0 EXECUTIVE SUMMARY**

--

**2.0 THE REVIEW TEAM**

--

**3.0 SAI REVIEW TERMS OF REFERENCE**

--

**4.0 REVIEW METHODOLOGY**

--

**5.0 DESCRIPTION OF INCIDENT/CASE**

--

**6.0 FINDINGS**

--

**7.0 CONCLUSIONS**

--

**8.0 LESSONS LEARNED**

--

**9.0 RECOMMENDATIONS AND ACTION PLANNING**

--

**10.0 DISTRIBUTION LIST**

--



**Checklist for Engagement / Communication  
with Service User<sup>1</sup>/ Family/ Carer following a Serious Adverse Incident**

<b>Reporting Organisation SAI Ref Number:</b>		<b>HSCB Ref Number:</b>	
---	--	-------------------------	--

**SECTION 1**

**INFORMING THE SERVICE USER<sup>1</sup> / FAMILY / CARER**

1) Please indicate if the SAI relates to a single service user, or a number of service users.  Please select as appropriate (✓)	<b>Single Service User</b>		<b>Multiple Service Users*</b>	
	<b>Comment:</b> <i>*If multiple service users are involved please indicate the number involved</i>			
2) Was the Service User <sup>1</sup> / Family / Carer informed the incident was being reviewed as a SAI?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT INFORMING</b> the Service User / Family / Carer that the incident was being reviewed as a SAI			
	a) No contact or Next of Kin details or Unable to contact			
	b) Not applicable as this SAI is not 'patient/service user' related			
	c) Concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user			
	d) Case involved suspected or actual abuse by family			
	e) Case identified as a result of review exercise			
	f) Case is environmental or infrastructure related with no harm to patient/service user			
g) Other rationale				
<b>If you selected c), d), e), f) or g) above please provide further details:</b>				
3) Was this SAI also a Never Event? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
4) If <b>YES</b> , was the Service User <sup>1</sup> / Family / Carer informed this was a Never Event?  Please select as appropriate (✓)	<b>YES</b>	If <b>YES</b> , insert <b>date informed</b> : DD/MM.YY		
	<b>NO</b>	If <b>NO</b> , provide details:		
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>				
<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**  
*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

5) Has the Final Review report been shared with the Service User <sup>1</sup> / Family / Carer?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert date informed:			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT SHARING</b> the SAI Review Report with Service User / Family / Carer:			
	a) Draft review report has been shared and further engagement planned to share final report			
	b) Plan to share final review report at a later date and further engagement planned			
c) Report not shared but contents discussed <i>(if you select this option please also complete 'I' below)</i>				

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**  
*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

	d) No contact or Next of Kin or Unable to contact	
	e) No response to correspondence	
	f) Withdrew fully from the SAI process	
	g) Participated in SAI process but declined review report	
	<b>(if you select any of the options below please also complete 'l' below)</b>	
	h) concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user <sup>1</sup> family/ carer	
	i) case involved suspected or actual abuse by family	
	j) identified as a result of review exercise	
	k) other rationale	
	l) If you have selected <b>c), h), i), j), or k)</b> above please provide further details:	

**For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))**

<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	
--------------------------------	------------	--	-----------	--

**SECTION 2**

**INFORMING THE CORONERS OFFICE**  
**(under section 7 of the Coroners Act (Northern Ireland) 1959)**  
*(complete this section for all death related SAIs)*

1) Was there a Statutory Duty to notify the Coroner on the circumstances of the death? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please provide details:			
2) If you have selected 'YES' to question 1, has the review report been shared with the Coroner? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date report shared</b> :			
	If <b>NO</b> , please provide details:			
3) 'If you have selected 'YES' to question 1, has the Family / Carer been informed? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
			<b>N/A</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
If <b>NO</b> , please provide details:				

<b>DATE CHECKLIST COMPLETED</b>	
---------------------------------	--

<sup>1</sup> Service User or their nominated representative

**Health and Social Care  
Regional Guidance  
for  
Level 2 and 3 RCA  
Incident Review Reports**

## INTRODUCTION

This document is a revision of the template developed by the DoH Safety in Health and Social Care Steering Group in 2007 as part of the action plan contained within “*Safety First: A Framework for Sustainable Improvement in the HPSS.*”

The purpose of this template and guide is to provide practical help and support to those writing review reports and should be used, in as far as possible, for drafting all **HSC Level 2 and Level 3** incident review reports. It is intended as a guide in order to standardise all such reports across the HSC including both internal and external reports.

The review report presents the work of the review team and provides all the necessary information about the incident, the review process and outcome of the review. The purpose of the report is to provide a formal record of the review process and a means of sharing the learning. The report should be clear and logical, and demonstrate that an open and fair approach has taken place.

This guide should assist in ensuring the completeness and readability of such reports. The headings and report content should follow, as far as possible, the order that they appear within the template. Composition of reports to a standardised format will facilitate the collation and dissemination of any regional learning.

This template was designed primarily for incident reviews however it may also be used to examine complaints and claims.

Insert organisation Logo

# **Root Cause Analysis report on the review of a Serious Adverse Incident including Service User/Family/Carer Engagement Checklist**

Organisation's Unique Case Identifier:

Date of Incident/Event:

HSCB Unique Case Identifier:

Service User Details: *(complete where relevant)*

D.O.B:                      Gender: (M/F)                      Age: (yrs)

Responsible Lead Officer:

Designation:

Report Author:

Date report signed off:

## 1.0 EXECUTIVE SUMMARY

Summarise the main report: provide a brief overview of the incident and consequences, background information, level of review, concise analysis and main conclusions, lessons learned, recommendations and arrangements for sharing and learning lessons.

## 2.0 THE REVIEW TEAM

### Refer to Guidance on Review Team Membership

The level of review undertaken will determine the degree of leadership, overview and strategic review required.

- *List names, designation and review team role of the members of the Review Team. The Review Team should be multidisciplinary and should have an Independent Chair.*
- *The degree of independence of the membership of the team needs careful consideration and depends on the severity / sensitivity of the incident and the level of review to be undertaken. However, best practice would indicate that review teams should incorporate at least one informed professional from another area of practice, best practice would also indicate that the chair of the team should be appointed from outside the area of practice.*
- *In the case of more high impact incidents (i.e. categorised as catastrophic or major) inclusion of lay / patient / service user or carer representation should be considered.*

## 3.0 SAI REVIEW TERMS OF REFERENCE

Describe the plan and scope for conducting the review. State the level of review, aims, objectives, outputs and who commissioned the review.

*The following is a sample list of statements of purpose that may be included in the terms of reference:*

- To undertake a review of the incident to identify specific problems or issues to be addressed;
- To consider any other relevant factors raised by the incident;
- To identify and engage appropriately with all relevant services or other agencies associated with the care of those involved in the incident;
- To determine actual or potential involvement of the Police, Health and Safety Executive, Regulation and Quality Improvement Authority and Coroners Service for Northern Ireland<sup>2 3</sup>
- To agree the remit of the review - the scope and boundaries beyond which the review should not go (e.g. disciplinary process) – state how far back the review will go (what point does the review start and stop e.g. episode of care) and the level of review;
- To consider the outcome of the review, agreeing recommendations, actions to be taken and lessons learned for the improvement of future services;
- To ensure sensitivity to the needs of the patient/ service user/ carer/ family member, where appropriate. The level of involvement clearly depends on the nature of the incident and the service user's or family's wishes or carer's wishes to be involved and must be in line with Regional Guidance on Engagement with Service Users, Families and Carers issued November 2016;

<sup>2</sup> Memorandum of understanding: Investigating patient or client safety incidents (Unexpected death or serious untoward harm)- [http://www.dhsspsni.gov.uk/ph\\_mou\\_investigating\\_patient\\_or\\_client\\_safety\\_incidents.pdf](http://www.dhsspsni.gov.uk/ph_mou_investigating_patient_or_client_safety_incidents.pdf)

<sup>3</sup> Protocol for Joint Investigation of Alleged and Suspected Cases of Abuse of Vulnerable Adults 2009

### 3.0 SAI REVIEW TERMS OF REFERENCE

- To agree the timescales for completing and submitting the review report, including the SAI engagement checklist, distribution of the report and timescales for reviewing actions on the action plan;

Methodology to be used should be agreed at the outset and kept under regular review throughout the course of the SAI review.

Clear documentation should be made of the time-line for completion of the work.

***This list is not exhaustive***

### 4.0 REVIEW METHODOLOGY

This section should provide an outline of the type of review and the methods used to gather information within the review process. The NPSA's "Seven Steps to Patient Safety<sup>4</sup>" and "Root Cause Analysis Review Guidance<sup>5</sup>" provide useful guides for deciding on methodology.

- Review of patient/ service user records and compile a timeline (if relevant)
- Review of staff/witness statements (if available)
- Interviews with relevant staff concerned e.g.
  - Organisation-wide
  - Directorate Team
  - Ward/Team Managers and front line staff
  - Other staff involved
  - Other professionals (including Primary Care)
- Specific reports requested from and provided by staff
- Outline engagement with patients/service users / carers / family members / voluntary organisations/ private providers
- Review of local, regional and national policies and procedures, including professional codes of conduct in operation at the time of the incident
- Review of documentation e.g. consent form(s), risk assessments, care plan(s), photographs, diagrams or drawings, training records, service/maintenance records, including specific reports requested from and provided by staff etc.

***This list is not exhaustive***

### 5.0 DESCRIPTION OF INCIDENT/CASE

Provide an account of the incident including consequences and detail what makes this incident a SAI. The following can provide a useful focus but please note this section is not solely a chronology of events

- Concise factual description of the serious adverse incident include the incident date and

<sup>4</sup> <http://www.nrls.npsa.nhs.uk/resources/collections/seven-steps-to-patient-safety/?entryid45=59787>

<sup>5</sup> <http://www.nrls.npsa.nhs.uk/resources/?entryid45=75355>

**5.0 DESCRIPTION OF INCIDENT/CASE**

type, the healthcare specialty involved and the actual effect of the incident on the service user and/or service and others;

- People, equipment and circumstances involved;
- Any intervention / immediate action taken to reduce consequences;
- Chronology of events leading up to the incident;
- Relevant past history – a brief description of the care and/or treatment/service provided;
- Outcome / consequences / action taken;
- Relevance of local, regional or national policy / guidance / alerts including professional codes of conduct in place at the time of the incident

***This list is not exhaustive***

**6.0 FINDINGS**

This section should clearly outline how the information has been analysed so that it is clear how conclusions have been arrived at from the raw data, events and treatment/care/service provided. This section needs to clearly identify the care and service delivery problems and analysis to identify the causal factors.

Analysis can include the use of root cause and other analysis techniques such as fault tree analysis, etc. The section below is a useful guide particularly when root cause techniques are used. It is based on the NPSA's "Seven Steps to Patient Safety" and "Root Cause Analysis Toolkit".

**(i) Care Delivery Problems (CDP) and/or Service Delivery Problems (SDP) Identified**

*CDP is a problem related to the direct provision of care, usually actions or omissions by staff (active failures) or absence of guidance to enable action to take place (latent failure) e.g. failure to monitor, observe or act; incorrect (with hindsight) decision, NOT seeking help when necessary.*

*SDP are acts and omissions identified during the analysis of incident not associated with direct care provision. They are generally associated with decisions, procedures and systems that are part of the whole process of service delivery e.g. failure to undertake risk assessment, equipment failure.*

**(ii) Contributory Factors**

*Record the influencing factors that have been identified as root causes or fundamental issues.*

- Individual Factors (include employment status i.e. substantive, agency, locum voluntary etc.)
- Team and Social Factors
- Communication Factors
- Task Factors
- Education and Training Factors
- Equipment and Resource Factors
- Working Condition Factors
- Organisational and Management Factors
- Patient / Client Factors

***This list is not exhaustive***

*As a framework for organising the contributory factors reviewed and recorded the table in the NPSA's "Seven Steps to Patient Safety" document (and associated Root Cause Analysis Toolkit) is useful. <http://www.nrls.npsa.nhs.uk/resources/collections/seven-steps-to-patient-safety/>*

*Where appropriate and where possible careful consideration should be made to facilitate the involvement of patients/service users / carers / family members within this process.*



## 7.0 CONCLUSIONS

Following analysis identified above, list issues that need to be addressed. Include discussion of good practice identified as well as actions to be taken. Where appropriate include details of any on-going engagement / contact with family members or carers.

This section should summarise the key findings and should answer the questions posed in the terms of reference.

## 8.0 LESSONS LEARNED

Lessons learned from the incident and the review should be identified and addressed by the recommendations and relate to the findings. Indicate to whom learning should be communicated and this should be copied to the Committee with responsibility for governance.

## 9.0 RECOMMENDATIONS AND ACTION PLANNING

List the improvement strategies or recommendations for addressing the issues highlighted above (conclusions and lessons learned). Recommendations should be grouped into the following headings and cross-referenced to the relevant conclusions, and should be graded to take account of the strengths and weaknesses of the proposed improvement strategies/actions:

- Recommendations for the reviewing organisation
- Suggested /proposed learning that is relevant to other organisations

Action plans should be developed and should set out how each recommendation will be implemented, with named leads responsible for each action point (Refer to Appendix 8 Guidance on Minimum Standards for Action Plans). This section should clearly demonstrate the arrangements in place to successfully deliver the action plan.

It should be noted that it is the responsibility of the HSCB/PHA to consider and review all recommendations, of suggested /proposed learning relevant to other organisations, arising from the review of a SAI. In addition, it is the responsibility if the HSCB/PHA to subsequently identify any related learning to be communicated across the HSC and where relevant with other organisations regionally and/or nationally.

It is the responsibility of the reporting organisation to communicate to service users/families/carers that regional learning identified and submitted to the HSCB/PHA for consideration may not on every occasion result in regional learning.

## 10.0 DISTRIBUTION LIST

List the individuals, groups or organisations the final report has been shared with. This should have been agreed within the terms of reference.

**Checklist for Engagement / Communication  
with Service User<sup>1</sup> / Family / Carer following a Serious Adverse Incident**

<b>Reporting Organisation SAI Ref Number:</b>		<b>HSCB Ref Number:</b>	
---	--	-------------------------	--

**SECTION 1**

**INFORMING THE SERVICE USER<sup>1</sup> / FAMILY / CARER**

1) Please indicate if the SAI relates to a single service user, or a number of service users.  Please select as appropriate (✓)	<b>Single Service User</b>		<b>Multiple Service Users*</b>	
	<b>Comment:</b>  <i>*If multiple service users are involved please indicate the number involved</i>			
2) Was the Service User <sup>1</sup> / Family / Carer informed the incident was being reviewed as a SAI?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT INFORMING</b> the Service User / Family / Carer that the incident was being reviewed as a SAI			
	a) No contact or Next of Kin details or Unable to contact			
	b) Not applicable as this SAI is not 'patient/service user' related			
	c) Concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user			
	d) Case involved suspected or actual abuse by family			
	e) Case identified as a result of review exercise			
	f) Case is environmental or infrastructure related with no harm to patient/service user			
	g) Other rationale			
<b>If you selected c), d), e), f) or g) above please provide further details:</b>				
3) Was this SAI also a Never Event? Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
4) If <b>YES</b> , was the Service User <sup>1</sup> / Family / Carer informed this was a Never Event?  Please select as appropriate (✓)	<b>YES</b>	If <b>YES</b> , insert <b>date informed</b> : DD/MM.YY		
	<b>NO</b>	If <b>NO</b> , provide details:		
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>				
<b>Content with rationale?</b>	<b>YES</b>		<b>NO</b>	

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**  
*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

5) Has the Final Review report been shared with the Service User <sup>1</sup> / Family / Carer?  Please select as appropriate (✓)	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert date informed:			
	If <b>NO</b> , please select <b>only one</b> rationale from below, for <b>NOT SHARING</b> the SAI Review Report with Service User / Family / Carer:			
	a) Draft review report has been shared and further engagement planned to share final report			
	b) Plan to share final review report at a later date and further engagement planned			

**SHARING THE REVIEW REPORT WITH THE SERVICE USER<sup>1</sup> / FAMILY / CARER**

*(complete this section where the Service User / Family / Carer has been informed the incident was being reviewed as a SAI)*

	c) Report not shared but contents discussed <b>(if you select this option please also complete 'l' below)</b>	
	d) No contact or Next of Kin or Unable to contact	
	e) No response to correspondence	
	f) Withdrew fully from the SAI process	
	g) Participated in SAI process but declined review report	
	<b>(if you select any of the options below please also complete 'l' below)</b>	
	h) concerns regarding impact the information may have on health/safety/security and/or wellbeing of the service user <sup>1</sup> family/ carer	
	i) case involved suspected or actual abuse by family	
	j) identified as a result of review exercise	
	k) other rationale	
l) If you have selected <b>c), h), i), j), or k)</b> above please provide further details:		
<b>For completion by HSCB/PHA Personnel Only (Please select as appropriate (✓))</b>		
<b>Content with rationale?</b>	<b>YES</b>	<b>NO</b>

**SECTION 2**

**INFORMING THE CORONERS OFFICE**

**(under section 7 of the Coroners Act (Northern Ireland) 1959)**

*(complete this section for all death related SAIs)*

1) Was there a Statutory Duty to notify the Coroner on the circumstances of the death? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
	If <b>NO</b> , please provide details:			
2) If you have selected 'YES' to question 1, has the review report been shared with the Coroner? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
	If <b>YES</b> , insert <b>date report shared</b> :			
	If <b>NO</b> , please provide details:			
3) 'If you have selected 'YES' to question 1, has the Family / Carer been informed? <b>Please select as appropriate (✓)</b>	<b>YES</b>		<b>NO</b>	
			<b>N/A</b>	
	If <b>YES</b> , insert <b>date informed</b> :			
If <b>NO</b> , please provide details:				

**DATE CHECKLIST COMPLETED**

<sup>1</sup> Service User or their nominated representative

## APPENDIX 8

<b>GUIDANCE ON MINIMUM STANDARDS FOR ACTION PLANS</b>
---

The action plan must define:

- Who has agreed the action plan
- Who will monitor the implementation of the action plan
- How often the action plan will be reviewed
- Who will sign off the action plan when all actions have been completed

The action plan **MUST** contain the following

<b>1. Recommendations based on the contributing factors</b>	The recommendations from the report - these should be the analysis and findings of the review
<b>2. Action agreed</b>	This should be the actions the organisation needs to take to resolve the contributory factors.
<b>3. By who</b>	Who in the organisation will ensure the action is completed
<b>4. Action start date</b>	Date particular action is to commence
<b>5. Action end date</b>	Target date for completion of action
<b>6. Evidence of completion</b>	Evidence available to demonstrate that action has been completed. This should include any intended action plan reviews or audits
<b>7. Sign off</b>	Responsible office and date sign off as completed

## APPENDIX 9

**GUIDANCE ON INCIDENT DEBRIEF****• Level 1 - SEA Reviews**

For level 1 reviews, the incident debrief can serve the purpose of the SEA review, (these can also be known as 'hot debriefs').

The review should:

- Collect and collate as much factual information on the event as possible, including all relevant records. Also gather the accounts of those directly and indirectly involved, including, where relevant, service user/relatives/carers or other health professionals.
- The incident debrief/significant event meeting should be held with all staff involved to provide an opportunity to:
  - support the staff involved<sup>6</sup>
  - assess what has happened;
  - assess why did it happened;
    - what went wrong and what went well;
  - assess what has been changed or agree what will change;
  - identify local and regional learning.
- The meeting/s should be conducted in an open, fair, honest, non-judgemental and supportive atmosphere and should be undertaken as soon as practical following the incident.
- Write it up – keep a written report of the analysis undertaken using the SEA Report template (see Appendix 4)
- Sharing SEA Report – SEA reports should be shared with all relevant staff, particularly those who have been involved in the incident.

**• Level 2 and 3 RCA Reviews**

An incident debrief can also be undertaken for level 2 and 3 reviews. This would be separate from the RCA review and should occur quickly after the incident to provide support to staff and to identify any immediate service actions.

---

<sup>6</sup> Note: link to ongoing work in relation to Quality 2020 - Task 2 - Supporting Staff involved in SAIs and other Incidents

**APPENDIX 10****LEVEL 1 REVIEW - GUIDANCE ON REVIEW TEAM MEMBERSHIP**

The level of review of an incident should be proportionate to its significance; this is a judgement to be made by the Review Team.

Membership of the team should include all relevant professionals but should be appropriate and proportionate to the type of incident and professional groups involved. Ultimately, for a Level 1 review, it is for each team to decide who is invited, there has to be a balance between those who can contribute to an honest discussion, and creating such a large group that discussion of sensitive issues is inhibited.

The review team should appoint an experienced facilitator or lead reviewing officer from within the team to co-ordinate the review. The role of the facilitator is as follows:

- Co-ordinate the information gathering process
- Arrange the review meeting
- Explain the aims and process of the review
- Chair the review meeting
- Co-ordinate the production of the Significant Event Audit report
- Ensure learning is shared in line with the Learning Summary Report

## APPENDIX 11

**LEVEL 2 REVIEW - GUIDANCE ON REVIEW TEAM MEMBERSHIP**

The level of review undertaken will determine the degree of leadership, overview and strategic review required. The level of review of an incident should therefore be proportionate to its significance. This is a judgement to be made by the Review Team.

The core review team should comprise a minimum of three people of appropriate seniority and objectivity. Review teams should be multidisciplinary, (or involve experts/expert opinion/independent advice or specialist reviewers). The team shall have no conflicts of interest in the incident concerned and should have an Independent Chair. *(In the event of a suspected homicide HSC Trusts should follow the HSCB Protocol for responding to SAls in the event of a Homicide – revised 2013)*

The Chair of the team shall be independent of the service area where the incident occurred and should have relevant experience of the service area and/or charring investigations/reviews. He/she shall not have been involved in the direct care or treatment of the individual, or be responsible for the service area under review. The Chair may be sourced from the HSCB Lay People Panel *(a panel of 'lay people' with clinical or social care professional areas of expertise in health and social care, who could act as the chair of an independent review panel, or a member of a Trust RCA review panel).*

Where multiple *(two or more)* HSC providers of care are involved, an increased level of independence shall be required. In such instances, the Chair shall be completely independent of the main organisations involved.

Where the service area is specialised, the Chair may have to be appointed from another HSC Trust or from outside NI.

Membership of the team should include all relevant professionals, but should be appropriate and proportionate to the type of incident and professional groups involved.

Membership shall include an experienced representative who shall support the review team in the application of the root cause analysis methodologies and techniques, human error and effective solutions based development.

Members of the team shall be separate from those who provide information to the review team.

It may be helpful to appoint a review officer from within the review team to co-ordinate the review.

## APPENDIX 12

### **LEVEL 3 REVIEW - GUIDANCE ON REVIEW TEAM MEMBERSHIP**

The level of review shall be proportionate to the significance of the incident. The same principles shall apply, as for Level 2 reviews. The degree of independence of the review team will be dependent on the scale, complexity and type of the incident.

Team membership for Level 3 reviews will be agreed between the reporting organisation and the HSCB/PHA DRO prior to the Level 3 review commencing.



## APPENDIX 13

## GUIDANCE ON JOINT REVIEWS/INVESTIGATIONS

Where a SAI involves multiple (*two or more*) HSC providers of care (e.g. a patient/service user affected by system failures both in an acute hospital and in primary care), a decision must be taken regarding who will lead the review and reporting. This may not necessarily be the initial reporting organisation.

The general rule is for the provider organisation with greatest contact with the patient/service user to lead the review and action. There may, however, be good reason to vary this arrangement e.g. where a patient/service user has died on another organisation's premises. The decision should be made jointly by the organisations concerned, if necessary referring to the HSCB Designated Review Officer for advice. **The lead organisation must be agreed by all organisations involved.**

It will be the responsibility of the lead organisation to engage all organisations in the review as appropriate. This involves collaboration in terms of identifying the appropriate links with the other organisations concerned and in practice, separate meetings in different organisations may take place, but a single review report and action plan should be produced by the lead organisation and submitted to the HSCB in the agreed format.

Points to consider:

- If more than one service is being provided, then all services are required to provide information / involvement reports to the review team;
- All service areas should be represented in terms of professional makeup / expertise on the review team;
- If more than one Trust/Agency is involved in the care of an individual, that the review is conducted jointly with all Trusts/Agencies involved;
- Relevant service providers, particularly those under contract with HSC to provide some specific services, should also be enjoined;
- There should be a clearly articulated expectation that the service user (where possible) and family carers, perspective should be canvassed, as should the perspective of staff directly providing the service, to be given consideration by the panel;
- The perspective of the GP and other relevant independent practitioners providing service to the individual should be sought;
- Service users and carer representatives should be invited / facilitated to participate in the panel discussions with appropriate safeguards to protect the confidentiality of anyone directly involved in the case.

This guidance should be read in conjunction with:

- Guidance on Incident Debrief (Refer to Appendix 9)
- Guidance on Review Team Membership (Refer to Appendix 11 & 12)
- Guidance on completing HSC Review Report Level 2 and 3 (Refer to Appendix 7)

## APPENDIX 14

**PROTOCOL FOR RESPONDING TO SERIOUS ADVERSE INCIDENTS IN THE EVENT OF A HOMICIDE – 2013 (updated November 2016 in line with the HSCB Procedure for the Reporting and Follow up of SAIs)****1. INTRODUCTION AND PURPOSE****1.1. INTRODUCTION**

The Health and Social Care Board (HSCB) Procedure for the Reporting and Follow up of Serious Adverse Incidents (SAIs) was issued in April 2010 and revised November 2016. This procedure provides guidance to Health and Social Care (HSC) Trusts and HSCB Integrated Care staff in relation to the reporting and follow up of SAIs arising during the course of business of a HSC organisation, Special Agency or commissioned service.

This paper is a revised protocol, developed from the above procedure, for the specific SAIs which involves an alleged homicide perpetrated by a service user who has a mental illness or disorder (*as defined within the Mental Health (NI) Order 1986*) and/or known to/referred to mental health and related services (*including CAMHS, psychiatry of old age or leaving and aftercare services*) and/or learning disability services, in the 12 months prior to the incident.

This paper should be read in conjunction with Promoting Quality Care – Good Practice Guidance on the Assessment and Management of Risk in Mental Health and Learning Disability Services (Sept 2009 & May 2010).

**1.2. PURPOSE**

The purpose of this protocol is to provide HSC Trusts with a standardised approach in managing and coordinating the response to a SAI involving homicide.

**2. THE PROCESS****2.1. REPORTING SERIOUS ADVERSE INCIDENTS**

Refer to the HSCB Procedure for the Reporting and Follow up of Serious Adverse Incidents revised in 2016.

**2.2. MULTI-DISCIPLINARY REVIEW**

As indicated in Promoting Quality Care (5.0) an internal multi-disciplinary review must be held as soon as practicable following an adverse incident. Where the SAI has resulted in homicide a more independent response is required.

An independent review team should be set up within twenty working days, of the notification of the incident, to the Trust.

## **2.3. ESTABLISHING AN INDEPENDENT REVIEW TEAM**

### **2.3.1 CHAIR**

The Chair of the Review Team should be independent from the HSC Trust, not a Trust employee or recently employed by the Trust. They should be at Assistant Director level or above with relevant professional expertise.

It is the role of the Chair to ensure engagement with families, that their views are sought, that support has been offered to them at an early stage and they have the opportunity to comment on the final draft of the report.

### **2.3.2 MEMBERSHIP**

A review team should include all relevant professionals. The balance of the Team should include non-Trust staff and enable the review team to achieve impartiality, openness, independence, and thoroughness in the review of the incident. [ref: Case Management Review Chapter 10 Cooperating to Protect Children].

The individuals who become members of the Team must not have had any line management responsibility for the staff working with the service user under consideration. The review team must include members who are independent of HSC Trusts and other agencies concerned.

Members of the review team should be trained in the Procedure for the Reporting and Follow up of Serious Adverse Incidents 2016.

## **3. TERMS OF REFERENCE**

The terms of reference for the review team should be drafted at the first meeting of the review team and should be agreed by the HSCB before the second meeting.

The Terms of Reference should include, as a minimum, the following:

- establish the facts of the incident;
- analyse the antecedents to the incident;
- consider any other relevant factors raised by the incident;
- establish whether there are failings in the process and systems;
- establish whether there are failings in the performance of individuals;
- identify lessons to be learned from the incident; and

- identify clearly what those lessons are, how they will be acted upon, what is expected to change as a result, and specify timescales and responsibility for implementation.

#### 4. TIMESCALES

The notification to the Trust of a SAI, resulting in homicide, is the starting point of this process.

The Trust should notify the HSCB within 24hours and the Regulation and Quality Improvement Authority (RQIA) as appropriate.

An independent review team should be set up within twenty working days of the notification of the incident to the Trust.

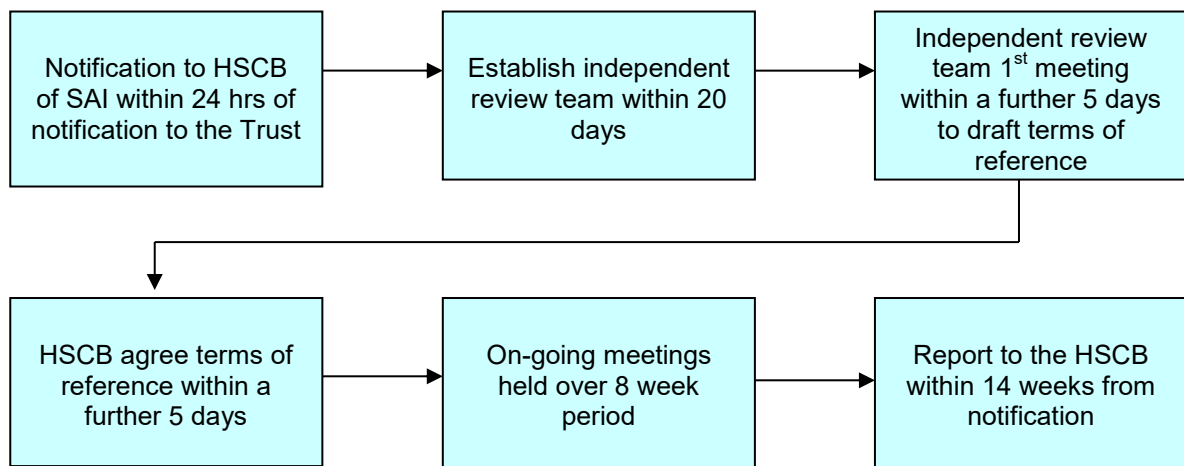
The team should meet to draft the terms of reference within a further five working days (i.e. twenty five days from notification of the incident to the Trust).

The HSCB should agree the terms of reference within a further five working days to enable work to begin at a second meeting.

The review team should complete their work and report to the HSCB within 14 weeks, this may be affected by PSNI investigations.

#### FLOWCHART OF PROCESS WITH TIMESCALES

*NB Days refers to working days from the date of notification of the incident to the Trust*



#### 5. THE HEALTH AND SOCIAL CARE BOARD RESPONSIBILITY

On receipt of the completed Trust review report the HSCB will consider the findings and recommendations of the report and must form a view as to whether or not an Independent Inquiry is required.

The HSCB must advise the Department of Health, (DoH) as to whether or not an Independent Inquiry is required in this particular SAI.

**ADMINISTRATIVE PROTOCOL****REPORTING AND FOLLOW UP OF SAIs INVOLVING RQIA MENTAL HEALTH/LEARNING DISABILITY AND INDEPENDENT/REGULATED SECTOR**

On receipt of a SAI notification and where a HSC Trust has also copied RQIA into the same notification, the following steps will be applied:

1. HSCB acknowledgement email to Trust advising on timescale for review report will also be copied to RQIA.
2. On receipt of the review/learning summary report from Trust, the HSCB Governance Team will forward to the HSCB/PHA Designated Review Officer (DRO).
3. At the same time, the HSCB Governance Team will also forward the review report/learning summary report<sup>1</sup> to RQIA, together with an email advising of a **3 week** timescale from receipt of review report/learning summary report, for RQIA to forward comments for consideration by the DRO.
4. The DRO will continue with his/her review liaising (where s/he feels relevant) with Trust, RQIA and other HSCB/PHA professionals until s/he is satisfied SAI can be closed.
5. If no comments are received from RQIA within the 3 week timescale, the DRO will assume RQIA have no comments.
6. When the SAI is closed by the DRO, an email advising the Trust that the SAI is closed will also be copied to RQIA.

***All communications to be sent or copied via:***

**HSCB Governance Team: [seriousincidents@hscni.net](mailto:seriousincidents@hscni.net)  
and RQIA: [seriousincidents@rqia.org.uk](mailto:seriousincidents@rqia.org.uk)**

<sup>1</sup> For Level 1 SAIs the HSCB only routinely receive the Learning Summary Report. If RQIA also wish to consider the full SEA Report this should be requested directly by RQIA from the relevant Reporting Organisation.

HSC Regional Impact Table – with effect from April 2013 (updated June 2016)

DOMAIN	IMPACT (CONSEQUENCE) LEVELS [can be used for both actual and potential]				
	INSIGNIFICANT (1)	MINOR (2)	MODERATE (3)	MAJOR (4)	CATASTROPHIC (5)
<b>PEOPLE</b> <i>(Impact on the Health/Safety/Welfare of any person affected: e.g. Patient/Service User, Staff, Visitor, Contractor)</i>	<ul style="list-style-type: none"> <li>Near miss, no injury or harm.</li> </ul>	<ul style="list-style-type: none"> <li>Short-term injury/minor harm requiring first aid/medical treatment.</li> <li>Any patient safety incident that required extra observation or minor treatment e.g. first aid</li> <li>Non-permanent harm lasting less than one month</li> <li>Admission to hospital for observation or extended stay (1-4 days duration)</li> <li>Emotional distress (recovery expected within days or weeks).</li> </ul>	<ul style="list-style-type: none"> <li>Semi-permanent harm/disability (physical/emotional injuries/trauma) (Recovery expected within one year).</li> <li>Admission/readmission to hospital or extended length of hospital stay/care provision (5-14 days).</li> <li>Any patient safety incident that resulted in a moderate increase in treatment e.g. surgery required</li> </ul>	<ul style="list-style-type: none"> <li>Long-term permanent harm/disability (physical/emotional injuries/trauma).</li> <li>Increase in length of hospital stay/care provision by &gt;14 days.</li> </ul>	<ul style="list-style-type: none"> <li>Permanent harm/disability (physical/emotional trauma) to more than one person.</li> <li>Incident leading to death.</li> </ul>
<b>QUALITY &amp; PROFESSIONAL STANDARDS/ GUIDELINES</b> <i>(Meeting quality/ professional standards/ statutory functions/ responsibilities and Audit Inspections)</i>	<ul style="list-style-type: none"> <li>Minor non-compliance with internal standards, professional standards, policy or protocol.</li> <li>Audit / Inspection – small number of recommendations which focus on minor quality improvements issues.</li> </ul>	<ul style="list-style-type: none"> <li>Single failure to meet internal professional standard or follow protocol.</li> <li>Audit/Inspection – recommendations can be addressed by low level management action.</li> </ul>	<ul style="list-style-type: none"> <li>Repeated failure to meet internal professional standards or follow protocols.</li> <li>Audit / Inspection – challenging recommendations that can be addressed by action plan.</li> </ul>	<ul style="list-style-type: none"> <li>Repeated failure to meet regional/ national standards.</li> <li>Repeated failure to meet professional standards or failure to meet statutory functions/ responsibilities.</li> <li>Audit / Inspection – Critical Report.</li> </ul>	<ul style="list-style-type: none"> <li>Gross failure to meet external/national standards.</li> <li>Gross failure to meet professional standards or statutory functions/ responsibilities.</li> <li>Audit / Inspection – Severely Critical Report.</li> </ul>
<b>REPUTATION</b> <i>(Adverse publicity, enquiries from public representatives/media Legal/Statutory Requirements)</i>	<ul style="list-style-type: none"> <li>Local public/political concern.</li> <li>Local press &lt; 1day coverage.</li> <li>Informal contact / Potential intervention by Enforcing Authority (e.g. HSENI/NIFRS).</li> </ul>	<ul style="list-style-type: none"> <li>Local public/political concern.</li> <li>Extended local press &lt; 7 day coverage with minor effect on public confidence.</li> <li>Advisory letter from enforcing authority/increased inspection by regulatory authority.</li> </ul>	<ul style="list-style-type: none"> <li>Regional public/political concern.</li> <li>Regional/National press &lt; 3 days coverage. Significant effect on public confidence.</li> <li>Improvement notice/failure to comply notice.</li> </ul>	<ul style="list-style-type: none"> <li>MLA concern (Questions in Assembly).</li> <li>Regional / National Media interest &gt;3 days &lt; 7days. Public confidence in the organisation undermined.</li> <li>Criminal Prosecution.</li> <li>Prohibition Notice.</li> <li>Executive Officer dismissed.</li> <li>External Investigation or Independent Review (eg, Ombudsman).</li> <li>Major Public Enquiry.</li> </ul>	<ul style="list-style-type: none"> <li>Full Public Enquiry/Critical PAC Hearing.</li> <li>Regional and National adverse media publicity &gt; 7 days.</li> <li>Criminal prosecution – Corporate Manslaughter Act.</li> <li>Executive Officer fined or imprisoned.</li> <li>Judicial Review/Public Enquiry.</li> </ul>
<b>FINANCE, INFORMATION &amp; ASSETS</b> <i>(Protect assets of the organisation and avoid loss)</i>	<ul style="list-style-type: none"> <li>Commissioning costs (£) &lt;1m.</li> <li>Loss of assets due to damage to premises/property.</li> <li>Loss – £1K to £10K.</li> <li>Minor loss of non-personal information.</li> </ul>	<ul style="list-style-type: none"> <li>Commissioning costs (£) 1m – 2m.</li> <li>Loss of assets due to minor damage to premises/ property.</li> <li>Loss – £10K to £100K.</li> <li>Loss of information.</li> <li>Impact to service immediately containable, medium financial loss</li> </ul>	<ul style="list-style-type: none"> <li>Commissioning costs (£) 2m – 5m.</li> <li>Loss of assets due to moderate damage to premises/ property.</li> <li>Loss – £100K to £250K.</li> <li>Loss of or unauthorised access to sensitive / business critical information</li> <li>Impact on service contained with assistance, high financial loss</li> </ul>	<ul style="list-style-type: none"> <li>Commissioning costs (£) 5m – 10m.</li> <li>Loss of assets due to major damage to premises/property.</li> <li>Loss – £250K to £2m.</li> <li>Loss of or corruption of sensitive / business critical information.</li> <li>Loss of ability to provide services, major financial loss</li> </ul>	<ul style="list-style-type: none"> <li>Commissioning costs (£) &gt; 10m.</li> <li>Loss of assets due to severe organisation wide damage to property/premises.</li> <li>Loss – &gt; £2m.</li> <li>Permanent loss of or corruption of sensitive/business critical information.</li> <li>Collapse of service, huge financial loss</li> </ul>
<b>RESOURCES</b> <i>(Service and Business interruption, problems with service provision, including staffing (number and competence), premises and equipment)</i>	<ul style="list-style-type: none"> <li>Loss/ interruption &lt; 8 hour resulting in insignificant damage or loss/impact on service.</li> <li>No impact on public health social care.</li> <li>Insignificant unmet need.</li> <li>Minimal disruption to routine activities of staff and organisation.</li> </ul>	<ul style="list-style-type: none"> <li>Loss/interruption or access to systems denied 8 – 24 hours resulting in minor damage or loss/ impact on service.</li> <li>Short term impact on public health social care.</li> <li>Minor unmet need.</li> <li>Minor impact on staff, service delivery and organisation, rapidly absorbed.</li> </ul>	<ul style="list-style-type: none"> <li>Loss/ interruption 1-7 days resulting in moderate damage or loss/impact on service.</li> <li>Moderate impact on public health and social care.</li> <li>Moderate unmet need.</li> <li>Moderate impact on staff, service delivery and organisation absorbed with significant level of intervention.</li> <li>Access to systems denied and incident expected to last more than 1 day.</li> </ul>	<ul style="list-style-type: none"> <li>Loss/ interruption 8-31 days resulting in major damage or loss/impact on service.</li> <li>Major impact on public health and social care.</li> <li>Major unmet need.</li> <li>Major impact on staff, service delivery and organisation - absorbed with some formal intervention with other organisations.</li> </ul>	<ul style="list-style-type: none"> <li>Loss/ interruption &gt;31 days resulting in catastrophic damage or loss/impact on service.</li> <li>Catastrophic impact on public health and social care.</li> <li>Catastrophic unmet need.</li> <li>Catastrophic impact on staff, service delivery and organisation - absorbed with significant formal intervention with other organisations.</li> </ul>
<b>ENVIRONMENTAL</b> <i>(Air, Land, Water, Waste management)</i>	<ul style="list-style-type: none"> <li>Nuisance release.</li> </ul>	<ul style="list-style-type: none"> <li>On site release contained by organisation.</li> </ul>	<ul style="list-style-type: none"> <li>Moderate on site release contained by organisation.</li> <li>Moderate off site release contained by organisation.</li> </ul>	<ul style="list-style-type: none"> <li>Major release affecting minimal off-site area requiring external assistance (fire brigade, radiation, protection service etc).</li> </ul>	<ul style="list-style-type: none"> <li>Toxic release affecting off-site with detrimental effect requiring outside assistance.</li> </ul>

**HSC REGIONAL RISK MATRIX – WITH EFFECT FROM APRIL 2013 (updated June 2016)**

Risk Likelihood Scoring Table			
Likelihood Scoring Descriptors	Score	Frequency (How often might it/does it happen?)	Time framed Descriptions of Frequency
Almost certain	5	Will undoubtedly happen/recur on a frequent basis	Expected to occur at least daily
Likely	4	Will probably happen/recur, but it is not a persisting issue/circumstances	Expected to occur at least weekly
Possible	3	Might happen or recur occasionally	Expected to occur at least monthly
Unlikely	2	Do not expect it to happen/recur but it may do so	Expected to occur at least annually
Rare	1	This will probably never happen/recur	Not expected to occur for years

Impact (Consequence) Levels					
Likelihood Scoring Descriptors	Insignificant(1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	Medium	Medium	High	Extreme	Extreme
Likely (4)	Low	Medium	Medium	High	Extreme
Possible (3)	Low	Low	Medium	High	Extreme
Unlikely (2)	Low	Low	Medium	High	High
Rare (1)	Low	Low	Medium	High	High

## APPENDIX 17

## CHILD AND ADULT SAFEGUARDING AND SAI PROCESSES

The Procedure for the Reporting and Follow up of Serious Adverse Incidents (Revised November 2016) provides guidance to Health and Social Care organisations in relation to the reporting and follow up of Serious Adverse Incidents arising during the course of their business or commissioned service.

The guidance notes that the SAI review should be conducted at a level appropriate and proportionate to the complexity of the incident under review.

The guidance notes that there are three possible levels of review of an SAI and specifies the expected timescale for reporting on a review report as follows:

**Level 1 Review – Significant Event Audit (SEA).** To be completed and a Learning Summary Report sent to the HSCB within 8 weeks of the SAI being reported.

If the outcome of the SEA determines the SAI is more complex and requires a more detailed review timescales for completion of the RCA will be determined following submission of the Learning Summary Report to the HSCB.

**Level 2 Review – Root Cause Analysis (RCA).** The final report to be submitted to the HSCB within 12 weeks from the date the incident was notified.

**Level 3 Review – Independent Review.** Timescales for completion to be agreed by the DRO.

It should be noted that not every referral to child or adult safeguarding processes will proceed to the completion of an SAI report. Within Children's Services, the most complex cases and those that involve death or serious injury to a child, where concerns about how services worked together exist, will be notified to the HSCB as an SAI and may be assessed as meeting the criteria for a Case Management Review (CMR) in which case they will be managed out of the SAI system. The CMR report will highlight the learning from the case.

However, the timescales for the completion of SAI reviews at Level 2 and 3 have proved to be challenging for the cases that do not reach the threshold for a CMR or which result from allegations of abuse of an adult. These are more likely to be some of the more complex cases, and generally involve inter- and multi- agency partnership working.

In responding to allegations of the abuse, neglect or exploitation of a child or vulnerable adult where it is suspected that criminal offence may have been committed, the Health and Social Care Trusts operate under the principles for joint working with the PSNI and other agencies as set out in

- Protocol for Joint Investigation of Alleged and Suspected Cases of Abuse of Vulnerable Adults (2009);



- Sharing to Safeguard (DoH Revised HSCC 3/96 and currently being revised by DoH);
- Co-operating to Safeguard Children (DoH 2003); and
- Protocol for joint Investigation by Social Workers and Police Officers of Alleged and Suspected Cases of Child Abuse – Northern Ireland (2013)

The Memorandum of Understanding: Investigating patient or client safety incidents (2013) states that in cases where more than one organisation may/should have an involvement in investigating any particular incident, then:

*“The HSC Organisation should continue to ensure patient or client safety, but not undertake any activity that might compromise any subsequent statutory investigations.”*

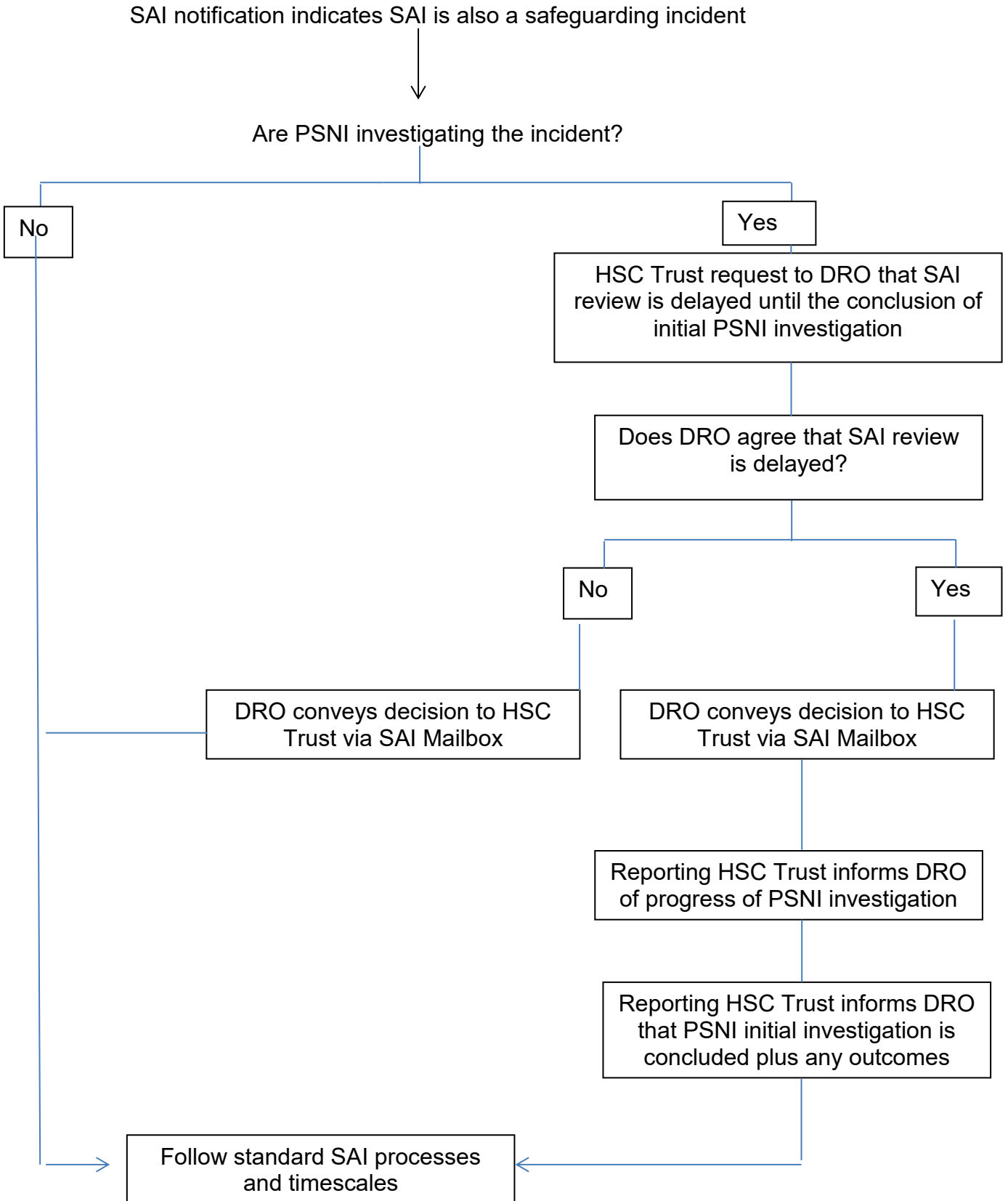
In addition “Achieving Best Evidence: Guidance on interviewing victims and witnesses, the use of special measures and the provision of pre-trial therapy” (revised in 2012), sets out clear protocols for interviewing vulnerable witnesses or victims, whether they are children or adults. This guidance ensures that interviews with vulnerable witnesses and victims are led by specially trained staff, conducted at the victims pace and take place in an environment that is conducive to the needs of the victim.

Clearly, there is an inter-dependency between PSNI and HSC investigations/reviews in complex cases involving multi-agency approaches and protocols. The identification and analysis of learning from these events is likely to be incomplete until both the PSNI and HSC have completed their separate and joint investigations/reviews using the protocols outlined above, and it is unlikely that this can be achieved within the timescales set out for both Level 1 and Level 2 reviews under the SAI procedure.

In such circumstances, the following process should be used:

- Trust report SAI to HSCB using the SAI Notification Form;
- The SAI Notification Form or section 22 of the notification form i.e. ‘additional information following initial notification, should indicate the following:
  - The SAI is also a Safeguarding incident
  - PSNI are conducting an investigation of the circumstances surrounding the SAI
  - SAI evaluation will commence at the conclusion of the initial PSNI investigation;
  - Set out the arrangements for keeping the DRO informed of the progress of the PSNI initial investigation;
- If satisfied, the DRO will advise the Trust via the SAI Mailbox that he/she is in agreement with the proposal to delay the SAI review until the conclusion of the initial PSNI investigation;
- The reporting HSC Trust will inform the DRO as soon as the initial PSNI investigation has concluded, along with any outcomes and advise the SAI evaluation has commenced;
- The SAI will continue to be monitored by HSCB Governance team in line with timescales within the Procedure for the Reporting and Follow up of SAIs;
- If the DRO is **not** in agreement with the proposal to delay the SAI review, the reasons for this will be clearly conveyed to the Trust via the SAI Mailbox. Possible reasons for this may include, for example, situations where a criminal incident has occurred on HSC Trust premises but does not involve HSC Trust staff, or an incident involving a service user in their own home and a member of the public is reported to the PSNI by HSC Trust staff.

### CHILD AND ADULT SAFEGUARDING AND SAI PROCESSES



**SECTION THREE ADDENDUM**

**ADDENDUM**

***A Guide for  
Health and Social Care Staff***

**Engagement/Communication with  
the Service User/Family/Carers  
following a  
Serious Adverse Incident**

**November 2016  
Version 1.1**

## Contents

	<b>Page</b>
1.0 Introduction	4
2.0 Purpose	4
3.0 Principles of Being Open with the Service User / Family	5
3.1 Acknowledgement	6
3.2 Truthfulness, timeliness and clarity of communication	7
3.3 Apology / Expression of Regret	7
3.4 Recognising the expectations of the Service User / Family	7
3.5 Professional Support	8
3.6 Confidentiality	8
3.7 Continuity of Care	8
4.0 Process	8
4.1 Stage 1 – Recognition	9
4.1.1 Preliminary Discussion with the Service User / Family	9
4.2 Stage 2 – Communication	10
4.2.1 Timing of Initial Communication with the Service User / Family	10
4.2.2 Choosing the individual to communicate	10
4.3 Stage 3 – Initial meeting with the Service User / Family	11
4.3.1 Preparation Prior to the Initial Meeting	11
4.3.2 During the Initial Meeting	11
4.4 Stage 4 – Follow up discussions	13
4.5 Stage 5 – Process completion	13
4.5.1 Communicating findings of review/ sharing review report	13
4.5.2 Communicating Changes to Staff	14
4.6 Documentation	14
5.0 Supporting Information and Tools	15
List of Acronyms and Abbreviations	16
Appendix 1 Particular Service User Circumstances	17
Appendix 2 Information Leaflet – What I Need to Know About a Serious Adverse Incident for Service Users/Family Members/Carers	21
Appendix 3 Examples of communication which enhances the effectiveness of being open	27
Appendix 4 Before, During and After Communication / Engagement Documentation Checklist	30

## Notes on the Development of this Guidance

This guidance has been compiled by the Health and Social Care Board (HSCB) and Public Health Agency (PHA) working in collaboration with the Regulation and Quality Improvement Authority (RQIA), the Patient Client Council (PCC) and Health and Social Care (HSC) Trusts.

This guidance has been informed by:

- National Patient Safety Agency (NPSA) Being Open Framework (2009)
- Health Service Executive (HSE) – Open Disclosure National Guidelines (2013)

*Please note the following points:*

- *The term ‘service user’ as used throughout this guidance includes patients and clients availing of Health and Social Care Services from HSC organisations and Family Practitioner Services (FPS) and/or services commissioned from the Independent Sector by HSC organisations.*
- *The phrase ‘the service user / family’ is used throughout this document in order to take account of all types of engagement scenarios, and also includes a carer(s) or the legal guardian of the service user, where appropriate. However, when the service user has capacity, communication should always (in the first instance) be with them (see appendix 1 for further guidance).*

**A review / re-evaluation of this guidance will be undertaken one year following implementation.**

## 1.0 Introduction

When an adverse outcome occurs for a service user it is important that the service user / family (as appropriate) receive timely information and are fully aware of the processes followed to review the incident.

The purpose of a Serious Adverse Incident (SAI) review is to understand what occurred and where possible improve care by learning from incidents. Being open about what happened and discussing the SAI promptly, fully and compassionately can help the service user / family cope better with the after-effects and reduce the likelihood of them pursuing other routes such as the complaints process or litigation to get answers to their questions.

It is therefore essential that there is:

- full disclosure of a SAI to the service user / family,
- an acknowledgement of responsibility,
- an understanding of what happened and a discussion of what is being done to prevent recurrence.

Communicating effectively with the service user / family is a vital part of the SAI process. If done well, it promotes person-centred care and a fair and open culture, ultimately leading to continuous improvement in the delivery of HSC services. It is human to make mistakes, but rather than blame individuals, the aim is for all of us to identify and address the factors that contributed to the incident. The service user / family can add valuable information to help identify the contributing factors, and should be integral to the review process, unless they wish otherwise.

## 2.0 Purpose

This is a guide for HSC staff to ensure effective communication with the service user / family, following a SAI, is undertaken in an open, transparent, informed, consistent and timely manner.

It is important this guidance is read in conjunction with the regional Procedure for Reporting and Follow up of SAIs (November 2016) and any subsequent revisions relating to the SAI process that have or may be issued in the future. This will ensure the engagement process is closely aligned to the required timescales, documentation, review levels etc. *To view the SAI Procedure please follow the link below* <http://www.hscboard.hscni.net/download/PUBLICATIONS/policies-protocols-and-guidelines/Procedure-for-the-reporting-and-follow-up-of-SAIs-2016.pdf>.

The HSCB Process works in conjunction with all other review processes, statutory agencies and external bodies. Consequently, there may be occasions when a reporting organisation will have reported an incident via another process before or after it has been reported as a SAI. It is therefore important that all existing processes continue to operate in tandem with the SAI procedure and should not be an obstacle to the engagement of the service user / family; nor should an interaction through another process replace engagement through the SAI process.

In that regard, whilst this guidance is specific to 'being open' when engaging with the service user / family following a SAI, it is important HSC organisations are also mindful of communicating effectively with the service user / family when investigating adverse incidents. In these circumstances, organisations should refer to the NPSA Being Open Framework [www.nrls.npsa.nhs.uk/beingopen/?entryid45=83726](http://www.nrls.npsa.nhs.uk/beingopen/?entryid45=83726) which will provide assistance for organisations to determine the level of service user / family engagement when investigating those adverse incidents that do not meet SAI criteria.

The Being Open Framework may also assist organisations with other investigative processes e.g. complaints, litigation, lookback exercises, and any other relevant human resource and/or risk management related policies and procedures.

### **3.0 Principles of Being Open with the Service User / Family**

Being open and honest with the service user / family involves:

- Acknowledging, apologising and explaining that the organisation wishes to review the care and treatment of the service user;
- Explaining that the incident has been categorised as a SAI, and describing the review process to them, including timescales;
- Advising them how they can contribute to the review process, seeking their views on how they wish to be involved and providing them with a leaflet explaining the SAI process (see appendix 2);
- Conducting the correct level of SAI review into the incident and reassuring the service user / family that lessons learned should help prevent the incident recurring;
- Providing / facilitating support for those involved, including staff, acknowledging that there may be physical and psychological consequences of what happened;



- Ensuring the service user / family have details for a single point of contact within the organisation.

**It is important to remember that saying sorry is not an admission of liability and is the right thing to do.**

The following principles underpin being open with the service user / family following a SAI.

### **3.1 Acknowledgement**

All SAIs should be acknowledged and reported as soon as they are identified. In cases where the service user / family inform HSC staff / family practitioner when something untoward has happened, it must be taken seriously from the outset. Any concerns should be treated with compassion and understanding by all professionals.

In certain circumstances e.g. cases of criminality, child protection, or SAIs involving theft, fraud, information breaches or data losses that do not directly affect service users; it may not be appropriate to communicate with the service user / family. When a lead professional / review team make a decision, based on a situation as outlined above, or based on a professional's opinion, not to disclose to the service user / family that a SAI has occurred, the rationale for this decision must be clearly documented in the SAI notification form / SAI review checklist that is submitted to the HSCB.

**It is expected, the service user / family will be informed that a SAI has occurred, as soon as possible following the incident, for all levels of SAI reviews. In very exceptional circumstances, where a decision is made not to inform the service user / family, this decision must be reviewed and agreed by the review team, approved by an appropriate Director or relevant committee / group, and the decision kept under review as the review progresses. In these instances the HSCB must also be informed:**

- **Level 1 reviews - on submission of Review Report and Checklist Proforma**
- **Level 2 and 3 reviews - on submission of the Terms of Reference and Membership of the review team.**

### **3.2 Truthfulness, timeliness and clarity of communication**

Information about a SAI must be given to the service user / family in a truthful and open manner by an appropriately nominated person (see 4.2.2). The service user / family should be provided with an explanation of what happened in a way that considers their individual circumstances, and is delivered openly. Communication should also be timely, ensuring the service user / family is provided with information about what happened as soon as practicable without causing added distress. Note, where a number of service users are involved in one incident, they should all be informed at the same time where possible.

It is also essential that any information given is based solely on the facts known at the time. Staff should explain that new information may emerge as an incident review is undertaken, and that the service user / family will be kept informed, as the review progresses. The service user / family should receive clear information with a single point of contact for any questions or requests they may have. They should not receive conflicting information from different members of staff, and the use of jargon, should be avoided.

### **3.3 Apology / Expression of Regret**

When it is clear, that the organisation / family practitioner is responsible for the harm / distress to the service user, it is imperative that there is an acknowledgement of the incident and an apology provided as soon as possible. Delays are likely to increase the service user / family sense of anxiety, anger or frustration. Relevant to the context of a SAI, the service user / family should receive a meaningful apology – one that is a sincere expression of sorrow or regret for the harm / distress that has occurred as a result of the SAI.

### **3.4 Recognising the expectations of the Service User / Family**

The service user / family may reasonably expect to be fully informed of the facts, consequences and learning in relation to the SAI and to be treated with empathy and respect.

They should also be provided with support in a manner appropriate to their needs. Specific types of service users / families may require additional support (see appendix 1).

In circumstances where the service user / family request the presence of their legal advisor this request should be facilitated. However, HSC staff

should ensure that the legal advisor is aware that the purpose of the report / meeting is not to apportion liability or blame but to learn from the SAI. Further clarification in relation to this issue should be sought from Legal Services.

### **3.5 Professional Support**

HSC organisations must create an environment in which all staff, whether directly employed or independent contractors, are encouraged to report SAIs. Staff should feel supported throughout the incident review process because they too may have been traumatised by being involved. There should be a culture of support and openness with a focus on learning rather than blame.

HSC organisations should encourage staff to seek support where required from relevant professional bodies such as the General Medical Council (GMC), Royal Colleges, the Medical Defence Union (MDU), the Medical Protection Society (MPS), the Nursing and Midwifery Council, the Northern Ireland Association for Social Work (NIASW) and the Northern Ireland Social Care Council (NISCC).

### **3.6 Confidentiality**

Details of a SAI should at all times be considered confidential. It is good practice to inform the service user / family about those involved in the review and who the review report will be shared with.

### **3.7 Continuity of Care**

In exceptional circumstances, the service user / family may request transfer of their care to another facility; this should be facilitated if possible to do so. A member of staff should be identified to act as a contact person for the service user / family to keep them informed of their on-going treatment and care.

## **4.0 Process**

Being open with the service user / family is a process rather than a one-off event. There are 5 stages in the engagement process:

- Stage 1 – Recognition
- Stage 2 - Communication
- Stage 3 – Initial Meeting
- Stage 4 – Follow up Discussions

- Stage 5 – Process Completion

The duration of this process depends on the level of SAI review being undertaken and the associated timescales as set out in the Procedure for the Reporting and Follow up of SAIs (2013).

#### **4.1 Stage 1 - Recognition**

As soon as the SAI is identified, the priority is to prevent further harm / distress. The service user / family should be notified that the incident is being reviewed as a SAI.

##### **4.1.1 Preliminary Discussion with the Service User / Family**

On many occasions it will be at this stage when the lead professional / family practitioner responsible for the care of the service user will have a discussion with the service user / family, advising of the need to review the care and treatment. This preliminary discussion (which could be a telephone call) will be in addition to the formal initial meeting with the service user / family (see 4.3).

**A Level 1 review may not require the same level of engagement as Levels 2 and 3 therefore the preliminary discussion may be the only engagement with service user / family prior to communicating findings of the review, provided they are content they have been provided with all information.**

There may be occasions when the service user / family indicate they do not wish to engage in the process. In these instances the rationale for not engaging further must be clearly documented.

## 4.2 Stage 2 – Communication

### 4.2.1 Timing of Initial Communication with the Service User / Family

The initial discussion with the service user / family should occur as soon as possible after recognition of the SAI. Factors to consider when timing this discussion include:

- service user's health and wellbeing;
- service user / family circumstances, preference (in terms of when and where the meeting takes place) and availability of key staff (*appendix 1 provides guidance on how to manage different categories of service user / family circumstances*);

### 4.2.2 Choosing the individual to communicate

The person<sup>7</sup> nominated to lead any communications should:

- Be a senior member of staff with a comprehensive understanding of the facts relevant to the incident;
- Have the necessary experience and expertise in relation to the type of incident;
- Have excellent interpersonal skills, including being able to effectively engage in an honest, open and transparent manner, avoiding excessive use of jargon;
- Be willing and able to offer a meaningful apology / expression of regret, reassurance and feedback.

If required, the lead person communicating information about the SAI should also be able to nominate a colleague who may assist them with the meeting and should be someone with experience or training in communicating with the service user / family.

The person/s nominated to engage could also be a member/s of the review team (if already set up).

---

<sup>7</sup> *FPS SAIs involving FPS this will involve senior professionals/staff from the HSCB Integrated Care Directorate.*

### **4.3 Stage 3 - Initial Meeting with the Service User / Family**

The initial discussion is the first part of an on-going communication process. Many of the points raised here should be expanded on in subsequent meetings with the service user / family.

#### **4.3.1 Preparation Prior to the Initial Meeting**

- The service user / family should be given the leaflet - What I Need to Know About a SAI (see appendix 2);
- Share with the service user / family what is going to be discussed at the meeting and who will be in attendance.

#### **4.3.2 During the Initial Meeting**

The content of the initial meeting with the service user / family should cover the following:

- Welcome and introductions to all present;
- An expression of genuine sympathy or a meaningful apology for the event that has occurred;
- The facts that are known to the multidisciplinary team;
- Where a service user has died, advising the family that the coroner has been informed (where there is a requirement to do so) and any other relevant organisation/body;
- The service user / family are informed that a SAI review is being carried out;
- Listening to the service user's / families understanding of what happened;
- Consideration and formal noting of the service user's / family's views and concerns;
- An explanation about what will happen next in terms of the SAI review, findings, recommendations and learning and timescales;
- An offer of practical and emotional support for the service user / family. This may involve getting help from third parties such as charities and voluntary organisations, providing details of support from other organisations, as well as offering more direct assistance;
- Advising who will be involved in the review before it takes place and who the review report will be shared with;
- Advising that all SAI information will be treated as confidential.

If for any reason it becomes clear during the initial discussion that the service user / family would prefer to speak to a different health / social

care professional, these wishes should be respected, and the appropriate actions taken.

It is important during the initial meeting to try to avoid any of the following:

- Speculation;
- Attribution of blame;
- Denial of responsibility;
- Provision of conflicting information from different health and social care individuals.

It should be recognised that the service user / family may be anxious, angry and frustrated, even when the meeting is conducted appropriately. It may therefore be difficult for organisations to ascertain if the service user / family have understood fully everything that has been discussed at the meeting. It is essential however that, at the very least, organisations are assured that the service user / family leave the meeting fully aware that the incident is being reviewed as a SAI, and knowing the organisation will continue to engage with them as the review progresses, so long as the service user / family wish to engage.

*Appendix 3 provides examples of words / language which can be used during the initial discussion with the service user / family.*

## **4.4 Stage 4 – Follow-up Discussions**

Follow-up discussions are dependent on the needs and wishes of the service user / family.

The following guidelines will assist in making the communication effective:

- The service user / family should be updated if there are any delays and the reasons for the delays explained;
- Advise the service user / family if the incident has been referred to any other relevant organisation / body;
- Consideration is given to the timing of the meetings, based on both the service users / families health, personal circumstances and preference on the location of the meeting, e.g. the service users / families home;
- Feedback on progress to date, including informing the service user / family of the Terms of Reference of the review and membership of the review panel (for level 2 and 3 SAI reviews);
- There should be no speculation or attribution of blame. Similarly, the health or social care professional / senior manager communicating the SAI must not criticise or comment on matters outside their own experience;
- A written record of the discussion is kept and shared with the service user / family;
- All queries are responded to appropriately and in a timely way.

## **4.5 Stage 5 – Process Completion**

### **4.5.1 Communicating findings of review / sharing review report**

Feedback should take the form most acceptable to the service user / family. Communication should include:

- a repeated apology / expression of regret for the harm / distress suffered;
- the chronology of clinical and other relevant factors that contributed to the incident;
- details of the service users / families concerns;
- information on learning and outcomes from the review
- Service user / family should be assured that lines of communication will be kept open should further questions arise at a later stage and a single point of contact is identified.

It is expected that in most cases there will be a complete discussion of the findings of the review and that the final review report will be shared with



the service user / family. In some cases however, information may be withheld or restricted, for example:

- Where communicating information will adversely affect the health of the service user / family;
- Where specific legal/coroner requirements preclude disclosure for specific purposes;
- If the deceased service users health record includes a note at their request that he/she did not wish access to be given to his/her family.

Clarification on the above issues should be sought form Legal Services.

There may also be instances where the service user / family does not agree with the information provided, in these instances Appendix 1 (section 1.8) will provide additional assistance.

In order to respond to the timescales as set out in the Procedure for the Reporting and Follow up of SAIs (November 2016) organisations may not have completed stage 5 of the engagement process prior to submission of the review report to HSCB. In these instances, organisations must indicate on the SAI review checklist, submitted with the final review report to the HSCB, the scheduled date to meet with the service user / family to communicate findings of review / share review report.

#### **4.5.2 Communicating Changes to Staff**

It is important that outcomes / learning is communicated to all staff involved and to the wider organisation as appropriate.

#### **4.6 Documentation**

Throughout the above stages it is important that discussions with the service user / family are documented and should be shared with the individuals involved.

Documenting the process is essential to ensure continuity and consistency in relation to the information that has been relayed to the service user / family.

Documentation which has been produced in response to a SAI may have to be disclosed later in legal proceedings or in response to a freedom of information application. It is important that care is taken in all communications and documents stating fact only.

*Appendix 4 provides a checklist which organisations may find useful as an aide memoire to ensure a professional and standardised approach.*

## **5.0 Supporting Information and Tools**

In addition to this guidance, supporting tools have been developed to assist HSC organisations with implementing the actions of the NPSA's Being Open Patient Safety Alert.

Training on being open is freely available through an e-learning tool for all HSC organisations.

Information on all these supporting tools can be found at: [www.npsa.nhs.uk/beingopen](http://www.npsa.nhs.uk/beingopen) and [www.nrls.npsa.nhs.uk/beingopen/](http://www.nrls.npsa.nhs.uk/beingopen/).

Guidance on sudden death and the role of bereavement co-ordinators in Trusts can be found at:

<http://webarchive.proni.gov.uk/20120830110704/http://www.dhsspsni.gov.uk/sudden-death-guidance.pdf>

## List of Acronyms and Abbreviations

FPS	-	Family Practitioner Services
GMC	-	General Medical Council
HSC	-	Health and Social Care
HSCB	-	Health and Social Care Board
HSE	-	Health Service Executive
MDU	-	Medical Defence Union
MPS	-	Medical Protection Society
NIASW	-	Northern Ireland Association for Social Work
NISCC	-	Northern Ireland Social Care Council
NMC	-	Nursing and Midwifery Council
NPSA	-	National Patient Safety Agency
PCC	-	Patient Client Council
PHA	-	Public Health Agency
RC	-	Royal colleges
RCA	-	Root Cause Analysis
RQIA	-	Regulation and Quality Improvement Authority
SAI	-	Serious Adverse Incident
SEA	-	Significant Event Audit

## Particular Service user Circumstances

The approach to how an organisation communicates with a service user / family may need to be modified according to the service user's personal circumstances.

The following gives guidance on how to manage different categories of service user circumstances.

### 1.1 When a service user dies

When a SAI has resulted in a service users death, the communication should be sensitive, empathetic and open. It is important to consider the emotional state of bereaved relatives or carers and to involve them in deciding when it is appropriate to discuss what has happened.

### 1.2 Children

The legal age of maturity for giving consent to treatment is 16 years old. However, it is still considered good practice to encourage young people of this age to involve their families in decision making.

The courts have stated that younger children who understand fully what is involved in the proposed procedure can also give consent. Where a child is judged to have the cognitive ability and the emotional maturity to understand the information provided, he/she should be involved directly in the communication process after a SAI.

The opportunity for parents / guardians to be involved should still be provided unless the child expresses a wish for them not to be present. Where children are deemed not to have sufficient maturity or ability to understand, consideration needs to be given to whether information is provided to the parents / guardians alone or in the presence of the child. In these instances the parents' / guardians' views on the issue should be sought.

### **1.3 Service users with mental health issues**

Communication with service users with mental health issues should follow normal procedures unless the service user also has cognitive impairment (see 1.4 Service users with cognitive impairments).

The only circumstances in which it is appropriate to withhold SAI information from a service user with mental health issues is when advised to do so by a senior clinician who feels it would cause adverse psychological harm to the service user. However, such circumstances are rare and a second opinion may be required to justify withholding information from the service user.

In most circumstances, it is not appropriate to discuss SAI information with a carer or relative without the permission of the service user, unless in the public interest and / or for the protection of third parties.

### **1.4 Service users with cognitive impairment**

Some individuals have conditions that limit their ability to understand what is happening to them.

In these cases communication would be conducted with the carer / family as appropriate. Where there is no such person, the clinicians may act in the service users best interest in deciding who the appropriate person is to discuss the SAI with.

### **1.5 Service users with learning disabilities**

Where a service user / family has difficulties in expressing their opinion verbally, every effort should be made to ensure they can use or be facilitated to use a communication method of their choice. An advocate / supporter, agreed on in consultation with the service user, should also be identified. Appropriate advocates / supporters may include carer/s, family or friends of the service user or a representative from the Patient Client Council (PCC).

## **1.6 Service users with different language or cultural considerations**

The need for translation and advocacy services and consideration of special cultural needs must be taken into account when planning to discuss SAI information. Avoid using 'unofficial translators' and / or the service users family or friends as they may distort information by editing what is communicated.

## **1.7 Service users with different communication needs**

Service users who have communication needs such as hearing impaired, reduced vision may need additional support.

## **1.8 Service users who do not agree with the information provided**

Sometimes, despite the best efforts the service user/family/carer may remain dissatisfied with the information provided. In these circumstances, the following strategies may assist:

- Facilitate discussion as soon as possible;
- Write a comprehensive list of the points that the service user / family disagree with and where appropriate reassure them you will follow up these issues.
- Ensure the service user / family has access to support services;
- Offer the service user / family another contact person with whom they may feel more comfortable.
- Use an acceptable service user advocate e.g. PCC or HSC layperson to help identify the issues between the HSC organisation and the service user / family and to achieve a mutually agreeable solution;

There may be occasions despite the above efforts the service user/family/carer remain dissatisfied with the HSC organisation's attempts to resolve their concerns. In these exceptional circumstances, the service user/family/carer through the agreed contact person, should be advised of their right to approach the Northern Ireland Public Services Ombudsman (NIPSO). In doing so, the service user/family requires to be advised by the HSC organisation that the internal procedure has concluded (within two weeks of this process having been concluded), and that the service user/family should approach the NIPSO within six months of this notification.

The contact details for the NIPSO are: Freephone 0800 34 34 34 or Progressive House, 33 Wellington Place, Belfast, BT1 6HN.

## **1.9 Service Users who do not wish to participate in the engagement process**

It should be documented if the service user does not wish to participate in the engagement process.

## *What I need to know about a Serious Adverse Incident*

**Information for  
Service Users,  
Family Members and  
Carers**

**Insert Name of Organisation**

---



This leaflet is written for people who use Health and Social Care (HSC) services and their families.

*\*The phrase service user / family member and carer is used throughout this document in order to take account of all types of engagement scenarios. However, when a service user has capacity, communication should always (in the first instance) be with them.*

## Introduction

Events which are reported as Serious Adverse Incidents (SAIs) help identify learning even when it is not clear something went wrong with treatment or care provided.

When things do go wrong in health and social care it is important that we identify this, explain what has happened to those affected and learn lessons to ensure the same thing does not happen again. SAIs are an important means to do this. Areas of good practice may also be highlighted and shared, where appropriate.

## What is a Serious Adverse Incident?

A SAI is an incident or event that must be reported to the Health and Social Care Board (HSCB) by the organisation where the SAI has occurred. It may be:

- an incident resulting in serious harm;
- an unexpected or unexplained death;
- a suspected suicide of a service user who has a mental illness or disorder;
- an unexpected serious risk to wellbeing or safety, for example an outbreak of infection in hospital;

A SAI may affect services users, members of the public or staff.

Never events are serious patient safety incidents that should not occur if the appropriate preventative measures have been implemented by healthcare providers. A small number of SAIs may be categorised as never events based on the Department of Health Never Events list.

SAIs, including never events, occurring within the HSC system are reported to the HSCB. You, as a service user / family member / carer, will be informed where a SAI and/or never event has occurred relating to treatment and care provided to you by the HSC.

## Can a complaint become a SAI?

Yes, if during the follow up of a complaint the **(insert name of organisation)** identifies that a SAI has occurred it will be reported to the HSCB. You, as a service user / family member and carer will be informed of this and updated on progress regularly.

## How is a SAI reviewed?

Depending on the circumstance of the SAI a review will be undertaken. This will take between 8 to 12 weeks depending on the complexity of the case. If more time is required you will be kept informed of the reasons.

The **(insert name of organisation)** will discuss with you how the SAI will be reviewed and who will be involved. The **(insert name of organisation)** will welcome your involvement if you wish to contribute.

Our goal is to find out what happened, why it happened and what can be done to prevent it from happening again and to explain this to those involved.

## How is the service user or their family/carer involved in the review?

An individual will be identified to act as your link person throughout the review process. This person will ensure as soon as possible that you:

- Are made aware of the incident, the review process through meetings / telephone calls;
- Have the opportunity to express any concerns;
- Know how you can contribute to the review, for example share your experiences;
- Are updated and advised if there are any delays so that you are always aware of the status of the review;
- Are offered the opportunity to meet and discuss the review findings;
- Are offered a copy of the review report;

- Are offered advice in the event that the media make contact.

## What happens once the review is complete?

The findings of the review will be shared with you. This will be done in a way that meets your needs and can include a meeting facilitated by **(insert name of organisation)** staff that is acceptable to you.

## How will learning be used to improve safety?

By reviewing a SAI we aim to find out what happened, how and why. By doing this we aim to identify appropriate actions which will prevent similar circumstances occurring again.

We believe that this process will help to restore the confidence of those affected by a SAI.

For each completed review:

- Recommendations may be identified and included within an action plan;
- Any action plan will be reviewed to ensure real improvement and learning.

We will always preserve your confidentiality while also ensuring that opportunities to do things better are shared throughout our organisation and the wider health and social care system. Therefore as part of our process to improve quality and share learning, we may share the anonymised content of the SAI report with other HSC organisations'

## Do families get a copy of the report?

Yes, a copy of the review report will be shared with service users and/or families with the service user's consent.

If the service user has died, families/carers will be provided with a copy of the report and invited to meet with senior staff.

## Who else gets a copy of the report?

The report is shared with the Health and Social Care Board (HSCB) and Public Health Agency (PHA). Where appropriate it is also shared with the Coroner.

The Regulation and Quality Improvement Authority (RQIA) have a statutory obligation to review some incidents that are also reported under the SAI procedure. In order to avoid duplication of incident notification and review, RQIA work in conjunction with the HSCB / PHA with regard to the review of certain categories of SAI including the following:

- All mental health and learning disability SAIs reportable to RQIA under Article 86.2 of the Mental Health (NI) Order 1986.
- Any SAI that occurs within the regulated sector for example a nursing, residential or children's home (whether statutory or independent) for a service that has been commissioned / funded by a HSC organisation.

In both instances the names and personal details that might identify the individual are removed from the report. The relevant organisations monitor the **(insert name of organisation)** to ensure that the recommendations have been implemented. The family may wish to have follow up / briefing after implementation and if they do this can be arranged by their link person within the **(insert name of organisation)**.

All those who attended the review meeting are given a copy of the anonymised report. Any learning from the review will be shared as appropriate with relevant staff/groups within the wider HSC organisations.

## Further Information

If you require further information or have comments regarding this process you should contact the nominated link person - name and contact details below:

Your link person is .....

Your link person's job title is.....

Contact number .....

Hours of work.....

## **Prior to any meetings or telephone call you may wish to consider the following:**

Think about what questions and fears/concerns you have in relation to:

- (a) What has happened?
- (b) Your condition / family member condition
- (c) On-going care

You could also:

- Write down any questions or concerns you have;
- Think about who you would like to have present with you at the meeting as a support person;
- Think about what things may assist you going forward;
- Think about which healthcare staff you feel should be in attendance at the meeting.

## **Patient and Client Council**

The Patient Client Council offers independent, confidential advice and support to people who have a concern about a HSC Service. This may include help with writing letters, making telephone calls or supporting you at meetings, or if you are unhappy with recommendations / outcomes of the reviews.

### **Contact details:**

**Free phone number: 0800 917 0222**

**Appendix 3**

<b>Examples of communication which enhances the effectiveness of being open</b>	
<b>Stage of Process</b>	<b>Sample Phrases</b>
Acknowledgement	<p>“We are here to discuss the harm that you have experienced/the complications with your surgery/treatment”</p> <p>“I realise that this has caused you great pain/distress/anxiety/worry”</p> <p>“I can only imagine how upset you must be”</p> <p>“I appreciate that you are anxious and upset about what happened during your surgery – this must have come as a big shock for you”</p> <p>“I understand that you are angry/disappointed about what has happened”</p> <p>“I think I would feel the same way too”</p>
Sorry	<p>“I am so sorry this has happened to you”</p> <p>“I am very sorry that the procedure was not as straightforward as we expected and that you will have to stay in hospital an extra few days for observation”</p> <p>“I truly regret that you have suffered xxx which is a recognised complication associated with the x procedure/treatment.” “I am so sorry about the anxiety this has caused you”</p> <p>“A review of your case has indicated that an error occurred – we are truly sorry about this”</p>
Story	<p><b>Their Story</b></p> <p>“Tell me about your understanding of your condition”</p> <p>“Can you tell me what has been happening to you”</p> <p>“What is your understanding of what has been happening to you”</p> <p><b>Your understanding of their Story: (Summarising)</b></p> <p>“I understand from what you said that” xxx “and you are very upset and angry about this”</p>

	<p>Is this correct? (i.e. summarise their story and acknowledge any emotions/concerns demonstrated.)</p> <p>“Am I right in saying that you.....”</p> <p><b>Your Story</b></p> <p>“Is it ok for me to explain to you the facts known to us at this stage in relation to what has happened and hopefully address some of the concerns you have mentioned?”</p> <p>“Do you mind if I tell you what we have been able to establish at this stage?”</p> <p>“We have been able/unable to determine at this stage that.....”</p> <p>“We are not sure at this stage about exactly what happened but we have established that ..... We will remain in contact with you as information unfolds”</p> <p>“You may at a later stage experience xx if this happens you should .....”</p>
<p>Inquire</p>	<p>“Do you have any questions about what we just discussed?”</p> <p>“How do you feel about this?”</p> <p>“Is there anything we talked about that is not clear to you?”</p>
<p>Solutions</p>	<p>“What do you think should happen now?”</p> <p>“Do you mind if I tell you what I think we should do?”</p> <p>“I have reviewed your case and this is what I think we need to do next”</p> <p>“What do you think about that?”</p> <p>“These are your options now in relation to managing your condition, do you want to have a think about it and I will come back and see you later?”</p> <p>“I have discussed your condition with my colleague Dr x we both think that you would benefit from xx. What do you think about that?”</p>
<p>Progress</p>	<p>“Our service takes this very seriously and we have already started a review into the incident to see if we can find out what caused it to happen”</p> <p>“We will be taking steps to learn from this event so that we can</p>

	<p>try to prevent it happening again in the future”</p> <p>“I will be with you every step of the way as we get through this and this is what I think we need to do now”</p> <p>“We will keep you up to date in relation to our progress with the review and you will receive a report in relation to the findings and recommendations of the review team”</p> <p>“Would you like us to contact you to set up another meeting to discuss our progress with the review?”</p> <p>“I will be seeing you regularly and will see you next in....days/weeks.</p> <p>“You will see me at each appointment”</p> <p>“Please do not hesitate to contact me at any time if you have any questions or if there are further concerns – you can contact me by.....”</p> <p>“If you think of any questions write them down and bring them with you to your next appointment.”</p> <p>“Here are some information leaflets regarding the support services we discussed – we can assist you if you wish to access any of these services”</p>
--	---



*Organisations may find this checklist useful an aide memoire to ensure a professional and standardised approach*

## Before, During and After Communication / Engagement Documentation Checklist

### **BEFORE**

### **Note taking**

Service users full name	
Healthcare record number	
Date of birth	
Date of admission	
Diagnosis	
Key HSC professional(s) involved in service user's care	
Date of discharge (if applicable)	
Date of SAI	
Description of SAI	
Outcome of SAI	
Agreed plan for management of SAI	
Agreed professional to act as contact person with the service user / family	

<p>Service user / family informed incident is being reviewed as a SAI:</p> <ul style="list-style-type: none"> <li>• Date</li> <li>• By Whom</li> <li>• By what means (telephone call / letter / in person)</li> </ul>	
<p>Date of first meeting with the service user / family</p>	
<p>Location of first meeting (other details such as room booking, arrangements to ensure confidentiality if shared ward etc)</p>	
<p>Person to be responsible for note taking identified</p>	
<p>Person Nominated to lead communications identified</p>	
<p>Colleague/s to assist nominated lead</p>	
<p>Other staff identified to attend the disclosure meeting</p>	
<p>Anticipated service user / family concerns queries</p>	
<p>Meeting agenda agreed and circulated</p>	
<p>Additional support required by the service user / family, if any?</p>	
<p>The service user / family has been advised to bring a support person to the meeting?</p>	
<p>The service user consented to the sharing of information with others such as designated family members / support person?</p>	

It has been established that the service user / family requires an interpreter? If yes, provide details of language and arrangements that have been or to be made.	

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**DURING**

**Note taking**

There has been an acknowledgment of the SAI in relation to the service user / family experience.	
An apology / expression of regret provided	
The service user / family was provided with factual information regarding the adverse event	
The service user / family understanding of the SAI was established	
The service user / family was provided with the opportunity to: <ul style="list-style-type: none"> <li>- Tell their story</li> <li>- Voice their concerns and</li> <li>- Ask questions</li> </ul>	
The next steps in relation to the service user's on-going care were agreed and the service user was involved in the decisions made.	
The service user / family was provided with information in relation to the supports available to them.	
Reassurance was provided to the service user / family in relation to the on-going communication of facts when the information has been established and available – continuity provided.	
Next meeting date and location agreed	

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**AFTER**

Circulate minutes of the meeting to all relevant parties for timely verification.

Follow through on action points agreed.

Continue with the incident review.

Keep the service user included and informed on any progress made – organise further meetings.

Draft report to be provided to the service user in advance of the final report (if agreed within review Terms of Reference that the draft report is to be shared with the service user prior to submission to HSCB/PHA).

Offer a meeting with the service user to discuss the review report and allow for amendments if required.

Follow through on any recommendations made by the incident review team.

Closure of the process is mutually agreed.

When closure / reconciliation was not reached the service user was advised of the alternative courses of action which are open to them i.e the complaints process.

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_