NHS
Warrington
Clinical Commissioning Group

Serious Incident Reporting and Management Policy

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Version No.:	V1.0
Approval Date:	30 November 2016
Review Date:	30 November 2017

Purpose of the policy

This policy describes the overarching process for ensuring that serious incidents occurring within the CCG and in provider organisations are promptly reported and managed, and that assurances are received that lessons have been learned.

Document Control Sheet

Document Control				
Version No	Draft Issued	Page(s)	Author	Draft approved
0.1	21 July 2015		J Lake	
1.0	23 November 2016		R Knight	30 November 2016

Equality Impact Assessment

This policy has been screened to ensure that there is no discrimination on the basis of race, colour, nationality, ethnic or national origins, religious beliefs gender, marital status, age, sexual orientation or disability.

Contents

Executive Summary

1. Serious incidents requiring investigation in healthcare are rare, but when they do occur, everyone must make sure that there are systematic measures in place to respond to them. These measures must protect patients and ensure that robust investigations are carried out. When an incident occurs it must be reported to all relevant bodies.

2. The 7 key principles in managing Serious Incidents are as follows:

   - Open & Transparent
   - Preventative
   - Objective
   - Timely & Responsive
   - Systems based
   - Proportionate
   - Collaborative

3. The fundamental purpose and principles of Serious Incident management is to learn from incidents to prevent the likelihood of recurrence of harm by:

   - Having a process, procedures and ethos that facilitate organisations in achieving this fundamental purpose;
   - Clarity on key accountabilities of those involved in Serious Incident management, which is to support those affected including patients, victims, their families and staff and to engage with them in an open, honest and transparent way;
   - Recognition of key organisational accountabilities where the provider is responsible for their response to Serious Incidents and where commissioners are responsible for assuring this response is appropriate.

4. This policy establishes a clear approach to the handling of an incident defined as a serious incident (SI). It contains the minimum reporting requirements expected by NHS Warrington Clinical Commissioning Group (CCG) in line with the principles laid out in the National Patient Safety Agency (NPSA) (2010) framework for Reporting and Learning from Serious Incidents Requiring Investigation and updated in NHS England Serious Incident Reporting and Never Event Frameworks. (March 2015).

5. Underpinning this process is a system of good governance that promotes a culture of openness and an attitude that facilitates learning from all incidents. This should include prompt reporting, appropriate and robust investigation, action planning, learning and follow-up, and where necessary, communications management.

6. This policy and procedure contains serious incident reporting criteria to guide NHS Warrington CCG and Midlands & Lancashire Commissioning Support Unit (MLCSU) in support of any incident meeting the Serious Incident (SI) criteria that occurs involving an NHS funded patient in Warrington. Where there are any doubts about thresholds of reporting these should be discussed with the Head of Assurance & Risk at NHS Warrington CCG or the Governance &

Compliance Lead/Serious Incident Performance Manager at MLCSU, who provide the SI Management function on behalf of the CCG.

Introduction

7. This policy is based on the NHS England Serious Incident Reporting Framework published in March 2015. Organisations providing NHS funded care in England are required to demonstrate accountability for effective governance and learning following a Serious Incident or Never Event. Serious incidents in healthcare are relatively uncommon, but when they occur the National Health Service (NHS) has a responsibility to ensure there are systematic measures in place for safeguarding people, property, NHS resource and reputation. This includes the responsibility to learn from these incidents to minimise the risk of reoccurrence (NPSA, 2010).

8. The revised SI Framework contains guidance in relation to the requirements of the Health and Social Care Act 2008 (Registration of Regulated Activities) Regulations 2010 and CQC Essential Standards on Quality and Safety, particularly in relation to reporting serious incidents; contractual terms in relation to reporting serious incidents, including reporting to commissioners of services; guidance on reporting, disclosing, investigating and responding to serious incidents; duties under the Health and Social Care Act 2012 to continuously improve the quality of services; reporting requirements in relation to other bodies such as the NHS Trust Development Authority, Police, Health and Safety Executive, local Safeguarding Boards, NHS Improvement, Coroners and others.

The purpose of this policy

9. The NPSA (and subsequently NHS England) have provided a clear framework to ensure consistency across the reporting and the management of SIs. The purpose of this policy is to outline the overarching governance arrangements for the management of Serious Incidents and/or Never Events occurring within independent providers.

10. Promoting safety by reducing error is a key priority for the NHS, particularly since the publication of '*An Organisation with a Memory'* (Department of Health, 2000) which emphasises the importance of learning from adverse events.

11. NHS Warrington CCG is committed to the commissioning of high quality care and services and the achievement of a high standard of health, safety and welfare at work for all its employees and others visiting, engaged in or affected by its activities and services.

12. This policy supports openness, trust, continuous learning and service improvement from SI's reporting, monitoring and learning from incidents.

13. NHS Warrington CCG makes explicit in its contracts with all providers its expectations regarding serious incident reporting and management, the indicators and the process for performance management.

14. The role of NHS Warrington CCG in dealing with Serious Incidents is to ensure that:

1. Serious incidents are thoroughly investigated and the duty of candour is applied
2. Action is taken where necessary, to improve clinical quality and patient safety
3. Lessons are learned in order to minimise the risk of similar incidents occurring in the future and that learning is shared across the wider health community
4. Commission independent investigations where appropriate

The scope of this policy

15. This policy is designed to help providers take appropriate steps in the best interests of their service users, staff and the NHS as a whole. It contains the minimum reporting requirements expected by NHS Warrington CCG. This policy does not replace the duty to inform other relevant authorities relating to serious incidents as required. Where regulated activities take place, registration with the Care Quality Commission and compliance with Essential Standards of Quality and Safety are required.

Definitions

16. There is no definitive list of incidents that constitute an SI, although StEIS (Strategic Executive Information System) does include a list of types of incident for ease of categorisation. The following is the criteria stated in the new Framework:-

Acts and/or omissions occurring as part of NHS-funded healthcare (including in the community) that result in:

- Unexpected or avoidable death of one or more people. This includes suicide/self-inflicted death; and homicide by a person in receipt of mental health care within the recent past.
- Unexpected or avoidable injury to one or more people that has resulted in serious harm;
- Unexpected or avoidable injury to one or more people that requires further treatment by a healthcare professional in order to prevent:
  - the death of the service user; or
  - serious harm;
- Actual or alleged abuse; sexual abuse, physical or psychological ill-treatment, or acts of omission which constitute neglect, exploitation,

financial or material abuse, discriminative and organisational abuse, self-neglect, domestic abuse, human trafficking and modern day slavery where:

- healthcare did not take appropriate action/intervention to safeguard against such abuse occurring; or
- where abuse occurred during the provision of NHS-funded care (This may include failure to take a complete history, gather information from which to base care plan/treatment, assess mental capacity and/or seek consent to treatment, or fail to share information when to do so would be in the best interest of the client in an effort to prevent further abuse by a third party and/or to follow policy on safer recruitment)

o This includes abuse that resulted in (or was identified through) a Serious Case Review (SCR), Safeguarding Adult Review (SAR), Safeguarding Adult Enquiry or other externally-led investigation, where delivery of NHS funded care caused/contributed towards the incident

o A Never Event - all Never Events are defined as serious incidents although not all Never Events necessarily result in serious harm or death.

o An incident (or series of incidents) that prevents, or threatens to prevent, an organisation's ability to continue to deliver an acceptable quality of healthcare services, including (but not limited to) the following:

- Failures in the security, integrity, accuracy or availability of information often described as data loss and/or information governance related issues
- Property damage;
- Security breach/concern;
- Incidents in population-wide healthcare activities like screening and immunisation programmes where the potential for harm may extend to a large population;
- Inappropriate enforcement/care under the Mental Health Act (1983) and the Mental Capacity Act (2005) including Mental Capacity Act, Deprivation of Liberty Safeguards (MCA DOLS);
- Systematic failure to provide an acceptable standard of safe care (this may include incidents, or series of incidents, which necessitate ward/ unit closure or suspension of services); or
- Activation of Major Incident Plan (by provider, commissioner or relevant agency)
- Major loss of confidence in the service, including prolonged adverse media coverage or public concern about the quality of healthcare or an organisation (As an outcome loss in confidence/ prolonged media coverage is hard to predict. Often serious incidents of this nature will be identified and reported retrospectively and this does not automatically signify a failure to report)

17. As a minimum, patient safety incidents leading to unexpected death or severe harm should be investigated to identify root causes and enable improvement action to be taken to prevent recurrence. The definition of SIs requiring investigation extends beyond those which affect patients directly, and includes incidents which may indirectly impact patient safety or an organisation's ability

to deliver on-going healthcare. All serious patient safety incidents should be reported to the NPSA, and to notifiable partner organisations.

Definitions of key types and levels of harm

18. **NHS-funded healthcare –** all services providing NHS funded care including independent providers where NHS funded services are delivered.

19. **Serious Harm -** Severe harm (patient safety incident that appears to have resulted in permanent harm to one or more persons receiving NHS-funded care):-

    - Chronic pain (continuous, long-term pain of more than 12 weeks or after the time that healing would have been thought to have occurred in pain after trauma or surgery); or
    - Psychological harm, impairment to sensory, motor or intellectual function or impairment to normal working or personal life which is not likely to be temporary (i.e. has lasted, or is likely to last for a continuous period of at least 28 days).

20. **Unexpected/Avoidable death -** Caused or contributed to by weaknesses in care/service delivery (including lapses/acts and/or omission) as opposed to a death which occurs as a direct result of the natural course of the patient's illness or underlying condition where this was managed in accordance with best practice.

21. **Homicide by a person in receipt of mental health care** includes those in receipt of care within the last 6 months but this is a guide and each case should be considered individually - it may be appropriate to declare a serious incident for a homicide by a person discharged from mental health care more than 6 months previously.

22. **Security breach/concern -** includes absence without authorised leave for patients who present a significant risk to themselves or the public.

23. **Patient Safety Incident -** Any unintended or unexpected incident that could have led or did lead to harm for one or more patients receiving NHS-funded healthcare.

'Never Event'

24. Never Events are *"serious, largely preventable, patient safety incidents that should not occur if the available preventative measures have been implemented by healthcare providers (DOH, 2012). Never events are patient safety incidents that are preventable because:*

    - There is guidance that explains what the care or treatment should be;
    - There is guidance to explain how risks and harm can be prevented;

- There has been adequate notice and support to put systems in place to prevent them from happening."

25. Details of the categories of Never Events, as defined by the Department of Health and the former NPSA, are reviewed and published annually on the Department of Health website. A link to the list of current Never Events can be found on page 19.

Fair Blame statement

26. NHS Warrington CCG recognises that most incidents occur because of problems with systems as opposed to individuals and is committed to a 'fair blame' culture. To foster a fair blame culture, no disciplinary action will result from the reporting of an adverse event, mistake, serious incident or near miss, except where there has been criminal or malicious activity, professional malpractice, acts of gross misconduct, repeated mistakes or where errors or violations have not been reported. Lessons need to be learned from these events in order that every effort is made to prevent a recurrence.

Being Open Statement/Duty of Candour Compliance

27. NHS Warrington CCG is committed to a culture of openness and accountability and encourages openness and honesty in accordance with the NHS England framework for effective communication with patients and/or their carers 'Being Open Framework (2009) and works to the principles set out within. The requirement to comply with the statutory Duty of Candour is explicitly required and should be reflected within contracts with providers.

Accountabilities

Provider Serious Incidents

28. For main providers (who are themselves responsible for logging, investigating and learning from their SIs), the CCG is accountable for ensuring information is used from SIs for continuous improvement across the wider health economy. There should also be clear lines of communication and nominated individuals for the quality management of the SI process.

29. Arrangements should also be explicit for co-commissioning and, where necessary, a Memorandum of Understanding developed or built in to joint policies to ensure clarity of management

CCG Serious Incidents

30. Any internal incident meeting the SI criteria must be escalated to the MLCSU team for logging on StEIS using the form in Appendix C on. The investigation and subsequent production of a Root Cause Analysis (RCA) Report is the responsibility of the CCG, sign off and closure of the SI must be carried out by NHS England Sub Region office, however, the MLCSU will update StEIS prior to any request for closure.

Independent Providers

31. CCGs are also responsible (via MLCSU) for ensuring that all providers have a route to report in to StEIS. For SIs that occur in independent providers such as Nursing Homes, based on the CCG area in which the Nursing Home is sited, the CCG may report these on behalf of independent providers who do not have access to StEIS. RCA investigations regarding nursing homes are usually conducted by the Nursing Home itself or the Quality Lead or other CCG nominated person, if appropriate. The logging on StEIS, monitoring and management is via the MLCSU SI team with any closure agreed by the CCG/Panel. The MLCSU may close an SI on StEIS once agreed.

32. The NHS England Sub Region Team will support CCGs to ensure they have the right systems and capability to hold providers to account for their response to serious incidents.

33. Where serious incidents originate in or involve the actions of commissioning organisations or the NTDA, they are accountable for their response to the serious incident according to the principles in this document.

34. Most healthcare providers have to register with CQC and most providers of NHS-funded care have to be licensed by Monitor. The regulators will use the details of incident reports to monitor organisations' compliance with essential standards of quality and safety and their licence terms.

35. CQC-registered organisations are required to notify CQC about events that indicate or may indicate risks to compliance with registration requirements, or that lead or may lead to changes in the details about the organisation in CQC's register. They are required to report serious incidents as defined in CQC's guidance, *Essential Standards of Quality and Safety*. Most of these requirements are met by reporting via the National Reporting and Learning System (NRLS), who will forward relevant information to CQC. The exception is for independent sector providers and primary medical service providers who must report serious incidents directly to CQC. They can also report to the NRLS.

Serious Incident Reporting Management

36. For any SI that occurs outside of normal office hours 08:30 – 17:30 (Monday – Friday, excluding Bank Holidays) providers should initially alert their own Directors/Senior Management via the providers own on-call system. It will be the decision of the Provider on-call whether to escalate the matter to the CCG on-call Director, dependant on severity of incident and whether media attention is expected, or wait until the next working day.

37. NHS Warrington CCG Director on-call will make the decision on whether to alert NHS England sub region office via the on-call system.

38. Where a SI involves a vulnerable adult or child, consideration must be given to raising an alert as a safeguarding concern and local safeguarding processes initiated and followed by the reporting organisations Safeguarding Team (NHS Warrington CCG Safeguarding policies).

39. If more than one organisation is involved in a SI, the organisation that is responsible for the care of the patient at the time of the incident will report the SI. Providers of NHS-funded care (e.g. Nursing Homes) should contact NHS Warrington CCG/MLCSU to discuss reporting requirements and advise the CCG/MLCSU on which organisation will lead the investigation.

40. Where potential media interest exists, NHS Warrington CCG will co-ordinate a media response, with the appropriate stakeholders, based on the available information, this will be shared with NHS England Sub Region to ensure any necessary media management is proportionate and well managed.

Information Governance Incidents

41. Information Governance incidents that fulfil the criteria of being a SI must be handled in accordance with the process detailed in the Health & Social Care Information Centre/Department of Health (1st June 2013) Checklist Guidance for reporting, managing and investigating information governance serious incidents requiring investigation.

42. The immediate response to the incident and the escalation process for reporting and investigating this will vary according to the severity of the incident. All incidents rated as 2-5 are to follow the SI process and the following additional information should be provided in each case:

Date, time and location of the incident

- Breach Type (definitions and examples of these can be found in Annex C).
- Details of local incident management arrangements.
- Confirmation that appropriate and documented incident management procedures are being followed and that disciplinary action will be invoked, where appropriate, following the investigation.
- Description of what happened.
- Theft, accidental loss, inappropriate disclosure, procedural failure etc.
- The number of patients/service users/staff (individual data subjects) involved.
- The number of records involved.
- The format of the records (paper or digital).
- If digital format, whether encrypted or not.
- The type of record, breach or data involved and sensitivity.
- Whether the Information Governance (IG) Serious Incident Requiring Investigation (SIRI) is in the public domain.
- Whether the media (press etc.) are involved or there is a potential for media interest.
- Whether the IG SIRI could damage the reputation of an individual, a work-team, an organisation or the Health or Adult Social Care sector.
- Whether there are legal implications to be considered.

- Initial assessment of the severity level of the IG SIRI (see Annex A for further detail on how this is calculated).
- Whether the following have been notified (formally or informally):
  - Data subjects
  - Caldicott Guardian
  - Senior Information Risk Owner
  - Chief Executive
  - Accountable Officer
  - Police, Counter Fraud Services, etc.
- Immediate action taken, including whether any staff have been suspended pending the results of the investigation.

43. The IG SIRI category is determined by the context, scale and sensitivity. Every incident can be categorised as level:

    1. Confirmed IG SIRI but no need to report to Information Commissioners Office (ICO), Department of Health (DH) and other central bodies.
    2. Confirmed IG SIRI that must be reported to ICO, DH and other central bodies.

44. A further category of IG SIRI is also possible and should be used in incident closure where it is determined that it was a near miss or the incident is found to have been mistakenly reported:

Near miss/non-event

45. Where an IG SIRI has found not to have occurred or severity is reduced due to fortunate events which were not part of pre-planned controls this should be recorded as a "near miss" to enable lessons learned activities to take place and appropriate recording of the event.

    Step 1 Establish the scale of the incident. If this is not known it will be necessary to estimate the maximum potential scale point.

Baseline Scale		
0	Information about less than 10 individuals	
1	Information about 11-50 individuals	
1	Information about 51-100 individuals	
2	Information about 101-300 individuals	
2	Information about 301 – 500 individuals	
2	Information about 501 – 1,000 individuals	
3	Information about 1,001 – 5,000 individuals	
3	Information about 5,001 – 10,000 individuals	
3	Information about 10,001 – 100,000 individuals	
3	Information about 100,001 + individuals	

Step 2: Identify which sensitivity characteristics may apply and the baseline scale point will adjust accordingly.

Low: For each of the following factors reduce the baseline score by 1
No clinical data at risk
Limited demographic data at risk e.g.address not included, name not included
Security controls/difficulty to access data partially mitigates risk
Medium: The following factors have no effect on baseline score
Basic demographic data at risk e.g. equivalent to telephone directory
Limited clinical information at risk e.g. clinic attendance, ward handover sheet
High: For each of the following factors increase the baseline score by 1
Detailed clinical information at risk e.g. case notes
Particularly sensitive information at risk e.g. HIV, STD, Mental Health, Children
One or more previous incidents of a similar type in past 12 months
Failure to securely encrypt mobile technology or other obvious security failing
Celebrity involved or other newsworthy aspects or media interest
A complaint has been made to the Information Commissioner
Individuals affected are likely to suffer significant distress or embarrassment
Individuals affected have been placed at risk of physical harm
Individuals affected may suffer significant detriment e.g. financial loss
Incident has incurred or risked incurring a clinical untoward incident

Step 3 - Final Score

Final Score	Level of SIRI
1 or less	Level 1 IG SIRI (Not Reportable)
2 or more	Level 2 IG SIRI (Reportable)

46. All staff dealing with SI information must comply with Caldicott Principles, Data Protection and Information Governance requirements. Particular attention must be paid to confidentiality, sensitivity and person identifiable information – apart from the name of the reporter and the file holder within StEIS all other reports and correspondence should not contain any patient or staff identifiable information. The SI will be given a unique identifier which should be quoted as a reference during all associated correspondence, final RCA and Action Plan,

Initial Review

47. Following notification of a SI, MLCSU will liaise with the organisation to request any additional information/clarify details, confirm the appropriate level of investigation, terms of reference and reports required. An entry will be made onto StEIS to this effect. In addition to ensuring entry onto StEIS conforms to the minimum dataset, MLCSU will also ensure that their internal database (Datix) is updated to enable the production of reports and monitoring on behalf of NHS Warrington CCG.

72 Hour Review

48. There is greater emphasis on providers completing a 72 hour review/update. The aim is for an initial incident review to be undertaken by a clinician/manager

with relevant expertise (but not directly involved in the delivery of care/service) which will:

- Identify and provide assurance that any immediate action has been taken to ensure safety of patients/staff/public
- Assess the incident in more detail to clarify whether it does meet the reporting requirements of an SI
- Propose a proportionate level of investigation (*this must be agreed with the commissioner)*

49. This information should be updated on StEIS. A template for use is attached at Appendix A.

50. All actions and correspondence taken by NHS Warrington CCG/MLCSU will be recorded on StEIS within the Trust/Commissioner section on StEIS under the "Correspondence" or "Comments field". The name and title of the person adding the detail should be recorded against the comments.

Serious Incident Investigation Process

51. The reporting organisation is responsible for ensuring that all SI are investigated and documented. Investigations should follow the NPSA's best practice on conducting investigations using root cause analysis (RCA) methodologies. The principles of RCA will be applied to all investigations, but the scale, scope and timescales of investigation will be appropriate to the incident. Advice, where required or identified, will be given to providers in the completion of RCAs by the MLCSU lead/ Head of Assurance & Risk.

Level of Investigation

52. There are three levels of investigation:-

Level 1-concise; internal - for less complex incidents manageable by individuals or a small group at local level
Level 2 – comprehensive; internal - for complex issues manageable by a multi-disciplinary team – it can involve experts/specialists and the provider can involve external members to add a level of scrutiny/objectivity
Level 3- independent – two types.
The first is a provider–focussed investigation where the provider has been unable to carry out an effective/objective and timely investigation due to the complexity or involvement of other agencies and where significant systemic failures appear to have occurred. There may also be conflicts of interest identified. This investigation will normally be commissioned by the commissioner of the care and undertaken by individuals independent of the provider.

53. The second type is SIs that involve the examination of the roles of wider commissioning systems or configuration of services including multi agency and multiple SIs. Any investigation will be independent of the directly involved commissioners and will usually be led by a regional or centrally led team identified by NHS England

54. The levels should be agreed between provider and commissioner within the first 72 hours following the reporting on StEIS. Commissioners may decide to undertake an independent investigation at any stage including following the outcome of a providers own internal investigation.

55. The level of investigation may need to be reviewed and can be changed as new information emerges-with the agreement of the commissioner/provider.

Initial Reporting

56. When an organisation identifies an incident which is assessed as meeting the definition of a serious incident, that organisation should report the incident via the Strategic Executive Information System (StEIS) **within two working days** of the SI being identified. Any delay in notifying the MLCSU should be explained.

Timescales

57. The timescale of the investigation, including notification to NHS Warrington CCG, in normal circumstances will not exceed the 60 working day deadline (for Level 1 and 2 incidents. Level 3 external investigation may take up to 6 months), and should be completed within the terms of the agreed contract.

Extension Requests

58. In view of the increased timescale nationally from 45 to 60 days for the completion and submission of the RCA, it is not expected that extensions will routinely be required. However, if the reporting organisation faces unavoidable delays in its investigation of a SI then NHS Warrington CCG should be notified of the reason for the delay, the anticipated delay period and a new reporting timescale will be negotiated on a case by case basis but there must be compelling reasons for doing so e.g. where new information comes to light during the RCA process which requires further investigation. Agreement of the commissioner must be obtained before the expiry of the original deadline and any extension will be effective from the date on which the SI Report was originally due.

Downgrades

59. If, at any stage during a SI investigation, it becomes apparent that the incident does not constitute a SI it can be downgraded by formal notification, including reasons for downgrading, and agreement with NHS Warrington CCG /MLCSU. At this point the SI will be removed from StEIS and the MLCSU database noted accordingly.

Action Plans

60. Assurance will be sought by NHS Warrington CCG that action plans resulting from a SI investigation are completed within appropriate timescales. Therefore evidence demonstrating that actions have been completed may be requested by NHS Warrington CCG/MLCSU as part of their quality schedule monitoring processes by the quality team during visits. Providers must reference in action plans how shared learning will be implemented both in the specialty involved and across the wider organisation.

Duty of Candour

61. In October 2014, the Department of Health introduced regulations for the Duty of Candour (Health and Social Care Act 2008 (Regulated Activities) Regulations 2014) in response to recommendation 181 of the Francis Inquiry report into Mid Staffordshire NHS Foundation Trust. It requires providers to notify anyone who has been subject (or someone lawfully acting on their behalf, such as families and carers) to a 'notifiable incident' i.e. incident involving moderate or severe harm or death. This notification must include an appropriate apology and information relating to the incident and should be given in person as soon as reasonably practicable (guidance states within 10 days of the incident being logged). This should be followed up with a written account and any further actions since the meeting. Failure to do so may lead to regulatory action by the CQC. This effectively applies to all SIs where a patient has suffered serious harm or death.

62. Moderate harm means - a moderate increase in treatment such as an unplanned return to surgery, an unplanned re-admission, a prolonged episode of care, extra time in hospital or as an outpatient, cancelling of treatment, or transfer to another treatment area (such as intensive care).

63. Compliance with the Duty of Candour in cases below the SI threshold can be recorded on the provider's local incident reporting system. However, in all cases a written record should be kept of when and what was conveyed to the patient or their family/carer and by whom.

64. **Importantly, these Regulations have, from 1st April 2015, been extended to all other healthcare providers registered with the Care Quality Commission**. e.g. GPs, Nursing homes, independent providers.

65. The StEIS system has been updated to record compliance with the Duty of Candour and this should be completed by providers when logging a Serious Incident. Compliance should also be referenced in the RCA Report

Stop the Clock

66. It is acknowledged that whilst every effort should be made to ensure that all SI investigations are completed in a timely manner, in accordance with the National Framework, there are instances when this is impossible due to circumstances which are beyond the immediate control of the reporting

organisation due to issues of primacy. Where unavoidable delays are due to an external party, e.g. where the Police, HM Coroner or Judge has requested that any internal investigation is placed on hold as it may potentially prejudice any criminal investigation and subsequent proceedings. In such cases discussion between the organisation undertaking the investigation and NHS Warrington CCG/MLCSU are required with the rationale for the request to stop the clock. It is the decision of NHS Warrington CCG/MLCSU whether or not a SI meets the criteria for a 'stop the clock'. This rationale will be reported on StEIS

67. In order to ensure robust governance MLCSU will regularly monitor/review Stop the Clock agreements. In cases where such delays are evident it is essential that a clear entry is made onto StEIS by the provider to explain the rationale for the delay.

Process for restarting the clock

68. In order to ensure that RCA investigations progress in a timely manner, once the outcome of the recorded delay is known e.g. outcome of court proceedings, post mortem findings, the provider and NHS Warrington CCG/MLCSU will discuss the removal of the clock-stop and agree a timeframe for completion of the RCA investigation. This date will then become the timeframe for closure of that incident and an entry made on StEIS by MLCSU. This timeframe whilst negotiated with the provider will be required to be a realistic yet prompt timeframe in order to ensure timely closure of the incident.

Process for Closure and Sign-Off

69. Where a SI investigation has been completed and a full investigation report received from the provider including an agreed action plan, NHS Warrington CCG initially determine whether an investigation has met the appropriate quality level to be closed (see Checklist at Appendix B). On receipt of the RCA, NHS Warrington CCG will review and where appropriate ask for expert/specialist advice to ensure the investigation and actions are appropriate. RCAs will normally be reviewed at regular SI Panel meetings, but may also be reviewed outside of this arrangement if closure deadlines fall between meetings. The decision will be recorded at the next meeting to allow an audit trail of outcomes.

70. Commissioners have 20 calendar days in which to review and confirm decisions on closure. In the circumstances where the report is deemed unsatisfactory and extra assurance or information is required this will be sought from the reporting organisation, within five working days of any review meeting, and the SI will remain open until the extra information/feedback is received. StEIS will be updated to reflect the request for extra information.

71. Where the SI investigation report is deemed by NHS Warrington CCG to be complete and details of the findings/lessons learned/actions have been entered onto StEIS the incident will be authorised for closure. Closure will only be actioned where StEIS has been updated with the RCA outcome including recommendations; actions; lessons learnt; how shared across the organisation

and notable practice. Where there has been a death of the patient, the actual cause of death should be recorded on StEIS.

72. Where the SI is subject to a Level 3 (external investigation), closure cannot be effected until evidence is supplied by the provider that all actions have been implemented.

73. If the reported SI is either a Never Event or a Homicide a copy of the investigation report and associated action plan will be shared with NHS England sub Region upon completion. **N.B.** Homicide closures cannot take place until such time as a decision has been taken as to whether or not an Independent Inquiry/Domestic Homicide Review should be commissioned, in accordance with Department of Health guidance. In cases where an Independent Inquiry is commissioned by NHS England sub Region the case should not be closed on STEIS until this is fully completed.

74. Where an incident occurs within an independent provider in the NHS Warrington CCG area, but involves a patient from an external CCG area, this information should be relayed to the MLCSU to enable the home CCG to be informed.

75. Where the investigation has been commissioned by NHS England as part of a regionally led response (Regional Investigation Team), they will meet with relevant stakeholders to approve the report. Once this is complete, there will be a number of pre-publication checks e.g. legal review, media handling etc. before publication of the final report being published on the websites of the relevant commissioner, NHS England and the provider within 21 days of sign off. Advice should be taken from the Caldicott Guardian before any publication regarding compliance with information governance requirements

Monitoring of Serious Incidents

76. NHS Warrington CCG is committed to improvement in quality and safety in commissioned services. A systematic approach to the analysis of patient safety intelligence has been developed which supports the commissioning of safe services.

77. The role of NHS Warrington CCG in the monitoring of serious incidents is to ensure that they are properly investigated, action is being taken to improve patient safety and that lessons are learned in order to minimise the risk of similar incidents occurring in the future.

Contract and Quality Focus Meeting (CQFM)

78. NHS Warrington CCG makes explicit reference within its contracts to its expectation regarding incident reporting and management. To ensure continuous improvement in serious incident management NHS Warrington CCG has a range of key performance indicators built into provider contracts which it uses for monitoring purposes. The CQFM held with providers monitor

the provider's SI performance and highlight any concerns in relation to trends, robustness of actions and lack of assurance with regard to quality and safety. Lessons learnt from incidents are also shared via this forum.

Dissemination of Shared Learning

79. One of the key aims of the serious incident reporting and learning process is to reduce the risk of recurrence, both where the original incident occurred and elsewhere in NHS funded care. The timely and appropriate dissemination of learning following a serious incident is core to achieving this and to ensure that lessons are embedded in practice (NPSA, 2010).

Roles and Responsibilities for the reporting and management of serious incidents within NHS Warrington CCG

80. Overall accountability sits with the Head of Assurance & Risk, which is delegated from the Chief Nurse and Quality Lead.

81. Overall day to day management sits with the MLCSU Governance & Compliance Lead/SI Performance Manager. This role has delegated responsibility for the management of the serious incident reporting system, including notifications to reviewing and performance monitoring, acting as a liaison between the Commissioner and provider organisations. The Governance & Compliance Lead/SI Performance Manager has responsibility for the monitoring, closure, downgrading and extraction of information from StEIS and will provide the nominated leads with information on individual SIs as they are reported. A weekly report is also distributed to nominated CCG Leads, along with a monthly report showing detail and graphs to enable trends to be highlighted.

82. Where specialised services are commissioned, the responsibility for monitoring, management and closure of any SIs that occur within those services is with NHS England sub region

References and relevant documents

SI Framework 2015/16
http://www.england.nhs.uk/wp-content/uploads/2015/04/serious-incidnt-framwrk-upd.pdf

Never Events List 2015/16
http://www.england.nhs.uk/wp-content/uploads/2015/03/never-evnts-list-15-16.pdf

Never Event FAQs
http://www.england.nhs.uk/wp-content/uploads/2015/03/nepf-faqs.pdf

APPENDIX A – 72 HOUR UPDATE BRIEF (currently under review)

Serious Incident 72 hour Update Brief			
STEIS Ref		Date of Incident	
Reporting Organisation			
Location of incident			
Incident category			
Summary of Immediate actions taken to ensure safety of patients/staff: Agreed level of investigation Additional information since original report			
SI meets reporting criteria (Yes/No):			
Completed by :			
Please send response to : WARCCG.seriousincidents@nhs.net			
By:			

APPENDIX B – CSU/CCG STEIS CRITICAL REVIEW/CLOSURE FORM

CSU/ CCG STEIS CRITICAL REVIEW / CLOSURE FORM			
STEIS number :		Date of Incident:	
Incident category:		Level of investigation	
Date due for completion		Extension requests/STC	
Provider			
Date RCA received by CSU			
Date of SI review Meeting:			
Root Causes Identified:			
Lessons learned:			
Areas of Good Practice:			
Duty of Candour Fulfilled:		☐Yes ☐ No	
Any comments on Duty of Candour:			
Does the Action Plan offer assurance that the recommendations have been accepted/risks have been reduced?			
Closure agreed		☐ Yes ☐ No (*complete section below*)	
Incident areas of on- going concern:			

Trends and Areas identified:	
Additional comments:	
FOR MLCSU ONLY	
RCA attached to Datix	
Datix updated with comments/RCA checklist	
STEIS updated with comments	
Datix closed	
STEIS closed	

APPENDIX C - SERIOUS INCIDENT REPORTING FORM FOR PROVIDERS WITH NO ACCESS TO STEIS

- Please complete all sections of the form, inserting N/A if not applicable.
- This form should be used by those providers who do NOT have access to report serious incidents on StEIS and can be used to report clinical and non-clinical serious incidents.
- Serious incidents should be reported to the CCG within 48 hours of the incident being recognised as a serious incident.
- Informal telephone advice is available via Warrington CCG Head of Assurance and Risk on 01925 843709.
- This form should be returned confidentially to warccg.seriousincidents@nhs.net
- Incidents involving allegations of abuse towards adults at risk must be reported on this form and immediately to the Council for all allegations of abuse/neglect and the police where criminal allegations have been made

Details of patient/person affected	
NHS Number	DOB

Details of the serious incident				
Date of serious incident (and time if applicable)	**Day**	**Month**	**Year**	**Time**
Date of completion of this form	**Day**	**Month**	**Year**	
Location of serious incident				
Allegation towards a person in a position of trust	**Yes**	**No**	**Comments**	
Referrals made to	**Yes**	**No**	**Comments**	
DBS				
Professional Body				
Has suspension or a job role change occurred	**Yes**	**No**	**Comments**	

Actual Incident	Near Miss
Tick if applicable	Tick if applicable

Serious Incident Description
Please include details which are of a factual and not personal opinion. If applicable, please use a continuation sheet.

Reported to other bodies			
	Yes	**No**	**Comments**
CQC			
Local authority			
Police			
Other			
Coroner (where applicable)			

	Yes	No	Reason
Persons views around reporting discussed with them			

	Yes	No	Reason
Relatives/relevant person informed			

Legal status of patient	Yes	No
Mental Health section in place		
DOLS in place Comments:		

Details of any action taken so far to prevent recurrence and reduce risks to others

Details of underlying causes which if rectified may prevent recurrence

What changes have been implemented following the incident

Details of investigation lead and grading of incident

Details of person reporting the serious incident (in capital letters)	
Name:	**Job Title:**
Location (name of premises):	**Date discussed in organisation:**
Contact number:	**Email address:**

This form should be returned confidentially to warccg.seriousincidents@nhs.net