

Agenda item: 6.2

Subject:	Updated Serious Incidents (SI) & Never Events (NE) requiring investigation policy.
Presented by:	Sandra Corry Director of Quality and Patient Safety
Submitted to:	Governing Body
Date:	14th January 2014

Purpose of paper:

Approval and information.

Executive Summary:

This policy establishes a clear procedure to be adhered to following an SI/NE for any services commissioned by South Norfolk Clinical Commissioning Group (CCG) or for South Norfolk CCG's own staff raising an SI/NE. The policy adheres to the Serious Incident Framework March 2013¹, an update to the 2010 National Framework for Reporting and Learning from Serious Incidents, NHS Commissioning Board², therefore ensuring a consistent approach and clarifying the responsibilities of South Norfolk CCG.

The main changes from the previously approved policy are:

- Formatting and the addition of references.
- Additional section for Duty of Candour (section 7)
- Change in reporting timescales for SIs and NEs which are;
 - The provider notifies CSU/CCG immediately or as a maximum within 2 working days of a serious incident requiring investigation (SIRI) being identified.
 - The provider will provide additional information relating to the SIRI within 3 working days from the date of the initial incident notification.
 - The provider will submit a full investigation report to CSU/CCG within 45 days for grade 1, 60 days grade 2 incidents or 6 months for grade 2 incidents involving independent investigation (unless otherwise negotiated).

The policy has also been reviewed by South Norfolk CCG Corporate Affairs Team since it was discussed at the Sub Committee and Leadership team meetings in November 2013 and the following changes now apply:-

- Reporting levels of Information Governance, changed by new guidance in June 2013. These changes are reflected in section 4, it now refers to HSCIC Levels 1 and 2 in section 10 the IG paragraph has additional bits about this new guidance. Appendix 4 has also been changed to reflect these changes – new section about categorising IG serious incidents and the steps you need to follow.

¹ NHS Commissioning Board, 2013. *Serious Incident Framework March 2013*. <http://www.england.nhs.uk/wp-content/uploads/2013/03/sif-guide.pdf>

² NHS National Patient Safety Agency, 2010. *National Framework for Reporting and Learning from Serious Incidents Requiring Investigation*. <http://www.nrls.npsa.nhs.uk/resources/?entryid45=75173>

Recommendation to Governing Body:

The Governing Body is asked to note the updated Serious Incidents (SI) & Never Events (NE) requiring investigation policy and approve it.

Once approved the Policy will be available via the Member's area of the South Norfolk CCG website.

Key Risks

Clinical:	Risk to patient safety and quality of services delivered to patients if SI's and NE's are not robustly investigated in accordance with national guidance.
Finance and Performance:	N/A
Impact Assessment (environmental and equalities):	N/A
Reputation:	If SI's and NE's are not managed robustly and efficiently there is a potential risk to South Norfolk CCG's reputation.
Legal:	N/A
Resource Required:	None
Reference document(s):	Referenced throughout the policy.

GOVERNANCE

Process/Committee approval with date(s) (as appropriate)	Policy approved by Quality and Patient Safety Committee 5 th November 2013. Policy approved by Leadership Team 19 th November 2013.
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