

# **IHRD Implementation Plan**

## **Workstream Brief**

### **Workstream 1: Duty of Candour**

## WORKSTREAM BRIEF

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**Programme** IHRD Implementation Programme  
**Workstream:** 1 Duty of Candour

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### Approvals

Name	Signature	Title	Date	Version
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### Distribution

Version 0.4 of this document has been distributed to all workstream and sub-group members.

# IHRD Implementation Plan - Workstream Brief

## DUTY OF CANDOUR

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# **1. Introduction**

## **1.1 Background**

On 31 January 2018 the Inquiry into Hyponatraemia Related Deaths (IHRD) was published following an extensive investigation into the deaths of five children in hospitals in Northern Ireland. After hearing evidence from a wide range of individuals and organisations it concluded that the five deaths had been avoidable and that the culture of the health service at the time, arrangements in place to ensure the quality of services and behaviour of individuals had contributed to those unnecessary deaths.

In the report Justice O'Hara acknowledged that progress had been made in hyponatraemia practice and guidance but that a more comprehensive approach for learning from error was needed for further unnecessary harm to be avoided. He set out 96 recommendations across 10 themes where he had identified failings in “competency in fluid management, honesty in reporting, professionalism in investigation, focus in leadership and respect for parental involvement”.<sup>1</sup>

In receiving the report the Permanent Secretary, Richard Pengelly apologised for the distress, hurt and loss suffered by the families and stated a commitment to the vital work needed to address serious past failings and provide safe and accountable care in future<sup>2</sup>. He further stated that it was “essential that those of us with leadership responsibilities now take concerted and prompt action to address the issues raised in the Report, and reassert the primacy of patient safety and work diligently to rebuild public confidence in the care provided, whether in hospitals, the community or primary care”.

“We owe this to the families first and foremost, as well as to patients and other people who use our services across the province and the great many HSC staff who strive to do the right thing, often in very challenging circumstances...(and that)... a critical element in the success of this work will be engagement with the public we serve, particularly those affected”

## **1.2 Summary of IHRD Recommendations**

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<sup>1</sup> IHRD Report: Vol3 Chapter 8 Section 8.3-8.4

<sup>2</sup> DoH Press Release 31 January 2018

The Inquiry report made 96 recommendations which gives rise to 120 actions across a number of themes reflecting the findings made during the investigation<sup>3</sup>. These are referenced in Appendix 5.1 and summarised below:

<u>Themes</u>	<u>Number of Recommendations/ Actions</u>
• Candour	8
• Leadership	1
• Paediatric-clinical	21
• Serious Adverse incidents	24
○ SAI reporting	2
○ SAI investigation	10
○ SAI related to a death	12
• Training and learning	14
• Trust governance	16
• Department	9
• Culture and litigation	3

In developing the recommendations the IHRD report had been guided by five key principles<sup>4</sup>:

- 1 That healthcare services exist to serve the patient
- 2 That the quality of healthcare is dependent upon both clinical and non-clinical services
- 3 That the particular needs of children must be addressed
- 4 That leadership and candour must be accorded the utmost priority if the fullest learning is to be gained from error
- 5 That progress should be subject to regular external review

### **1.3 Objectives**

This programme brief sets out the arrangements for the implementation of the 96 recommendations to improve the system and practice in Northern Ireland. It acknowledges that in effecting change, in so large and complex a system, changes in the culture that operates around Health and Social Care and into the wider system is

<sup>3</sup> IHRD Report Vol 3 Chapter 9 Pages 84-97

<sup>4</sup> IHRD Report January 2018: Vol 3 Chapter 9 Section 9.1

needed for the quality of services to be assured and public confidence restored. With that must come greater transparency and accountability both in the planning and delivery of services and in the implementation of the 96 recommendations from the IHRD report.

It is recognised that implementing these recommendations is about the steps necessary beyond the initial implementation to make sure that the change becomes embedded to ensure the delivery of safe accountable care in the future. As the Permanent Secretary stated “the Report also warned of ‘a remnant culture of clinical defensiveness’ and we must do all in our power to ensure a culture of openness and integrity throughout HSC.”

To achieve that will require us to:

- Build capacity in terms of trying to achieve a shared understanding of what underpins the changes and what the positive benefits are;
- Develop a shared understanding of what the change is and how it impacts on day to working of staff;
- Promote how service users engage with staff and other service users;
- Take the opportunity from the changes as the basis for knowledge transfer and building capacity within the HSC around quality improvement methodology, governance etc.;
- Take the opportunity to set an example in how we engage with and involve stakeholders.

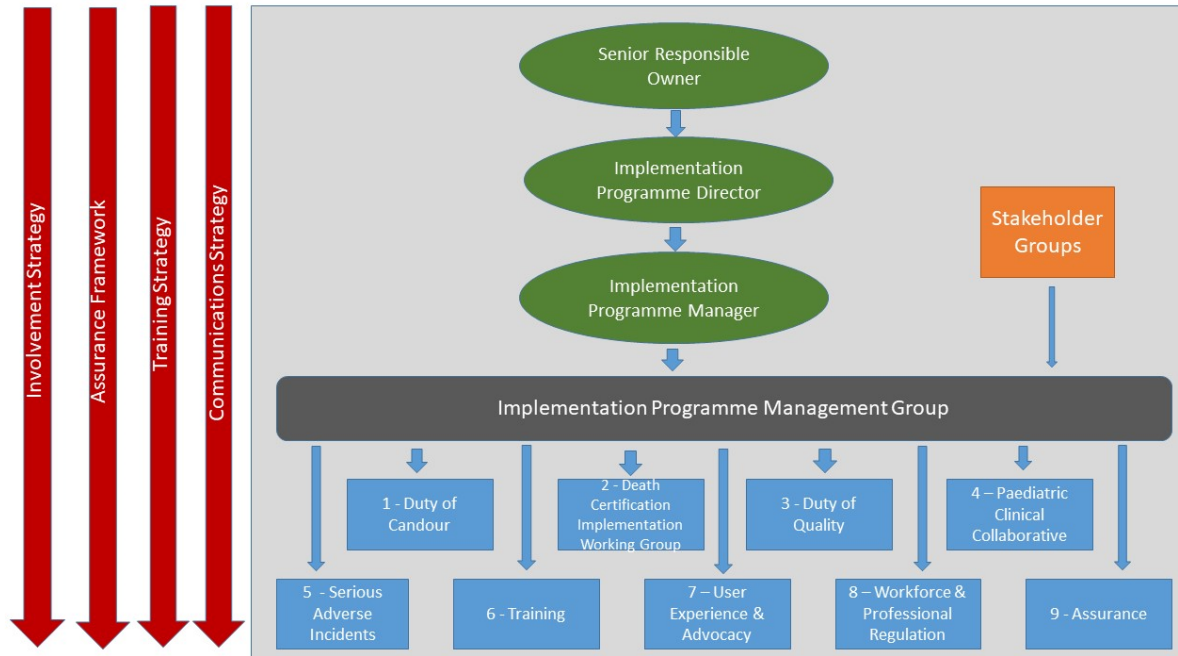
In effect how the implementation of the IHRD recommendations is undertaken, through the programme workstreams, is as important as the content of the workstreams. This should be held as an important principle, kept in mind from the outset, as it is as important as the implementation of the recommendations themselves.

#### **1.4 Authority for the Programme**

The Authority for the Programme is provided by the Permanent Secretary of the Department of Health as the Senior Responsible Officer (SRO) for the Programme.

## **2 Programme Structure**

The IHRD Programme will ensure the effective implementation of the 120 actions arising from the 96 recommendations of the Inquiry Report. The programme structure is set out in Appendix 5.2 and responsibilities summarised in the following sections and in Diagram 1.



**Diagram 1: IHRD Implementation Programme Structure**

## **2.1 Senior Responsible Officer (SRO)**

The Permanent Secretary is the SRO for the programme and, in the absence of a Minister, holds the overarching responsibility for the implementation of the recommendations from the IHRD Report.

## **2.2 The Implementation Programme Director (IPD)**

The Deputy Chief Medical Officer (DCMO) will act as Implementation Programme Director. As IPD he will liaise with the HSC Liaison Group, a group of senior healthcare clinicians and managers. He will provide regular reports to the SRO. The IPD will receive reports from the Implementation Programme Manager and the individual workstreams.

## **2.3 The Implementation Programme Manager (IPM)**

The IPM manager will be in overall day to day operational control of the implementation plan and chair the Implementation Programme Management Group, reporting to the Implementation Programme Director. He will oversee and support the individual workstreams, receiving and analysing progress reports; collating the Issue Log from the working groups and developing the Risk Register for the programme. The IPM will be supported by a deputy and team drawn from the HSC and Department of Health and designate resources as required.

## **2.4 The Implementation Programme Management Group (IPMG)**

Chaired by the Programme Manager, the IPMG will comprise the individual Workstream Chairs and Subgroup Chairs as well as representatives from key organisations such as: RQIA; NIPEC; etc

The IPMG is responsible for ensuring that issues such as training needs identified through the work undertaken by workstreams are allocated to the appropriate workstream.

It will undertake the implementation of unallocated recommendations and be responsible for the sign off of strategies and frameworks that cross all workstreams, such as:

- Involvement strategy
- Communication strategy
- Training strategy
- Assurance Framework

The IPMG will also ensure that appropriate links are maintained between relevant workstreams and with existing initiatives. It will be responsible for the implementation of recommendations not delegated to a workstream.

The IPMG will provide an opportunity for Workstream Chairs to share knowledge and experience, support each others work and act as a leadership forum for the Programme.

## **2.5 Workstreams**



Of the 120 individual actions arising from the 96 recommendations, 117 of these have been delegated to 9 workstreams that report to the Implementation Programme Management Group; 3 actions remain the responsibility of the Department. These are set out in detail across the programme in Appendix 5.1 Action Plan Matrix and include:

	<u>Workstream</u>	<u>Actions</u>
1	Duty of Candour	11
2	Death Certification Implementation Working Group	22
3	Duty of Quality	28
4	Paediatric-clinical - collaborative	21
5	Serious Adverse Incidents	18
6	Training	6
7	User Experience and Advocacy	3
8	Workforce and professional regulation	7
9	Assurance	1

Inevitably there will be cross over between individual workstreams and with existing work outside the programme; where possible these linkages have been identified in the Action Plan Matrix (Appendix 5.1) for each workstream and arrangements put in place to link to or subsume such work into the workstream.

The Department is responsible for implementing three specific recommendations<sup>5</sup>:

- Recommendation 85 - Deputy Chief Medical Officer for children’s healthcare;
- Recommendation 88 - Child Death Overview Panel; and
- Recommendation 94 - Clinical negligence litigation.

The IPMG is responsible for ensuring the implementation of unallocated recommendations.

## **2.6 Role of Workstream Chair**

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<sup>5</sup> Appendix 5.2: IHRD Action Plan Matrix

It is expected that the Workstream Chair will act in a leadership role to provide the vision, delegation, monitoring and challenge to ensure the achievement of the allocated work. In particular it is expected that the Chair will:

- Set out clearly the **objectives** of the workstream for the group
- **Allocate** individual tasks or responsibilities
- Develop a **Work Plan** for the implementation of delegated Inquiry Report Recommendations
- Develop policies, procedures, training, information and measurement metrics, audit etc and in doing so contribute to the Programme Assurance Framework and Training Strategy
- Identify the key stakeholders and develop an **Involvement and Communication Plan** consistent with the Programme Involvement Strategy and Communication Strategy
- **Engage** with other workstream members in taking actions forward
- Provide **regular reports** to the Programme Manager
- Identify **issues** which impede the progress of the workstream which should be escalated to the Programme Manager for inclusion in the Programme Issue Log and Risk Register
- Participate as a member of the **Implementation Programme Management Group** in taking forward the IHRD recommendations

## 2.7 Workstream task

The task of Workstream 1 Duty of Candour is to implement 11 actions from 5 IHRD recommendations as set out below:

**Table 1: IHRD Recommendation delegated to Workstream 1 – Duty of Candour**

IHRD Number	Workstream Action	Recommendation
1 (i)	1	A statutory duty of candour should now be enacted in Northern Ireland so that: (i) Every healthcare organisation <b>and</b> everyone working for them must be open and honest in all their dealings with patients and the public
1 (ii)	2	ii) Where death or serious harm has been or may have been caused to a patient by an act or omission of the organisation or its staff, the patient (or duly authorised representative) should be informed of the incident and given a full and honest explanation of the circumstances
1 (iii)	3	iii) Full and honest answers must be given to any question reasonably asked about treatment by a patient (or duly authorised representative).
1 (iv)	4	(iv) Any statement made to a regulator or other individual acting pursuant to statutory duty must be truthful and not misleading by omission.
1 (v)	5	(v) Any public statement made by a healthcare organisation about its performance must be truthful and not misleading by omission.
1 (vi)	6	vi) Healthcare organisations who believe or suspect that treatment or care provided by it, has caused death or serious injury to a patient, must inform that patient (or duly authorised representative) as soon as is practicable and provide a full and honest explanation of the circumstances.
1 (vii)	7	(vii) Registered clinicians and other registered healthcare professionals, who believe or suspect that treatment or care provided to a patient by or on behalf of any healthcare organisation by which they are employed has caused death or serious injury to the patient, must report their belief or suspicion to their employer as soon as is reasonably practicable.
2	8	Criminal liability should attach to breach of this duty and criminal liability should attach to obstruction of another in the performance of this duty.

<b>IHRD Number</b>	<b>Workstream Action</b>	<b>Recommendation</b>
3 <sup>6</sup>	9	Unequivocal guidance should be issued by the Department to all Trusts and their legal advisors detailing what is expected of Trusts in order to meet the statutory duty
4 <sup>6</sup>	10	Trusts should ensure that all healthcare professionals are made fully aware of the importance, meaning and implications of the duty of candour and its critical role in the provision of healthcare.
6	11	Support and protection should be given to those who properly fulfil their duty of candour.

### **3.1 Terms of reference:**

The terms of reference, membership and administrative arrangements are set out in the following sections for individual IHRD Programme Workstreams

1. To work within the principles set out in the recommendations from the IHRD report<sup>7</sup>
2. To lead or commission work to benchmark the current position within the HSC system against each recommendation as a precursor to developing a workstream implementation and benchmarking framework.
3. To be responsible for developing the implementation plan for 11 specific actions (as set out in section 2.7) arising from 5 recommendations from the IHRD report and to report to the Implementation Programme Management Group and the Programme Manger in doing so.
4. To link with other workstreams as necessary under the direction of the Implementation Programme Manager
5. Working with key stakeholders, to set out a detailed plan for the implementation of the recommendations of the IHRD report as delegated, including the development of an Involvement and Communications Plan
6. To take cognisance of and contribute to the cross cutting plans, strategies and frameworks

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<sup>6</sup> Delegated to workstream Subgroup: Being Open

<sup>7</sup> IHRD Report: Volume 3 Chapter 9 Section 9.1

7. To maintain an Issue Log, as these arise, for report to the Implementation Programme Manager and inclusion as necessary in the Risk register for the programme

### **3.2 Membership**

Workstream and Sub-group Chairs will participate as members of the Implementation Programme Management Group

Members of each workstream have been included to bring their individual perspective and expertise to the discussion of the recommendations delegated to the workstream. They are not there to represent the organisation or population of which they are members, except for HSC and DoH staff who are there to work on behalf of their organisations.

The Programme Board has a structured plan of involvement and communication with stakeholders so that this is not the responsibility of individual workstream members. However, there may be times when developing the action plan for the recommendations when workstream members are asked to take a wider view from their organisations/ constituencies to inform the work of the group.

#### Workstream 1: Duty of Candour

Chair: Quintin Oliver

Members: Appendix 5.3

### **3.3 Sub-groups:**

One subgroup will take forward 3 of the 11 Workstream actions

#### A Being Open sub-group

The sub-group is responsible for taking forward the delegated actions as set out In Table 2.

Sub-group Chair: Peter McBride

Sub-group Members: Appendix 5.3 (i)

**Table 2: IHRD Recommendation delegated to Being Open Sub-group**

IHRD Number	Workstream Action	Recommendation
3	9	Unequivocal guidance should be issued by the Department to all Trusts and their legal advisors detailing what is expected of Trusts in order to meet the statutory duty
4	10	Trusts should ensure that all healthcare professionals are made fully aware of the importance, meaning and implications of the duty of candour and its critical role in the provision of healthcare.
6	11	Support and protection should be given to those who properly fulfil their duty of candour.

### 3.4 Administrative Arrangements

The workstream will be supported by professional and administrative support. A standard set of guidance will be provided and links identified to key information and resources.

#### Risk Register

There will be a single programme risk register covering the entire programme. Workstreams will use their Issues Logs to highlight risks, control issues and mitigating measures relevant to the delivery of their Terms of reference. These include risks etc. that may be beyond the ability of an individual Workstream to manage or mitigate. These will be considered by the IPMG as part of developing and maintaining a programme risk register.

There are a number of plans and frameworks that need to be developed in order to support workstreams in delivering against their Terms of Reference. These are as follows:

1. Workstream Work Plans
2. A Programme Training Plan
3. Workstream Involvement and Communication plans
4. Workstream Assurance Framework
5. Workstream Implementation and Benchmarking Frameworks

Each of these plans and frameworks should be considered as living documents subject to change and development over time. There will therefore be a need for version control around each document. There will be an ongoing interplay between these plans and frameworks with workstream documentation, particularly Action and Issues Logs.

### Work Plans

Each Workstream will develop its own Work Plan. A standard template will be provided to assist workstreams in setting out actions, milestones, deliverables, interdependencies, resources and timeframes.

### A Programme Training Plan (to be developed by Training Workstream)

To avoid duplication, ensure standardisation and ensure the most efficient use of resources to provide Value for Money as well as to maximise the use of available and pre-existing opportunities for Training, the Programme will maintain a single Training Plan under the leadership of the Training workstream. This will ensure that we have strategic engagement with regional bodies such as NIPEC, NIMDTA, the two NI Universities, the Leadership centre etc. This 'programme' plan will hold details of training needs arising from individual workstreams. The routine process through which workstreams should highlight training needs will be through the workstream Issues Log. There will be a need for good quality and regular communication between the Training Workstream who will develop the Training Plan and other Workstreams.

### Involvement and Communication Plans

Each workstream will maintain its own Involvement and Communication Plan. They will be assisted and supported through a dedicated engagement resource working as part of the Programme Team. This resource will both assist in the development of individual workstream involvement and engagement plans and also in the organisation and delivery of engagements with different stakeholders. This will ensure that workstreams will have access to programme resources for facilitation and administration in undertaking larger scale engagements.

### A Programme Assurance Framework (developed by the Assurance Workstream)

Some level of independent Assurance is essential to ensuring public confidence that IHRD recommendations have been implemented on a sustained basis. A Programme Assurance Strategy and Assurance Framework has been developed under the leadership of the Assurance Workstream. The Framework sets out the tests to be met and evidence to be provided by the HSC/Department in order to provide assurance that each recommendation has been implemented. The work of individual workstreams will both inform and be informed by the strategy and Framework. The 'programme' Assurance Framework will hold details of how each individual recommendation is to be signed off, what evidence should be provided and which recommendations will require some additional form of independent Assurance. Independent assurance work will be undertaken or commissioned under the leadership of the Assurance Workstream

The routine process through which workstreams should highlight Assurance issues will be through the workstream Issues Log. There will be a need for good quality and regular communication between the Assurance Workstream and other Workstreams.

#### Implementation and Benchmarking Frameworks

Each workstream will develop its own Implementation and benchmarking Framework. The purpose of these Frameworks is to identify the stakeholders and steps necessary in order to achieve implementation. This should include identification of:

- a) What systems (Including IT) need to be changed or updated or where new systems may be needed;
- b) What guidance, guidelines, standards, policies and procedures need to be changed or updated or where new guidance, guidelines, standards, policies and procedures systems may be needed;
- c) Where Departmental Top Management sign off is required;
- d) Where Ministerial/Executive approval is required;
- e) Where legislative change is necessary;
- f) Where other products and resources need to be developed to be used within the HSC;
- g) Which parts of the workforce need to be involved in implementation;
- h) Which external partner organisations need to be involved in implementation;



- i) Where equality impact assessments and/or rural proofing are indicated;
- j) Where a requirement for public consultation is indicated;
- k) Key stakeholders whose views will inform the implementation process; and
- l) Extant resources and systems already in place in HSC Trusts or elsewhere which might lend themselves as the basis for solutions to meet IHRD recommendations.

An **Implementation and Benchmarking Framework** is one of the first and key deliverables for each workstream. The basic requirement is for an initial benchmarking exercise to identify the baseline position and specific elements that need to be addressed when changes necessary to implement recommendations are being actioned. This framework will interplay with and inform the content of work plans, involvement and communication plans, the identification of training needs to be included in the Programme Training plan and work on a Programme Assurance Framework.

### **3.5 Reporting**

The IPMG will regularly receive a Workstream report with exception reporting used at any time to highlight issues with potential to impact on the implementation of the programme plan. A template for reporting will be provided with report frequency dependent on the work plan requirements and timescales for delivery

A workstream Issues Log will be collated to identify those issues likely to have an impact on the implementation of the recommendations.

Each workstream will be provided with a standard suite of documentation to facilitate its programme management and reporting to the Implementation Programme Management Group. These will include:

- Action Log
- Agenda
- Chair's Meeting Brief
- Engagement Activity Tracker

- Exception Report
- Implementation and Benchmarking Framework
- Involvement & Communication Plan (will be provided later)
- Issue Log
- Note of a meeting
- Meeting checklist
- Work Plan
- Workstream Update

This documentation should be held in the document management system of the team providing secretariat services to the workstream (TRIM in the case of Departmental staff.)

Progress on the programme of work will be reported to the SRO.

Wider communication issues will be determined by the Communication Strategy

#### **4 Governance**

Without prejudice to the return of Assembly structures and appointment of a Minister progress will be reported to the SRO, who will remain the accountable officer for the implementation of the recommendations of the IHRD Report.

All existing Executive and Departmental governance systems will apply to the processes in the implementation of the IHRD Programme, including existing financial controls.

#### **5 Appendices:**

- 5.1 IHRD Action Plan Matrix
- 5.2 Workstreams and delegated tasks
- 5.3 Workstream membership

**APPENDIX 5.1  
Action Plan Matrix**

**IHRD: RECOMMENDATIONS**

	Ref	RECOMMENDATION	Report Reference	Workstream
<b>CANDOUR</b>	1	A statutory duty of candour should now be enacted in Northern Ireland so that:	<u>Vol 3, Chapter 8:</u> Section 8.47 Page 55 Section 8.103-106 Page 73-74	<b>1-Duty of Candour</b>
		(i) Every healthcare organisation <b>and</b> everyone working for them must be open and honest in all their dealings with patients and the public	<u>Vol 3, Chapter 8:</u> Section 8.101 page 72 Section 8.103 page 74	<b>1-Duty of Candour</b>  <i><u>Linked to:</u></i> <i>6-Training</i> <i>8 Workforce and professional regulation</i>
		(ii) Where death or serious harm has been or may have been caused to a patient by an act or omission of the organisation or its staff, the patient (or duly authorised representative) should be informed of the incident and given a full and honest explanation of the circumstances.	<u>Vol 2, Chapter 4:</u> Section 4.150 –152 Pages 47 – 48 Section 4.157 Page 49	<b>1-Duty of Candour</b>  <i><u>Linked to:</u></i> <i>5-SAI</i> <i>6-Training</i> <i>7-User experience</i> <i>8 Workforce and professional regulation</i>
		(iii) Full and honest answers must be given to any question reasonably asked about treatment by a patient (or duly authorised representative).	<u>Vol 1, Chapter 3:</u> Section 3.178 Page 181 Section 3.242-244 Page 203-204	<b>1-Duty of Candour</b>

	Ref	RECOMMENDATION	Report Reference	Workstream
			Section 3.245-248 Page 204 – 206  <u>Vol 2, Chapter 4:</u> Section 4.86 -88 Page 29 Section 4.310 (ii) Page 92 Section 4.330 Page 98  <u>Vol 2: Chapter 5</u> Section 5.253-5.254 Page 181	<u>Linked to:</u> 6-Training 7-User experience 8 Workforce and professional regulation
		(iv) Any statement made to a regulator or other individual acting pursuant to statutory duty must be truthful and not misleading by omission.	<u>Vol 1, Chapter 3:</u> Section 3.179 -180 Pages 181-182 Section 3.195-196 Page 186	<b>1-Duty of Candour</b>  <u>Linked to:</u> 6-Training 8-Workforce and professional regulation
		(v) Any public statement made by a healthcare organisation about its performance must be truthful and not misleading by omission.	<u>Vol 1, Chapter 3:</u> Section 3.200 Page 188 Section 3.202 Page 188	<b>1-Duty of Candour</b>  <u>Linked to:</u> 6-Training
		(vi) Healthcare organisations who believe or suspect that treatment or care provided by it, has caused death or serious injury to a patient, must inform that patient (or duly authorised representative) as soon as is practicable and provide a full and honest explanation of the circumstances.	<u>Vol 1, Chapter 3:</u> Section 3.178 Page  <u>Vol 2: Chapter 5:</u> Section 5.253 Page 81	<b>1-Duty of Candour</b>  <u>Linked to:</u> 5-SAI

	Ref	RECOMMENDATION	Report Reference	Workstream
		(vii) Registered clinicians and other registered healthcare professionals, who believe or suspect that treatment or care provided to a patient by or on behalf of any healthcare organisation by which they are employed has caused death or serious injury to the patient, must report their belief or suspicion to their employer as soon as is reasonably practicable.	<u>Vol 2, Chapter 4:</u> Section 4.47-53 page 17-19 Section 4.54-55 Page 19-20 Section 4.130 Page 41 Section 4.145 Page 46 Section 4.217 Page 66 Section 4.241 Page 72-73 Section 4.301 Page 89 Section 4.306 Page 98	<b>1-Duty of Candour</b>  <u>Linked to:</u> 5-SAI 8-Workforce and professional regulation
	2	Criminal liability should attach to breach of this duty and criminal liability should attach to obstruction of another in the performance of this duty.	<u>Vol 3, Chapter 8:</u> Section 8.103 Page 73 Section 8.106 Page 74	<b>1-Duty of Candour</b>  <u>Linked to:</u> 8-Workforce and professional regulation
	3	Unequivocal guidance should be issued by the Department to all Trusts and their legal advisors detailing what is expected of Trusts in order to meet the statutory duty	<u>Vol 3, Chapter 8:</u> Section 8.104 page 74	<b>1-Duty of Candour</b>  <u>Linked to:</u> 6-Training
	4	Trusts should ensure that all healthcare professionals are made fully aware of the importance, meaning and implications of the duty of candour and its critical role in the provision of healthcare.		<b>1-Duty of Candour</b>  <u>Linked to:</u> 6-Training
	5	Trusts should review their contracts of employment, policies and guidance to ensure that, where relevant, they include and are consistent with the duty of candour.		<b>8-Workforce &amp; Professional Regulation</b>  <u>Linked to:</u>

Ref	RECOMMENDATION	Report Reference	Workstream
			<i>1-Duty of Candour</i>
6	Support and protection should be given to those who properly fulfil their duty of candour.	<u>Vol 3: Section 8:</u> Section 8.108 Page 75	<b>1 - Duty of Candour</b>  <i><u>Linked to:</u></i> <i>6-Training</i>
7	Trusts should monitor compliance and take disciplinary action against breach.		<b>8-Workforce &amp; Professional Regulation</b>  <i><u>Linked to:</u></i> <i>1-Duty of Candour</i> <i>3-Duty of Quality</i>
8	Regulation and Quality Improvement Authority ('RQIA') should review overall compliance and consideration should be given to granting it the power to prosecute in cases of serial non-compliance or serious and wilful deception.	<u>Vol 3, Chapter 8:</u> Section 8.71 page 63	<b>1-Duty of Quality</b>  <i><u>Linked to:</u></i> <i>3-Duty of Candour</i> <i>8-Workforce &amp; professional regulation</i> <i>9-Assurance</i>

	Ref	RECOMMENDATION	Report Reference	Workstream
LEADERSHIP	9	The highest priority should be accorded the development and improvement of leadership skills at every level of the health service including both executive and non-executive Board members.	<p><u>Vol 1, Chapter 3:</u> Section 3.92- 93 Page 223 Section 3.303- 311 Page 227- 230</p> <p><u>Vol 2 Chapter 4:</u> Section 4.201 Page 61</p> <p><u>Vol 2, Chapter 5:</u> Section 5.122(ix) – 123 Page 142 Section 5.258 Page 183 Section 5.347 Page 210 Section 5.367 Page 216</p> <p><u>Vol 2, Chapter 6:</u> Section 6.56-57 Page 237-238</p> <p><u>Vol 3, Chapter 8:</u> Section 8.111-115 Pages 76-77</p>	<p><b>3-Duty of Quality</b></p> <p><i>Linked to:</i> <i>6-Training</i></p>
PAEDIATRIC - CLINICAL	10	Health and Social Care ('HSC') Trusts should publish policy and procedure for ensuring that children and young people are cared for in age-appropriate hospital settings	<p><u>Vol 2: Chapter 6</u> Section 6.60-61 Page 240-241</p> <p><u>Vol 3: Chapter 8;</u> Section 8.30-34 Pages 50-52</p>	<p><b>4-Paediatric/Clinical Collaborative</b></p> <p><i>Linked to:</i> <i>2-Death certification</i></p> <p><i>3-Duty of Quality</i></p>
	11	There should be a protocol to specify the information accompanying a patient transfer from one hospital to another	<p><u>Vol 2 Chapter 4:</u> Section 4.32- 34 Page 13</p>	<p><b>4-Paediatric/Clinical Collaborative</b></p>
	12	Senior paediatric medical staff should hold overall patient responsibility in children's wards accommodating both medical and surgical patients.	<p><u>Vol 2, Chapter 5</u> Section 5.75-5.78 Page 126-127 Section 5.233 Page 175</p>	<p><b>4-Paediatric/Clinical Collaborative</b></p>



Ref	RECOMMENDATION	Report Reference	Workstream
			<i>Linked to:</i> 3-Duty of Quality
13	Foundation doctors should not be employed in children's wards.	<u>Vol 2, Chapter 5</u> Section 5.104-113 Page 134-137 Section 5.114-121 Page 137- 139 Section 5.214 Page 168	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 8-Workforce & professional regulation
14	The experience and competence of all clinicians caring for children in acute hospital settings should be assessed before employment.		<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 6-Training 8-Workforce & professional regulation
15	A consultant fixed with responsibility for a child patient upon an unscheduled admission should be informed promptly of that responsibility and kept informed of the patient's condition, to ensure senior clinical involvement and leadership.	<u>Vol 1, Chapter 3:</u> Section 3.24 Page Section 3.29 Page Section 3.126 Page 166  <u>Vol 2 Chapter 4</u> Section 4.202 – 203 Page 61-62 Section 4.205-206 Page 62  <u>Vol 3, Chapter 8:</u> Section 8.29 Page 50	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 3-Duty of Quality
16		<u>Vol 2, Chapter 5:</u> Section 5.122 (ii) Page 140	<b>4-Paediatric/Clinical Collaborative</b>

	Ref	RECOMMENDATION	Report Reference	Workstream
		The names of both the consultant responsible and the accountable nurse should be prominently displayed at the bed in order that all can know who is in charge and responsible.		<i>Linked to:</i> <i>3-Duty of Quality</i>
17		Any change in clinical accountability should be recorded in the notes.	<u>Vol 1, Chapter 3</u> Section 3.199-121 Page 164-165	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
18		The names of all on-call consultants should be prominently displayed in children's wards.		<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
19		To ensure continuity, all children's wards should have an identifiable senior lead nurse with authority to whom all other nurses report. The lead nurse should understand the care plan relating to each patient, be visible to both patients and staff and be available to discuss concerns with parents. Such leadership is necessary to reinforce nursing standards and to audit and enforce compliance. The post should be provided in addition to current staffing levels.	<u>Vol 3, Chapter 8:</u> Section 8. Page 45-46	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
20			<u>Vol 1, Chapter 3:</u> Section 3.61 Page 143	<b>4-Paediatric/Clinical Collaborative</b>

Ref	RECOMMENDATION	Report Reference	Workstream
	Children's ward rounds should be led by a consultant and occur every morning and evening		<i>Linked to:</i> 3-Duty of Quality 8-Workforce & professional regulation
21	The accountable nurse should, insofar as is possible, attend at every interaction between a doctor and child patient.		<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 3-Duty of Quality 8-Workforce & professional regulation
22	Clinicians should respect parental knowledge and expertise in relation to a child's care needs and incorporate the same into their care plans.	<u>Vol 1 Chapter 3:</u> Section 3.61 Page 143  <u>Vol 3, Chapter 8:</u> Section 8.84 page 62	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 3-Duty of Quality 7-User experience
23	The care plan should be available at the bed and the reasons for any change in treatment should be recorded.	<u>Vol 1 Chapter 3:</u> Section 3.122- 124 Page 165	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 3-Duty of Quality
24	All blood test results should state clearly when the sample was taken, when the test was performed and when the results were communicated and in addition serum sodium results should be recorded on the Fluid Balance Chart.	<u>Vol 1 Chapter 3:</u> Section 3.34 Page 136 Section 3.45-46 Page 139 Section 3.88-89 Page 153	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> 3-Duty of Quality

Ref	RECOMMENDATION	Report Reference	Workstream
25	All instances of drug prescription and administration should be entered into the main clinical notes and paediatric pharmacists should monitor, query and, if necessary, correct prescriptions. In the event of correction the pharmacist should inform the prescribing clinician.	<u>Vol 1 Chapter 3:</u> Section 3.95 Page 136 Section 3.104-107 Page 158-159	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
26	Clinical notes should always record discussions between clinicians and parents relating to patient care and between clinicians at handover or in respect of a change in care.	<u>Vol 1 Chapter 3:</u> Section 3.52 Page 141 Section 3.76-77 Page 149 Section 3125 Page 166	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
27	Electronic patient information systems should be developed to enable records of observation and intervention to become immediately accessible to all involved in care.		<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
28	Consideration should be given to recording and/or emailing information and advices provided for the purpose of obtaining informed consent.	<u>Vol 1 Chapter 2</u> Section 2.38 Page 44	<b>4-Paediatric/Clinical Collaborative</b>

	Ref	RECOMMENDATION	Report Reference	Workstream
	29	Record keeping should be subject to rigorous, routine and regular audit.	<u>Vol 3, Chapter 8:</u> Section 8.25-29 Pages 48-50	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
	30	Confidential on-line opportunities for reporting clinical concerns should be developed, implemented and reviewed.	<u>Vol 3, Chapter 8:</u> Section 8.108 Page 75	<b>4-Paediatric/Clinical Collaborative</b>  <i>Linked to:</i> <i>1-Duty of Candour</i>
SAI - REPORTING	31	Trusts should ensure that all healthcare professionals understand what is expected of them in relation to reporting Serious Adverse Incidents ('SAIs').	<u>Vol 2, Chapter 6</u> Section 6.67-69 Page 242-243  <u>Vol 3: Chapter 8:</u> Section 8.41-42 Page 54 Section 8.46-47 Page 55-56	<b>5-SAIs</b>  <i>Linked to:</i> <i>1-Duty of Candour</i> <i>6-Training</i>
	32	Failure to report an SAI should be a disciplinary offence.	<u>Vol 2, Chapter 4:</u> Section 4.232 Page 78  <u>Vol 3, Chapter 8:</u> Section 8.65 - 8.66 Page 61	<b>8-Workforce &amp; Professional Regulation</b>  <i>Linked to:</i> <i>5-SAI</i>
SAI - INVES	33	Compliance with investigation procedures should be the personal responsibility of the Trust Chief Executive.	<u>Vol 3, Chapter 8:</u> Section 8.48 – 8.49 Page 56	<b>9-Assurance</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>

Ref	RECOMMENDATION	Report Reference	Workstream
			5-SAI
34	The most serious adverse clinical incidents should be investigated by wholly independent investigators (i.e. an investigation unit from outside Northern Ireland) with authority to seize evidence and interview witnesses	<p><u>Vol 1 Chapter 3:</u> Section 3.266 (iii – iv) Page 214</p> <p><u>Vol 2, Chapter 5:</u> Section 5.313 Page 200</p> <p><u>Vol 3, Chapter 8:</u> Section 8.47 page 55 Section 8.133 page 82</p>	<p><b>1-Duty of Quality</b></p> <p><i>Linked to:</i> <i>3-Duty of Candour</i> <i>5-SAI</i> <i>9-Assurance</i></p>
35	Failure to co-operate with investigation should be a disciplinary offence.	<p><u>Vol 2, Chapter 4:</u> Section 4.128 Page 41 Section 4.130 Page 141</p>	<p><b>8-Workforce &amp; Professional Regulation</b></p> <p><i>Linked to:</i> <i>5-SAI</i></p>
36	Trust employees who investigate an accident should not be involved with related Trust preparation for inquest or litigation.	<p><u>Vol 2, Chapter 5:</u> Section 5.300-301 Page 195-196</p>	<p><b>2-Death Certification Implementation Working group</b></p>
37	Trusts should seek to maximise the involvement of families in SAI investigations and in particular:	<p><u>Vol 3, Chapter 8:</u> Section 8.72 – 8.73 Pages 63 – 64 Section 8.89 Page 68</p>	<p><b>5-SAI</b></p>
	(i) Trusts should publish a statement of patient and family rights in relation to all SAI processes including complaints.	<p><u>Vol 3, Chapter 8:</u> Sections 8.56 – 8.57 Page 58-59</p>	<p><b>5-SAI</b></p> <p><i>Linked to:</i> <i>3-Duty of Quality</i> <i>7-User experience</i></p>
	(ii) Families should be given the opportunity to become involved in setting the terms of reference for an investigation.	<p><u>Vol 3, Chapter 8:</u> Section 8.74 Page 64</p>	<p><b>5-SAI</b></p> <p><i>Linked to:</i></p>

	Ref	RECOMMENDATION	Report Reference	Workstream
				3-Duty of Quality 7-User experience
		(iii) Families should, if they so wish, engage with the investigation and receive feedback on progress.	<u>Vol 2, Chapter 4:</u> Section 4.159-161 Page 49-50	<b>5-SAIs</b>  <u>Linked to:</u> 3-Duty of Quality 7-User experience
		(iv) A fully funded Patient Advocacy Service should be established, independent of individual Trusts, to assist families in the process. It should be allowed funded access to independent expert advice in complex cases.	<u>Vol 3, Chapter 8:</u> Section 8.95-100 Page 70-72	<b>7-User experience &amp; advocacy</b>  <u>Linked to:</u> 5-SAI
		(v) Families in cases of SAI related child death should be entitled to see relevant documentation, including all records, written communication between healthcare professionals and expert reports.	<u>Vol 2, Chapter 4:</u> Section 4.174 Page 54 Section 4.177-178 Page 55  <u>Vol 3, Chapter 8:</u> Section 8.74 Page 64	<b>5-SAI</b>  <u>Linked to:</u> 3-Duty of Quality 7-User experience
		(vi) All written Trust communication to parents or family after a SAI related child death should be signed or co-signed by the chief executive.		<b>5-SAI</b>  <u>Linked to:</u> 1-Duty of Candour 2-Death certification 3-Duty of Quality 7-User experience
		(vii) Families should be afforded the opportunity to respond to the findings of an investigation report and all such responses should be answered in writing.		<b>5-SAI</b>  <u>Linked to:</u> 3-Duty of Quality 7-User experience

	Ref	RECOMMENDATION	Report Reference	Workstream
		(viii) Family GPs should, with family consent, receive copies of feedback provided.		<b>5-SAI</b> <i>Linked to:</i> 3-Duty of Quality 7-User experience
		(ix) Families should be formally advised of the lessons learned and the changes effected		<b>5-SAI</b> <i>Linked to:</i> 3-Duty of Quality 7-User experience
		(x) Trusts should seek, and where appropriate act upon, feedback from families about adverse clinical incident handling and investigation	<u>Vol 2, Chapter 4:</u> Section 4.179 Page 55	<b>5-SAI</b>
<b>SAI - INVESTIGATION</b>	38	Investigations should be subject to multi-disciplinary peer review.	<u>Vol 3, Chapter 8:</u> Section 8.73 page 64	<b>5-SAI</b> <i>Linked to:</i> 3-Duty of Quality 6-Training
	39	Investigation teams should reconvene after an agreed period to assess both investigation and response.		<b>5-SAI</b> <i>Linked to:</i>
	40	Learning and trends identified in SAI investigations should inform programmes of clinical audit	<u>Vol 3, Chapter 8:</u> Section 8.49 -50 Page	<b>3-Duty of Quality</b>  Linked to: 5-SAI
	41	Trusts should publish the reports of all external investigations, subject to considerations of patient confidentiality.		<b>3-Duty of Quality</b>



	Ref	RECOMMENDATION	Report Reference	Workstream
<b>SAI – WHERE DEATH OCCURS</b>	42	In the event of new information emerging after finalisation of an investigation report or there being a change in conclusion, then the same should be shared promptly with families.	<u>Vol 2, Chapter 4</u> Section 4.173-176 Page 54  <u>Vol 3, Chapter 8:</u> Section 8.73 – 8.74 pages 64-65	<b>5-SAI</b>  <i>Linked to:</i> 3-Duty of Quality 7-User experience
	43	A deceased's family GP should be notified promptly as to the circumstances of death to enable support to be offered in bereavement.	<u>Vol 2, Chapter 4</u> Section 4.232-238 Page 70-72  <u>Vol 2, Chapter 5</u> Section 5.162-165 Page 153	<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> 1-Duty of Candour 3-Duty of Quality 6-Training
	44	Authorisation for any limitation of a post-mortem examination should be signed by two doctors acting with the written and informed consent of the family	<u>Vol 1 Chapter 3:</u> Section 3.206-210 Page 190-191	<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> 3-Duty of Quality 6-Training
	45	Check-list protocols should be developed to specify the documentation to be furnished to the pathologist conducting a hospital post-mortem	<u>Vol 2, Chapter 4</u> Section 4.284 Page 84	<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> 3-Duty of Quality 6-Training
	46	Where possible, treating clinicians should attend for clinico-pathological discussions at the time of post-mortem examination and thereafter upon request.	<u>Vol 2, Chapter 4</u> Section 4.286 Page 84-85	<b>2-Death Certification Implementation Working group</b> <i>Linked to:</i>

Ref	RECOMMENDATION	Report Reference	Workstream
			3-Duty of Quality 6-Training
47	In providing post-mortem reports pathologists should be under a duty to:	<u>Vol 1, Chapter 2:</u> Section 2.33 Page 199-200	<b>2-Death Certification Implementation Working group</b>  <u>Linked to:</u> 1-Duty of Candour 3-Duty of Quality 6-Training
	(i) Satisfy themselves, insofar as is practicable, as to the accuracy and completeness of the information briefed them.	<u>Vol 1, Chapter 3:</u> Section 3.212 Page 191 Section 3.229-230 Page 197-198 Section 3.235-238 page 200-201	
	(ii) Work in liaison with the clinicians involved.		
	(iii) Provide preliminary and final reports with expedition.	<u>Vol 2, Chapter 4:</u> Section 4.291 Page 86	
	(iv) Sign the post-mortem report.	<u>Vol 1, Chapter 3:</u> Section 3.232 Page 98	
	(v) Forward a copy of the post-mortem report to the family GP		
48	The proceedings of mortality meetings should be digitally recorded, the recording securely archived and an annual audit made of proceedings and procedures.	<u>Vol 3, Chapter 8:</u> Section 8.61 Page 59-60	<b>2-Death Certification Implementation Working group</b>  <u>Linked to:</u> 1-Duty of Candour 3-Duty of Quality 6-Training
49	Where the care and treatment under review at a mortality meeting involves more than one hospital or Trust, video conferencing facilities should be provided and relevant professionals from all relevant organisations should, in so far as is practicable, engage with the meeting.		<b>2-Death Certification Implementation Working group</b>  <u>Linked to:</u> 1-Duty of Candour 3-Duty of Quality

Ref	RECOMMENDATION	Report Reference	Workstream
			<i>6-Training</i>
50	The Health and Social Care ('HSCB') should be notified promptly of all forthcoming healthcare related inquests by the Chief Executive of the Trust(s) involved	<u>Vol 2, Chapter 4:</u> Section 5.282-291 Page 189-192  <u>Vol 3, Chapter 7:</u> Section 7.57 Pages 21- 22	<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
51	Trust employees should not record or otherwise manage witness statements made by Trust staff and submitted to the Coroner's office.	<u>Vol 1, Chapter 2:</u> Section 2.148 Page 85 Section 2.199 Page 101  <u>Vol 1, Chapter 3:</u> Section 3.267 -273 Page 214-217	<b>2-Death Certification Implementation Working group</b>
52	Protocol should detail the duties and obligations of all healthcare employees in relation to healthcare related inquests.	<u>Vol 1, Chapter 3:</u> Section 3.279-280 Page 218-219	<b>2-Death Certification Implementation Working group</b>
53	In the event of a Trust asserting entitlement to legal privilege in respect of an expert report or other document relevant to the proceedings of an inquest, it should inform the Coroner as to the existence and nature of the document for which privilege is claimed.	<u>Vol 3, Chapter 8:</u> Section 8.129 Page 81	<b>2-Death Certification Implementation Working group</b>
54	Professional bereavement counselling for families should be made available and should fully co-ordinate bereavement information, follow-up service and facilitated access to family support groups.	<u>Vol 3, Chapter 8:</u> Section 8.57 Page 58-59	<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> <i>3-Duty of Quality</i> <i>6-Training</i> <i>7-User experience</i>

	Ref	RECOMMENDATION	Report Reference	Workstream
<b>TRAINING &amp; LEARNING</b>	55	Trust Chairs and Non-Executive Board Members should be trained to scrutinise the performance of Executive Directors particularly in relation to patient safety objectives.		<b>3-Duty of Quality</b>  <i>Linked to:</i> 5-SAI 6-Training
	56	All Trust Board Members should receive induction training in their statutory duties.		<b>3-Duty of Quality</b>  <i>Linked to:</i> 6-Training
	57	Specific clinical training should always accompany the implementation of important clinical guidelines.		<b>6-Training</b>
	58	HSC Trusts should ensure that all nurses caring for children have facilitated access to e-learning on paediatric fluid management and Hyponatraemia.	<u>Vol 3, Chapter 8:</u> Section 8. 17-24Pages 46-48	<b>6-Training</b>
	59	There should be training in the completion of the post-mortem examination request form.		<b>2-Death Certification Implementation Working group</b>  <i>Linked to:</i> 6-Training
	60	There should be training in the communication of appropriate information and documentation to the Coroner's office.	<u>Vol 2, Chapter 4:</u> Section 4.258 Page 77 Section 4.270 Page 80	<b>2-Death Certification Implementation Working group</b>

Ref	RECOMMENDATION	Report Reference	Workstream
			<i>Linked to:</i> 6-Training
61	Clinicians caring for children should be trained in effective communication with both parents and children.	<u>Vol 3, Chapter 8:</u> Section 8.86 Page 67	<b>6-Training</b>  <i>Linked to:</i> 1-Duty of Candour 4-Paediatric/Clinical 7-User experience
62	Clinicians caring for children should be trained specifically in communication with parents following an adverse clinical incident, which training should include communication with grieving parents after a SAI death.	<u>Vol 3, Chapter 8:</u> Section 8.87-88 Page 68	<b>6-Training</b>  <i>Linked to:</i> 1-Duty of Candour 2-Death certification 4-Paediatric/Clinical 5-SAI 7-User experience
63	The practice of involving parents in care and the experience of parents and families should be routinely evaluated and the information used to inform training and improvement.	<u>Vol 3, Chapter 8:</u> Section 8.74-75 Page 64-65	<b>6-Training</b>  <i>Linked to:</i> 1-Duty of Candour
64	Parents should be involved in the preparation and provision of any such training programme.		<b>6-Training</b>  <i>Linked to:</i> 7-User experience
65	Training in SAI investigation methods and procedures should be provided to those employed to investigate.	<u>Vol 2, Chapter 4:</u> Section 4.112-113 Page 36-37  <u>Vol 2, Chapter 5:</u> Section 5.215 -217 Page 167-170	<b>6-Training</b>  <i>Linked to:</i> 5-SAI

	Ref	RECOMMENDATION	Report Reference	Workstream
	66	Clinicians should be afforded time to consider and assimilate learning feedback from SAI investigations and within contracted hours.	<u>Vol 3, Chapter 8:</u> Section 8.81 Page 66	<b>6-Training</b>
	67	Should findings from investigation or review imply inadequacy in current programmes of medical or nursing education then the relevant teaching authority should be informed		<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>6-Training</i>
	68	Information from clinical incident investigations, complaints, performance appraisal, inquests and litigation should be specifically assessed for potential use in training and retraining.	<u>Vol 3, Chapter 8:</u> Section 8.76 Pages 65-66	<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>5-SAI</i> <i>6-Training</i> <i>8-Workforce &amp; professional regulation</i>
<b>TRUST GVERNANCE</b>	69	(i) Trusts should appoint and train Executive Directors with specific responsibility for: (i) Issues of Candour	<u>Vol 3, Chapter 8:</u> Section 8.107 Page 74	<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>1-Duty of Candour</i> <i>6-Training</i> <i>8-Workforce &amp; professional regulation</i>
		(ii) Child Healthcare.		<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>4-Paediatric/ Clinical</i> <i>6-Training</i> <i>8-Workforce &amp; professional regulation</i>

Ref	RECOMMENDATION	Report Reference	Workstream
	(iii) Learning from SAI related patient deaths.		<b>3-Duty of Quality</b>  <i>Linked to:</i> 4-Paediatric/ Clinical 6-Training 8-Workforce & professional regulation
70	Effective measures should be taken to ensure that minutes of board and committee meetings are preserved.	<u>Vol 2, Chapter 5:</u> Section 5.226 Page 173	<b>3-Duty of Quality</b>
71	All Trust Boards should ensure that appropriate governance mechanisms are in place to assure the quality and safety of the healthcare services provided for children and young people.	<u>Vol 1, Chapter 3:</u> Section 3.292 Page 223  <u>Vol 3, Chapter 8:</u> Section 8.56 Page 58 Section 8.58- 8.59 Page 59	<b>3-Duty of Quality</b>  <i>Linked to:</i> 4-Paediatric/Clinical
72	All Trust publications, media statements and press releases should comply with the requirement for candour and be monitored for accuracy by a nominated non-executive Director.	<u>Vol 2, Chapter 5:</u> Section 5340-344 Page 209-209  <u>Vol 3, Chapter 8:</u> Section 8.83 Page 67 Section 8.107 Page 74	<b>3-Duty of Quality</b>  <i>Linked to:</i> 1-Duty of Candour
73	General Medical Council ('GMC') 'Good Medical Practice' Code requirements should be incorporated into contracts of employment for doctors.	<u>Vol 3, Chapter 8:</u> Section 8.105 Page 74	<b>8-Workforce &amp; professional regulation</b>
74	Likewise, professional codes governing nurses and other healthcare professionals should be incorporated into contracts of employment.		<b>8-Workforce &amp; professional regulation</b>

	Ref	RECOMMENDATION	Report Reference	Workstream
	75	Notwithstanding referral to the GMC, or other professional body Trusts should treat breaches of professional codes and/or poor performance as disciplinary matters and deal with them independently of professional bodies	<u>Vol 1, Chapter 3:</u> Section 3.299-301 Page 225-226  <u>Vol 3, Chapter 8:</u> Section 8.109 Page 75 Section 8.110 Page 76	<b>8-Workforce &amp; professional regulation</b>  <i>Linked to:</i> 1-Duty of Candour
	76	Clinical standards of care, such as patients might reasonably expect, should be published and made subject to regular audit.		<b>3-Duty of Quality</b>  <i>Linked to:</i> 9-Assurance
	77	Trusts should appoint a compliance officer to ensure compliance with protocol and direction.		<b>3-Duty of Quality</b>
	78	Implementation of clinical guidelines should be documented and routinely audited		
	79	Trusts should bring significant changes in clinical practice to the attention of the HSCB with expedition.		<b>3-Duty of Quality</b>  <i>Linked to:</i> 4-Paediatric/ Clinical
	80	Trusts should ensure health care data is expertly analysed for patterns of poor performance and issues of patient safety.	<u>Vol 3, Chapter 8:</u> Section 8.109 Page 75	<b>3-Duty of Quality</b>
	81	Trusts should ensure that all internal reports, reviews and related commentaries touching upon SAI related deaths within the Trust are brought to the immediate attention of every Board member.	<u>Vol 2, Chapter 4:</u> Section 4.187-189 Page 57-58	<b>3-Duty of Quality</b>  <i>Linked to:</i> 5-SAI



	Ref	RECOMMENDATION	Report Reference	Workstream
	82	Each Trust should publish policy detailing how it will respond to and learn from SAI related patient deaths.	<u>Vol 2, Chapter 4:</u> Section 4.93 Page 30  <u>Vol 3, Chapter 8:</u> Section 8.59 Page 59	<b>5-SAI</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
	83	Each Trust should publish in its Annual Report, details of every SAI related patient death occurring in its care in the preceding year and particularise the learning gained therefrom.		<b>5-SAI</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
	84	All Trust Boards should consider the findings and recommendations of this Report and where appropriate amend practice and procedure.		<b>3-Duty of Quality</b>
DEPARTMENT	85	The Department should appoint a Deputy Chief Medical Officer with specific responsibility for children's healthcare.		<b>Department</b>  <i>Linked to:</i> <i>4-Paediatric/ Clinical</i> <i>8-Workforce &amp;</i> <i>professional regulation</i>
	86	The Department should expand both the remit and resources of the RQIA in order that it might  (i) Maintain oversight of the SAI process	<u>Vol 3, Chapter 8:</u> Section 8. Page 54-55 Section 8.71 Page 63 Section 8.107 Page 74	<b>1-Duty of Quality</b>  <i>Linked to:</i> <i>3-Duty of Candour</i> <i>5-SAI</i> <i>9-Assurance</i>
		(ii) Be strengthened in its capacity to investigate and review individual cases or groups of cases, and		<b>1-Duty of Quality</b> <i>Linked to:</i> <i>3-Duty of Candour</i> <i>5-SAI</i> <i>9-Assurance</i>

	Ref	RECOMMENDATION	Report Reference	Workstream
		(iii) Scrutinise adherence to duty of candour.		<b>1-Duty of Quality</b>  <u>Linked to:</u> 3-Duty of Candour 5-SAI 9-Assurance
	87	The Department should now institute the office of Independent Medical Examiner to scrutinise those hospital deaths not referred to the Coroner.	<u>Vol 3, Chapter 8:</u> Section 8.124 Page 80	<b>2-Death Certification Implementation Working group</b> <u>Linked to:</u> 3-Duty of Quality 6-Training 7-User experience
	88	The Department should engage with other interested statutory organisations to review the merits of introducing a Child Death Overview Panel.	<u>Vol 3, Chapter 8:</u> Section 8.82 Page 66 Section 8.118 Page 78 Section 8.119 Page 78 Section 8.127 Page 81	<b>Department</b>
	89	The Department should consider establishing an organisation to identify matters of patient concern and to communicate patient perspective directly to the Department.	<u>Vol 3, Chapter 8:</u> Section 8.90 Page 69 Sections 8.95-8.97 Pages71	<b>7-User experience &amp; Advocacy</b>

	Ref	RECOMMENDATION	Report Reference	Workstream
	90	The Department should develop protocol for the dissemination and implementation of important clinical guidance, to include:	<u>Vol 3, Chapter 8:</u> Section 8. Pages 52 -53	<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>8-Workforce &amp; professional regulation</i>
		(i) The naming of specific individuals fixed with responsibility for implementation and audit to ensure accountability.		
		(ii) The identification of specific training requirements necessary for effective implementation.		<b>3-Duty of Quality</b>  <i>Linked to:</i> <i>6-Training</i>
	91	The Department, HBSC, PHA, RQIA and HSC Trusts should synchronise electronic patient safety incident and risk management software systems, codes and classifications to enable effective oversight and analysis of regional information.	<u>Vol 3, Chapter 8:</u> Section 8.62- 8.64 Pages 60	<b>5-SAI</b>  <i>Linked to:</i> <i>3-Duty of Quality</i>
	92	The Department should review healthcare standards in light of the findings and recommendations of this report and make such changes as are necessary.	<u>Vol 3: Chapter 8:</u>	<b>3-Duty of Quality</b>
	93	The Department should review Trust responses to the findings and recommendations of this Report.		<b>9-Assurance</b>  <i>Linked to:</i> <i>All other workstreams</i>
<b>CULTURE &amp; LITIGATION</b>	94	The interests of patient safety must prevail over the interests engaged in clinical negligence litigation. Such litigation can become an obstacle to openness. A government committee should examine whether clinical negligence litigation as it presently operates might be abolished or reformed and/or whether appropriate alternatives can be recommended.	<u>Vol 2, Chapter 5:</u> Section 5.355-362 Page 213-215  <u>Vol 3, Chapter 7:</u> Section 7.35 Pages 13-14	<i>Linked to:</i> <i>1-Duty of Candour</i>

	<b>Ref</b>	<b>RECOMMENDATION</b>	<b>Report Reference</b>	<b>Workstream</b>
	95	Given that the public is entitled to expect appropriate transparency from a publically funded service, the Department should bring forward protocol governing how and when legal privilege entitlement might properly be asserted by Trusts.	<u>Vol 2, Chapter 5:</u> Section 5.316-320 Page 201-202  <u>Vol 3, Chapter 8:</u> Section 8.129 Page 81	<b>2-Death Certification Implementation Working group</b>
	96	The Department should provide clear standards to govern the management of healthcare litigation by Trusts and the work of Trust employees and legal advisors in this connection should be audited.	<u>Vol 3, Chapter 8:</u> Section 8.130 Page 82	<b>2-Death Certification Implementation Working group</b>

## APPENDIX 5.2

## IHRD Workstreams and Delegated tasks from IHRD Report Recommendations

Workstream Number	Workstream Name	Actions	Recommendations for implementation Category and Number
1	Duty of Candour	11 Actions from 5 Recommendations	Candour: 1 (i), 1 (ii), 1 (iii), 1 (iv), 1 (v), 1 (vi), 1 (vii), 2,3,4,6,
2	Death Certification Implementation Working Group	22 Actions from 18 Recommendations	SAI Investigation: 36, SAI Death: 43, 44, 45, 46, 47 (i), 47 (ii), 47 (iii), 47 (iv), 47 (v), 48, 49, 50, 51, 52, 53, 54, Training: 59,60, Department: 87, Culture and Litigation: 95, 96
3	Duty of Quality	28 Actions from 23 Recommendations	Candour: 8 Leadership: 9, SAI Investigation: 34, 40, 41, Training: 55, 56, 67, 68, Trust Governance: 69 (i), 69 (ii), 69 (iii), 70, 71, 72, 76, 77, 78, 79, 80, 81, 84, Department: 86 (i), 86 (ii), 86 (ii), 90 (i), 90 (ii), 92
4	Paediatric – Clinical	21 Actions from 21 Recommendations	Paediatric – Clinical: 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30
5	Serious Adverse Incidents	18 Actions from 10 Recommendations	SAI Reporting: 31,33 SAI Investigation 37 (i), 37 (ii), 37 (iii), 37 (v), 37 (vi), 37 (vii), 37 (viii), 37 (ix), 37 (x), 38, 39, 42, Training: 66

			Trust Governance: 82, 83, Department: 91,
6	Training	6 Actions from Recommendations	6 Training: 57, 58, 61, 62, 64, 65,
7	User Experience and Advocacy	3 Actions from Recommendations	3 SAI Investigation: 37 (iv), Training: 63, Department: 89
8	Workforce and Professional Regulation	7 Actions from Recommendations	7 Candour: 5, 7, SAI Reporting: 32, SAI Investigation: 35, Trust Governance: 73, 74, 75,
9	Assurance	1 Actions from Recommendation	1 Department: 93

## APPENDIX 5.3

### Duty of Candour Workstream

#### Chair

Quintin Oliver                      Stratagem

#### Members

<u>Name</u>	<u>Organisation</u>
Peter Walsh	Action against Medical Accidents
Pip Jaffa	Former Parenting NI
Linda Robinson	Age Northern Ireland
Kevin Doherty	Disability Action
Dawn Shaw	Action for Children
Lorna Nevin	McMillan
Brian O'Hagan	Service user/Carer
Caroline Kelly	Service user/Carer
Christine Collins	Service user/Carer
David Bingham	Former Department of Health & HSC
Garrett Martin	Western Health and Social Care Trust
Dermot Hughes	Western Health and Social Care Trust
Hazel Winning	Department of Health
Carol Diffin	Belfast Health and Social Care Trust
Catherine Graham	Pharmacist
David Hussey	Queens University Belfast
Andrew Dougal	Health and Social Care Board
Jim McCall	Northern Health & Social Care Trust
Helen Minford	South Eastern Health and Social Care Trust
Joan McEwan	Patient Client Council

## APPENDIX 5.3 (i)

### Being Open Sub-Group

#### Chair:

Peter McBride                      Inspire Wellbeing

#### Members:

<u>Name</u>	<u>Organisation</u>
Peter McBride	Inspire
Bill Osborne	Voluntary Services Bureau
Seana Talbot	Sure Start
Anne Doherty	Mindwise
Denise Hayward	Volunteer Now
Anne Murray	Service User
Torie Tenant	Service User
Patricia Campbell	Service User
Suzanne Martin	Head of School Health Sciences
Donncha O'Carolan	Health and Social Care Board
Tracey Boyce	Southern Health and Social Care Trust
Caroline Lee	Head of HSC Clinical Education Centre
Bria Mongan	South Eastern Health and Social Care Trust
Seamus O'Reilly	Northern Health and Social Care Trust
Anne O'Reilly	Age Northern Ireland
Geraldine Donaghy	Southern Health and Social Care Trust
Joe Campbell	Western Health and Social Care Trust