

Please provide the following information:

This request relates specifically to the interpretation and application of the 2016 “Procedure for the Reporting and Follow-Up of Serious Adverse Incidents”.

1. Please provide any policies, guidance documents, legal advice, briefing papers, or internal correspondence held by the Trust which state or support the position that an SAI Review Panel is independent of the Trust.

As a general note in response to the line above, which states that “this request relates specifically to the interpretation and application of the 2016 “Procedure for the Reporting and follow-up of Serious Adverse Incidents”: it is important to note that in order to implement the *HSCB Procedure for the Reporting and Follow up of Serious Adverse Incidents (November 2016)* (**Appendix A1**) the Belfast Trust refers to the following documents:

- *Belfast Trust Procedure for Serious Adverse Incidents (SAIs)* (**Appendix A2**)
- *Belfast Trust Procedure for the Allocation and Support of SAI Chairs undertaking Level 2 or Level 3 SAI Reviews* (**Appendix A3**)
- *HSCB Checklist for Engagement / Communication with Service User/ Family/ Carer following a Serious Adverse Incident* (**Appendix A4**)

By way of more specific response to question (1) above, please refer to:

- *Belfast Trust Procedure for Serious Adverse Incidents (SAIs)* (**Appendix A2**) – Section 5.2
- *Belfast Trust Procedure for the Allocation and Support of SAI Chairs undertaking Level 2 or Level 3 SAI Reviews* (**Appendix A3**) – Section 4

2. Please provide any recorded information which states or supports the position that the Trust “cannot tell an SAI Review Panel what to do”, including any legal basis for this position.

Please refer to the response provided at (1) above.

3. Please confirm whether the Trust holds any recorded information which sets out the extent of the Trust’s authority over an SAI Review Panel in relation to:

- a) requiring compliance with the 2016 SAI Procedure
- b) enforcing adherence to Terms of Reference
- c) ensuring engagement with service users and families
- d) requiring adherence to timescales

If such information is held, please provide it.

Beyond the documents referred to at (1) above, which inform the Belfast Trust's implementation of the *HSCB Procedure for the Reporting and Follow up of Serious Adverse Incidents (November 2016)*, the Belfast Trust does not hold documentation that responds to this request.

4. Please provide any recorded information which sets out what actions are available to the Trust where:

- a) an SAI Review Panel
- b) or its Chair

refuses or fails to comply with the 2016 SAI Procedure.

The Belfast Trust does not hold a documented procedure that sets out what actions are available where an SAI Review Panel or Chair refuses or fails to comply with the *HSCB Procedure for the Reporting and Follow up of Serious Adverse Incidents (November 2016)*.

5. Please provide any policies, procedures, or internal guidance which address whether the Trust has the authority to:

- a) appoint SAI panel members
- b) remove or replace SAI panel members
- c) amend or enforce Terms of Reference
- d) intervene where a panel is not complying with required procedures

Please refer to the documents referred to at (1) above.

6. Please provide any recorded information which clarifies the role and responsibilities of the Medical Director (or equivalent senior officer) in relation to:

- a) oversight of SAI reviews
- b) ensuring compliance with the 2016 Procedure
- c) governance of SAI Review Panels

The cover page of the *Belfast Trust Procedure for Serious Adverse Incidents (SAIs)* (**Appendix A2**) specifies that the Medical Director is the Responsible Director that holds overall accountability for the Procedure. Section 3 of the Procedure clarifies the roles and responsibilities of other staff members, in respect of the implementation of the Procedure.

Aligned to this document, the *Belfast Trust Procedure for the Allocation and Support of SAI Chairs undertaking Level 2 or Level 3 SAI Reviews* (**Appendix A3**) provides guidance on oversight of SAI Reviews, ensuring compliance with the 2016 Procedure, and governance of SAI Review Panels.

7. Please provide any guidance, internal communications, or briefing documents held by the Trust which describe the distinction between:

- a) independence of panel findings and conclusions, and
- b) the Trust's responsibility for the conduct and governance of the SAI review process

The Belfast Trust has considered this question carefully and has determined that it would exceed 18 hours of work to trace any such materials, should they exist. In addition, any such materials are likely to arise only from discussion of specific SAI Reviews. The Belfast Trust would not be in a position to disclose such material in response to this FOI request, given the personal and sometimes sensitive personal data involved.

8. Please provide any recorded information which sets out the Trust's obligations in relation to engagement with service users and families during an SAI review.

Please refer to the response provided at (1) above.

9. Please provide copies of any internal audits, reviews, or governance reports since 2016 which relate to:

- a. compliance with the SAI Procedure
- b. performance or conduct of SAI Review Panels

The Belfast Trust does not hold documentation that responds to this request.

10. Please provide copies of any correspondence (internal or external) since 2020 where concerns were raised regarding:

- a. failure of an SAI Review Panel to engage with families
- b. delays in SAI reviews
- c. non-compliance with Terms of Reference or procedures

Regarding point 10(a): The Belfast Trust has considered this question carefully and has determined that it would exceed 18 hours of work to trace any such materials, should they exist. In addition, any such materials are likely to arise only from discussion of specific SAI Reviews. The Belfast Trust would not be in a position to disclose such material in response to this FOI request, given the personal and sometimes sensitive personal data involved.

Regarding point 10(b): The Belfast Trust has considered this question carefully and has determined that it would exceed 18 hours of work to collate and produce such materials. However, it may be helpful to note that delays in relation to the completion of SAI Reviews is subject to close monitoring and reporting both within the organisation at weekly, monthly, quarterly, and annual intervals, and via ongoing external scrutiny by the Strategic Planning and Performance Group (SPPG), formerly the Health & Social Care Board (HSCB).

Regarding point 10(c): The Belfast Trust has considered this question carefully and has determined that it would exceed 18 hours of work to trace any such materials, should they exist. In addition, any such materials are likely to arise only from discussion of specific SAI Reviews. The Belfast Trust would not be in a position to disclose such material in response to this FOI request, given the personal and sometimes sensitive personal data involved.

11. Please confirm whether the Trust holds any recorded information which states that:

- a. the Trust cannot require an SAI Review Panel to meet with families
- b. the Trust cannot compel a panel to comply with procedural requirements

Beyond the documents referred to at (1) above, which inform the Belfast Trust's implementation of the *HSCB Procedure for the Reporting and Follow up of Serious Adverse Incidents (November 2016)*, the Belfast Trust does not hold documentation that responds to this request.

ENDS