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# All IAS Services Process Notes SIRI Handover Process for Outgoing and Incoming Personnel

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## Contents

1. Purpose .....	4
2. Responsibilities .....	4
3. Procedure .....	4/5
Appendix A .....	6/7
References .....	8

## 1. Purpose

The purpose of these process notes is to document a safe and comprehensive handover of all Serious Incidents between outgoing personnel and incoming personnel where investigations remain open and ongoing.

## 2. Responsibilities

It is the responsibility of the outgoing personnel involved in any ongoing Serious Incident Requiring Investigation (SIRI), to handover appropriately, and in accordance with the SIRI reporting procedures see reference page, on page 7. Ensure any agreed action plans are up to date to support the implementation of any remaining open investigations for the incoming personnel.

The responsibility then lies with the incoming personnel to cross check what information they have been handed over and to assume responsibility for any open ongoing investigations and related actions.

## 3. Procedure

**An effective handover consists of three elements:**

- a) A period of preparation by outgoing personnel.
- b) Handover where out-going and in-coming personnel communicate to exchange task-relevant information, and any action plans.
- c) Cross-checking of information by in-coming personnel as they assume responsibility for the open ongoing incident investigations and implementation of any action plans.

### 3a. Preparation by outgoing personnel

- Ensure that all systems used for the investigation of a serious incident are accessible to the incoming personnel and that they have been provided with any process notes or policies associated with completing their tasks in relation to open ongoing investigations.
- Ensure that there is an action plan outlined regarding any remaining open investigations and that all investigation notes have been appropriately logged and updated in the Incident Reporting System Datix.
- Ensure that all relevant documents for the investigation have been added to the relevant Datix Reports of any ongoing investigations.
- List any immediate actions/follows up that are imminent in relation to any of the remaining open investigations and ensure that they are aware of escalation processes to the Clinical Lead for IAS.

### **3b. Handover**

Ensure checklist (see appendix A) is completed by the outgoing and incoming personnel, and to send a copy of the checklist to the relevant Investigation Lead for any of the outstanding ongoing investigations to check that all tasks outstanding have been highlighted in the checklist and have been recorded for ongoing action.

### **3c. Cross-checking of information by in-coming personnel**

Incoming personnel should check the handover checklist and ensure that they have noted any outstanding actions or tasks to ensure that any open ongoing investigation can be progressed within the timeframe set by the Clinical Commissioning Group (CCG) for the investigation to be completed with a final report ready to go the CCG.

Appendix A



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**SIRI INCIDENT HANDOVER CHECK LIST**

Datix Incident No

StEis No CCG Reference

Action/Task handed over	Comments/Further Action needed	Outcome	Indicate who you are sending information to and how i.e. email, letter etc	Indicate who/what information you are waiting for	Date Sent/ Date info expected to be returned

**Appendix A (Continued)**

**Signatures for the Handover Checklist**

**The following will need to ensure that they sign and agree the handover actions as above.**

**Clinical Lead for the Service/  
or Service Manager**

**Outgoing Governance Coordinator**

**Incoming Governance Coordinator**

**Director of Clinical Care Delivery**

**Date:**

## References

### **1. Process notes for logging, investigating & closing incidents**

Incident Reporting Checklist with process of adding report to Datix (our Incident and Complaints reporting system).

#### ***Link to Document***

[210518 IAS Incident Reporting Checklist V 1.3.pdf](#)

### **2. Clinical Commissioning Group (CCG)**

SIRIs that are raised by any NHS service providers will have to be logged on StEIS which is the System that the CCG use to log any serious incidents that occur. StEIS stands for: (StEIS) - Transfer of Strategic Executive Information System

This is used to report and monitor the progress of Serious Incident investigations across the NHS.

### **CCG Provider Serious Incident Assurance Process**

#### **Link**

[LNCCG-Provider-Serious-Incident-Assurance-Process-Final-July-16.pdf \(leedsccg.nhs.uk\)](#)

#### ***Definition as below***

The CCG is committed to ensuring serious incidents are reported in a timely fashion and investigated to the appropriate level, maximising learning for the future. The CCG is responsible for ensuring serious incidents arising from its commissioned services, including primary care (referred to as providers, as above in this document), are thoroughly investigated according to national frameworks with suitable actions taken to prevent recurrence.