

APPENDIX 3

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| <p>ACCESS TO TREATMENT OR DRUGS</p> <ul style="list-style-type: none"> Access to Services Access to Occupational Therapy Access to Physiotherapy Access to Speech and Language Access to Dietetics Access to Orthotics Cancellation of operation/procedure Funding of medication Funding of treatment Lack of or delayed availability of operating theatre Length of Waiting List Service not available Service Provision Treatment delayed Treatment cancelled Other | <p>ADMISSIONS AND DISCHARGES (EXCLUDING DELAYED DISCHARGE DUE TO ABSENCE OF A CARE PACKAGE - SEE INTEGRATED CARE)</p> <ul style="list-style-type: none"> Admission Arrangements Bed not available for admission Bed not ready Cancelled/rescheduled clinic/appointment Cancelled/rescheduled surgery/procedure Delay in planned discharge Delay or failure in transfer Delay in discharge awaiting medication Delayed treatment Discharge Arrangements (inc lack of or poor planning) Discharged too early Discharge at inappropriate hour Discharge with incorrect / incomplete / without TTO's Extended stay / episode of care Failure to Admit Failure of planned discharge Inadequate discharge planning Internal transfer (inc to xray/test) Infection status not communicated on transfer Patient not expected Transfer - Out of Hours Transfer Arrangements Transfer against wishes (patient or family/carer) Transfer with incomplete or no handover (communication) Transfer without documentation or equipment Transport - late or didn't arrive Transport - not provided on discharge Transport - incorrect mode Waiting on trolley Other | <p>CLINICAL TREATMENT</p> <ul style="list-style-type: none"> Adverse reaction to blood/blood components/blood transfusion Awareness under anaesthetic Birth injury (including fatal laceration at LSCS) Blood transfusion administration error Blood transfusion inappropriate/unnecessary Catheter related UTI Catheter accidentally pulled out Delay or failure to undertake scan/x-ray, etc. Delay or failure in acting on test results Delay or failure in acting on reports Delay or failure in observations Delay or failure in ordering tests Delay or failure in treatment for infection Delay in induction of labour Delay or failure to monitor observations Delay or failure to monitor wound Delay or failure in treatment or procedure Delay or failure to diagnose (inc e.g. missed fracture) Delay or failure to follow up Delay in treatment Delay or difficulty in obtaining clinical assistance Dispute over diagnosis Failure to follow up on observations / recognise deteriorating patient Failure to follow Transfusion policy Failure to recognise/respond to abnormal fetal heart Inadequate frequency of observations Inadequate pain management Inappropriate procedure Inappropriate treatment Incorrect diagnosis Incorrect procedure Incorrect treatment Infusion injury Injury sustained during treatment or operation Intrapartum stillbirth Known Group B streptococcus infection not treated in labour Lack of clinical assessment Line accidentally pulled out | <ul style="list-style-type: none"> Maternal Death Mismanagement of labour Missing needle / swab / instrument Missed or incorrect diagnosis Neonatal death Post-treatment complications Retained needle / swab / instrument Scanning errors Screening errors Stillbirth (excluding known fatal abnormalities) Surgical site infection / infection to wound Unplanned return to theatre Wound dehiscence Wrong Site Surgery Other |
| <p>APPOINTMENTS</p> <ul style="list-style-type: none"> Appointment Cancellations Appointment error Appointment delay (inc length of wait) Appointment time Appointment booking system (including Chose and Book) Appointment - availability (inc urgent) Appointment - letter not issued/not received Appointment - failure to provide follow-up Appointment not kept by Staff Name not on waiting list Referral – Delay Referral - Refusal/Non Referral – Failure Other | | <p>COMMISSIONING</p> <ul style="list-style-type: none"> Commissioning Services/Issues Commissioning decisions related to medication Commissioning decisions related to funding of medication Services - not available locally Services - not commissioned Services - changes/alterations to provision Other | |

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| <p>COMMUNICATIONS</p> <p>Access to Interpreting Service Bereavement Support Issues Breaking bad news Breakdown in communication between staff Breakdown in communication (appointments) Communication failure between departments Communication failure within department Communication with patient Communication with relatives/carers Communication with GP Communication between medical teams Communication failure between departments Communication failure within department Conflicting information Delay in giving information/results Delay in reporting results Delay or failure to receive scans / x rays Failure to notify to community Inadequate record keeping Inadequate information provided Incorrect Entry on Medical Records Incorrect/inaccurate interpretation Incorrect/no information given Insufficient information provided Method/style of communications Patient not listened to Other</p> | <p>FACILITIES</p> <p>Access issues (ramps, lowered kerbs, etc.) Accommodation issues Car parking – availability Car parking – cost Car parking - management (including fines/clamping etc) Car parking - disability issues Car parking – signage Car parking – lighting Car parking - payment methods/facilities (e.g. cash only, no change) Cleanliness Clinical (all aspects, all areas) Cleanliness - non-Clinical (all aspects, all areas) Disabled facilities h - availability (toilets, etc.) Drinking water - access/availability (non-clinical aspects only - see also Patient Care) - also includes non-patient Drinks - other - access/availability (non-clinical aspects only - see also Patient Care) - also includes non-patient Equipment - availability (Clinical) Equipment - availability (non-clinical) Equipment - condition (clinical) Equipment - condition (non-clinical) Food - choice (non-clinical aspects only - see also Patient Care) Food - quality (non-clinical aspects only - see also Patient Care) Food - did not get food ordered Food - availability (non-clinical aspects only - see also Patient Care) - also includes non-patient Food - food allergen information not provided/not available Laundry/linen – cleanliness Laundry/linen – availability Laundry/linen – condition Lighting Maintenance (including condition) of building or grounds Portering services Safety and Security issues Signage – availability Signage –accuracy Signage – visibility Smoking issues Temperature (internal) Wheelchairs - availability/lack of Wheelchairs – cleanliness Wheelchairs – condition Other</p> | <p>END OF LIFE CARE</p> <p>End of life care/Liverpool Care Pathway Lack of privacy for dying patient/relatives Lack of privacy for family/relatives/other of dying patient Other</p> <p>INTEGRATED CARE (INCLUDING DELAYED DISCHARGE DUE TO ABSENCE OF A CARE PACKAGE)</p> <p>-Delayed discharge - absence of care package -Failure in communication to community or other organisation</p> <p>MORTUARY</p> <p>Accidental Damage to a body post death Burial arrangements Disposal or retention issues Post mortem issues</p> <p>PRESCRIBING</p> <p>Adverse drug reactions Controlled Drug Dispensing error Drugs/medicines not available in pharmacy Failure to prescribe Prescribing Prescribing error Prescribing of Medical Gases Refusal to prescribe Other</p> <p>RESTRAINT</p> <p>All aspects of restraint issues</p> <p>STAFF NUMBERS</p> <p>Insufficient staff Lack of suitably trained staff - unit / ward / department closed with impact on patient care Lack of suitably trained staff - unit / ward / department remains open, resulting in impact on patient care Lack of suitably trained staff for list Staffing Levels Staffing ratio Other</p> |
| <p>CONSENT</p> <p>Failure to give informed consent Failure to obtain appropriate consent Insufficient information provided prior to consent Patient undergoes procedure without consent Patient arrives in theatre department without signed consent Other</p> | | |

PATIENT CARE

Acquired pressure ulcer i.e. not present on admission)
 Acquired infection (i.e. not present on admission)
 Call Bell - failure to respond
 Call bell - out of reach
 Care needs not identified (inc. e.g. therapy needs)
 Care needs not adequately met
 Care pathway issues
 Cannula management
 Cannula left insitu on discharge
 Catheter care
 Continence issues
 Did not get help to mobilise
 Failure to provide adequate care (inc. overall level of care provided)
 Failure to comply with hand-hygiene requirements (inc. e.g. bare below the elbows, hand washing/sanitising)
 Failure to adopt infection control measures
 Failure to monitor/observe (patient allowed to wander, abscond, etc.)
 Failure to monitor pressure ulcer
 Failure to give sedation
 Food and Hydration - Failure to undertake nutritional screening on admission
 Food and Hydration - Failure to weigh on admission
 Food and Hydration - Failure to identify specific nutritional/dietary needs on admission
 Food and Hydration - Failure to monitor food intake during period of admission
 Food and Hydration - Failure to monitor fluid intake during period of admission
 Food and Hydration - Failure to provide adequate fluids during period of admission
 Food and Hydration - Failure to provide assistance with eating/drinking
 Food and Hydration - Failure to provide appropriate foods linked to clinical need (e.g. diabetes, coeliac, texture modified/dysphagic)
 Food and Hydration - Failure to provide appropriate foods linked to personal/cultural need (e.g. vegan, halal)
 Food and Hydration - food/drink left out of reach
 Food and Hydration - help not given to open packaging
 Food and Hydration - failure to provide nutritional advice
 Food and Hydration - failure to identify food allergy
 Inadequate support provided
 Inappropriate Care Setting
 Moving and handling issues
 Multiple ward moves
 Neglect in hospital
 Nil by Mouth issues
 Risk Assessment not completed
 Slips trips and falls – witnessed
 Slips trips and falls – unwitnessed
 Other

PDW

Breach of Confidentiality (by non-staff)
 Breastfeeding issues
 Clothing – cleanliness
 Clothing – condition
 Clothing – provision
 Discrimination/equality – Age
 Discrimination/equality – Disability
 Discrimination/equality – Lifestyle
 Discrimination/equality – Religious
 Discrimination/equality – Sexual
 Discrimination/equality – Harassment
 Discrimination/equality – Racial
 Discrimination/equality - Gender reassignment
 Examination by male/female doctor
 Failure to address patient by preferred name
 Lack of chaperone
 Mixed sex ward or bathroom
 Noise disturbance
 Patient left in dirty/soiled clothing
 Patient left in dirty/soiled bedding
 Patient not provided with activities
 Personal hygiene - patient not, or not adequately, washed or helped to wash
 Personal care
 Storage of personal provisions
 Other Privacy and Dignity issue

WAITING TIMES

Emergency Department/MIU waiting time
 Waiting list time Inpatient
 Waiting list time Outpatient/Clinic
 Waiting time for bed
 Waiting at Appointment
 Waiting for Appointment/Length of Waiting List
 Wait for operation/procedure
 Wait for medication
 Other

TRUST ADMIN/POLICIES/PROCEDURES INCLUDING PATIENT RECORD MANAGEMENT

Access to health records
 Accuracy of health records (e.g. errors, omissions, other patient's records in file)
 Adult Protection Process/Policy/Procedure
 Aids & Appliances – availability, etc.
 Availability/non-availability of records (e.g. lost, mis-filed)
 Blood collection/delivery error
 Blood not available/delayed
 Child Protection Process/Policy/Procedure
 Clinical Trials
 Code of Openness
 Commercial decisions
 Complaint handling - all aspects
 Delay in issuing death certificate
 Failure to document infection status
 Failure to follow procedures
 Handling of requests for information (inc. FoI)
 Issue with death certificate or MCCD documentation
 Mental Health Act
 PALS issue
 Patient incorrectly identified
 Policy decisions

TRANSPORT (AMBULANCES)

VALUES AND BEHAVIOURS (STAFF)

Attitude of Nursing Staff/midwives
 Attitude of Medical Staff
 Attitude of Admin & Clerical Staff
 Attitude of Other Staff
 Attitude of Facilities Staff
 Breach of Confidentiality by Staff
 Emotional / Psychological Abuse by Staff
 Failure to act in a professional manner
 Failure of staff to introduce themselves
 Failure to wash hands
 Financial Abuse by Staff (inc Alleged)
 Physical Abuse/Assault by Staff (inc Alleged) Rudeness
 Sexual Abuse/Assault by Staff (inc Alleged)
 Staff discussing patient details in public area
 Verbal Abuse by Staff (inc Alleged)
 Safeguarding
 Uniform issues
 Other

OTHER

Aggressive behaviour (not assault) by patient
 Customer Services
 Damage to personal property
 Disruptive behaviour
 Emotional / Psychological Abuse by Patient
 Failure/refusal to visit patient at home
 Financial Abuse by Patient (inc Alleged)
 Financial Procedures/Patient finance
 Loss of/damage to personal property including compensation issues
 Sexual Abuse/Assault by Patient (inc Alleged)
 Theft
 Verbal abuse by patient
 Welfare Benefits