

Appendix 1

Healthcare Patient Related Finalised Claims Analysis Template

NIMS Record Number:	
Date of incident:	
Previously reported as an incident:	
Location (primary) (Level E):	
Other locations:	
Date of birth:	
Gender:	M F
Claim related specialty:	
Fatal/ Non-fatal injury:	Fatal: Yes No Non-fatal: Yes No
Injury details:	
Classification of injury:	
Type of injury:	
Open Disclosure Undertaken? ie. Is there a letter of apology? Is there a statement around the disclosure of the incident?	Yes No Not Known Yes No Yes No
Summary of Incident:	

Question	Format of answer	Comments
1. Who else was injured / harmed?	No other injured Employee Member of public Other	
2. Who was involved?	Medical Nursing AHP	
3a. Was there an investigation/ review undertaken? 3b. Is it available?	Yes No Yes No	

Question	Format of answer	Information to inform Answer (from YCF Framework 2017) For Example	Comments
4. Service user factors – condition (complexity and seriousness)	Yes No Maybe Don't know	Clinical Condition: <ul style="list-style-type: none"> • Pre-existing co-morbidity • Complexity of condition • Seriousness of condition • Limited options available to treat condition • Disability 	
5. Service user factors - Language and communication	Yes No Maybe Don't know	Service User Factors – for example: <ul style="list-style-type: none"> • Language barrier • Uncooperative • Complex medical history • Cognitive factors • Intoxicated 	
6. Task and Technology factors - Task design and clarity of structure <i>Delay / failure to monitor</i> <i>Delay / failure in undertaking clinical risk assessment, including falls and/or bone health risk</i> <i>Delay / failure to diagnose / treat</i> <i>Ineffective treatment, including appropriate care planning, medication review etc.</i>	Yes No Maybe Don't know	Procedural or Task Design – for example: <ul style="list-style-type: none"> • Poorly designed (i.e. Too complex; too much info.; difficult to conceive or remember) • Guidelines do not enable one to carry out the task as intended. • Too many tasks to perform at the same time • Contradicting tasks • Staff do not agree with the 'task / procedure design' • Stages of the task not designed so that each step can realistically be carried out • Lack of direct or understandable feedback from the task • Misrepresentation of information • Inappropriate transfer of processes from other situations • Inadequate Audit, Quality control, Quality Assurance built into the task design • Insufficient opportunity to influence task / outcome where necessary • Appropriate automation not available 	

<p>7. Task and Technology factors - Availability and use of protocols</p> <p><i>Ineffective treatment, including appropriate care planning, medication review etc.</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Local Policies, Protocols, Procedures, Guidelines (PPGS)- for example:</p> <ul style="list-style-type: none"> • No PPGS exist • PPGS too complicated • Lack of standardisation <ul style="list-style-type: none"> • Contradictory PPGS exist • PPGS inadequate / incomplete 	
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<p>8. Task and Technology factors - Availability and accuracy of test results</p> <p><i>Delay / failure to act on formal result</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Administrative factors – for example:</p> <ul style="list-style-type: none"> • Unreliable or ineffective general administrative systems (Please specify e.g. : Bookings, Patient identification, ordering, requests, referrals, appointments) • Unreliable or ineffective administrative infrastructure (e.g. Phones, bleep systems etc.) • Unreliable or ineffective administrative support <p>Support from other departments: This includes support from IT, HR, porters, clinical services such as radiology, phlebotomy, pharmacy, biochemistry, blood bank, physiotherapy, medical or surgical subspecialties, theatres, GP, ambulance.....</p>	
<p>9. Individual (staff) factors - Knowledge and skills</p> <p><i>Delay / failure to recognise complication? i.e. post fall protocols</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Staff Training and Education – For example:</p> <ul style="list-style-type: none"> • Inadequate training • No protected time for teaching • Training not standardised • No regular / yearly updates 	
<p>10. Individual (staff) factors – Competence</p> <p><i>Delay / failure to recognise complication? i.e. post fall protocols</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Task Characteristics – For example:</p> <ul style="list-style-type: none"> • Unfamiliar task • Difficult task • Monotonous task • Inadequate experience / qualifications 	
<p>11. Team factors - Verbal communication</p> <p><i>Failure / inadequate provision of information such as falls prevention booklet, SU instructions etc.</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Communication – Verbal e.g.:</p> <ul style="list-style-type: none"> • Poor communication between staff • Handover problems • Lack of communication / notes • Inappropriate abbreviations used • Unable to contact correct staff 	

<p>12. Team factors - Written communication</p> <p><i>Failure / inadequate provision of information such as falls prevention booklet, SU instructions etc.</i></p> <p><i>Inadequate clinical documentation</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Communication – Written e.g.:</p> <ul style="list-style-type: none"> • Poor communication between staff • Handover problems • Lack of communication / notes • Unable to read notes • Inappropriate abbreviations used • Unable to contact correct staff • Notes availability 	
<p>13. Team factors - Supervision and seeking help</p> <p><i>Delay / failure to call senior decision maker</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Safety Culture – For example: -</p> <ul style="list-style-type: none"> • Service User Safety awareness • Fear of documenting errors • Attitude to Risk Management • Availability of senior decision makers / support 	
<p>14. Team factors - Team structure (congruence, consistency, leadership etc.)</p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Team Factors – For example:</p> <ul style="list-style-type: none"> • Conflicting team goals • Lack of respect for colleagues • Poor delegation • Absence of feedback <p>Leadership, Supervision & Roles – for example:</p> <ul style="list-style-type: none"> • Inappropriate delegation • Unclear responsibilities • Remote supervision 	
<p>15. Work environmental factors - Workload and shift patterns</p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Workload & Staffing issues – For example:</p> <ul style="list-style-type: none"> • High unit workload • Insufficient staff • Unable to contact staff • Staff sickness 	
<p>16. Work environmental factors - Design, availability and maintenance of equipment</p> <p><i>Defective equipment</i></p>	<p>Yes</p> <p>No Maybe</p> <p>Don't know</p>	<p>Medicines, Equipment & Supplies – for example:</p> <ul style="list-style-type: none"> • Unavailable medicines • Equipment not working • Inadequate maintenance • No supplies / delivery issues 	

Issues Identified:

Opportunities for Improvement:

(Aligned with national and international evidence)

Resources Used:

Healthcare Record:	Yes	No
Expert Reports:	No:	

CRA: _____

Date: _____/_____/_____