

NIMS Complaints Module

Train the Trainer Course Manual

NCGLT
May 2016

Contents

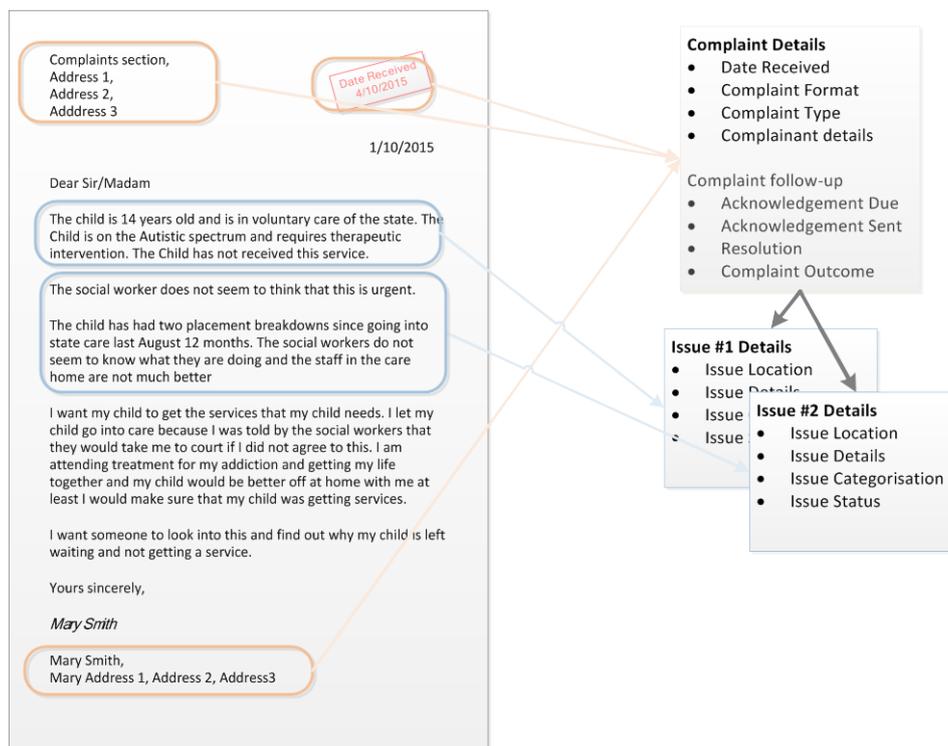
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Introduction to Complaints on NIMS

This manual looks at recording Formal Complaints on NIMS.

A formal complaint is made up of a number of different parts. These are stored and tracked on NIMS in two different places.

1. Occurrences [Complaint & Complainant details]
2. Incidents [Issue(s)]



Complaint: There are details on the letter that are stored at the complaint level. This includes

- When did we get the complaint?
- Who is it from?
- How did it arrive?

Once the complaint is saved there are additional details that are stored as part of the complaint, and will be accessed as the complaint moves through its life-cycle.

- When do we need to acknowledge the complaint?
- When did we actually acknowledge the complaint?
- When do we need to respond to the complaint?
- What was the overall Resolution and Outcome of the complaint?

Issue: each complaint will contain one or more separate issues. These are the individual issues that are listed within the letter and may involve investigation by different members of the organisation. These separate investigations have different life cycles to be tracked, and we can't respond to the overall complaint until each issue has been resolved.

- Where was the issue located?
- Who is responsible for the issue?
- How do we categorise the issue?

Finally there is a third entity called a **recommendation**. These are used after the investigation to track any recommendations that have been made in relation to the complaint.

Logging In

1. Open <https://training.nims.ie>



Please enter your user information.

Client ID

User ID

Password

[Forgot your password?](#)

Log In to NIMS Training

2. Enter your *User ID* & *Password* and click **Log in to NIMS Training** you're brought to the **My NIMS Homepage**

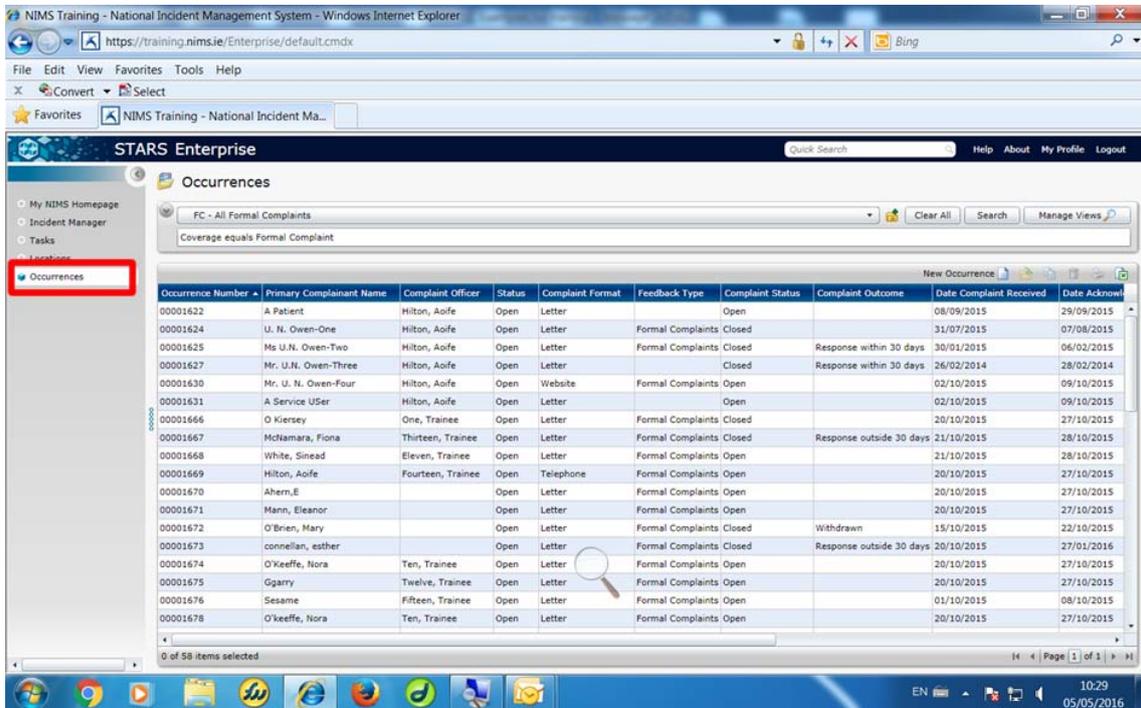
Note: The URL for the live environment is <https://www.nims.ie>.

Step 1: Create Record of Complaint

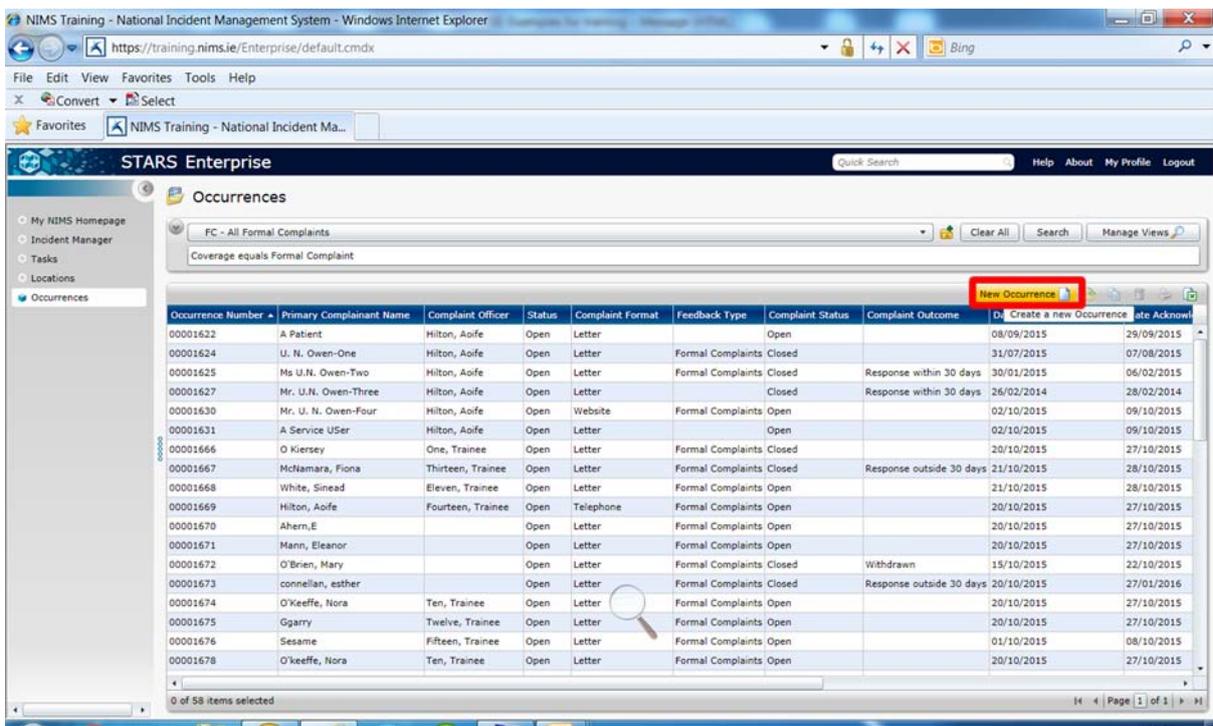
In the NIMS Complaints Module a Complaint is referred to as an Occurrence.

On the left-hand menu click **Occurrences**

A list of Occurrences is displayed (double-click on one to open an existing Occurrence)



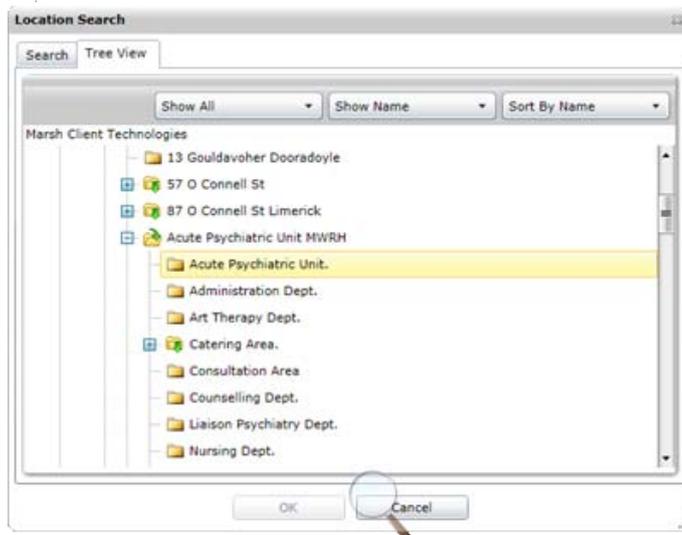
1. Click the button **New Occurrence**.



2. You are prompted to select the *Coverage*

3. Select 'Formal Complaint' and click **OK** - a blank 'Complaint General Details' Occurrence screen appears:

4. Enter the complaint details (at minimum):
 - a. *Date Complaint received*
 - b. *Report Date* (defaults to today, edit if necessary)
 - c. *Location - **How to lookup a location***
 - Use the lookup: if you click on the magnifying glass . A search screen appears. Within this there are two difference ways to use this, either the **Search** screen OR **Tree-View**. **ALWAYS use Tree-View.**
 - Click on **Tree View** and you can look through the location hierarchy to find your location.



i.

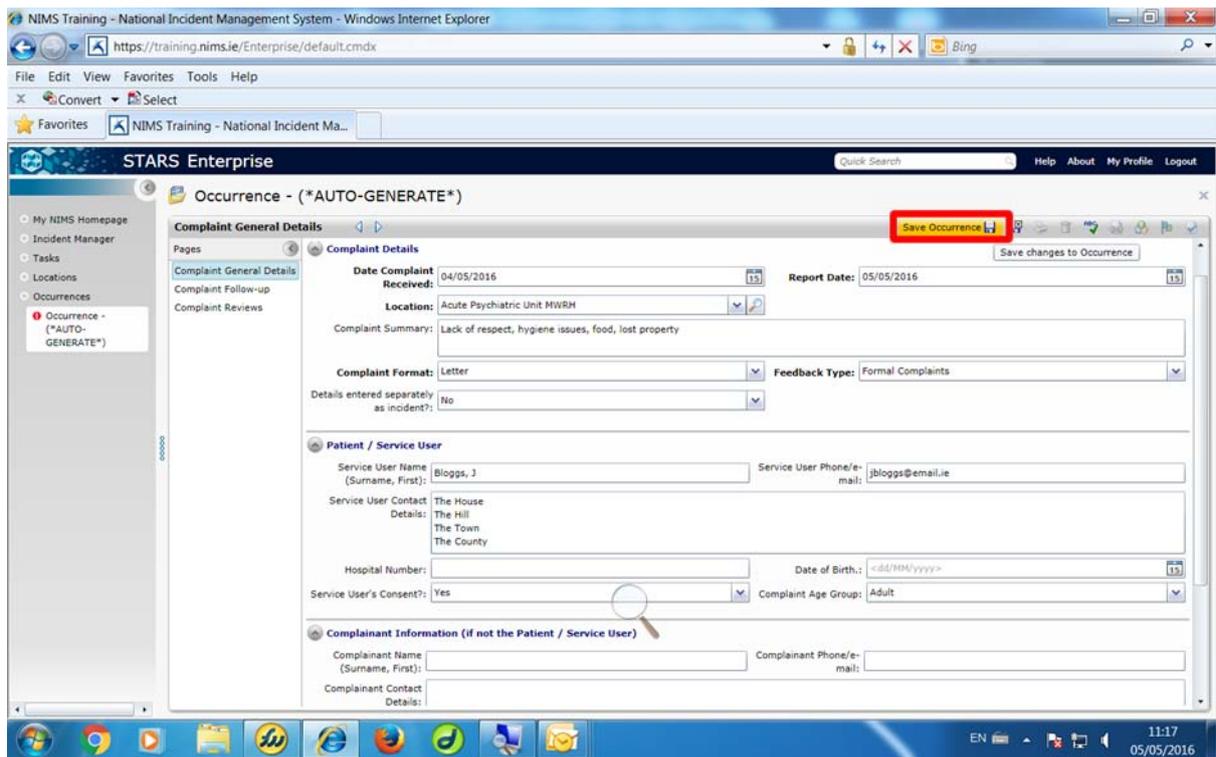
d. *Complaint Format*

Complaint Format	Comment
E-mail	Emails to your local complaints email account. yoursay@hse.ie , info1@hse.ie
Face-to-face	
Fax	
Letter	
Other Written	
Telephone	
Website	

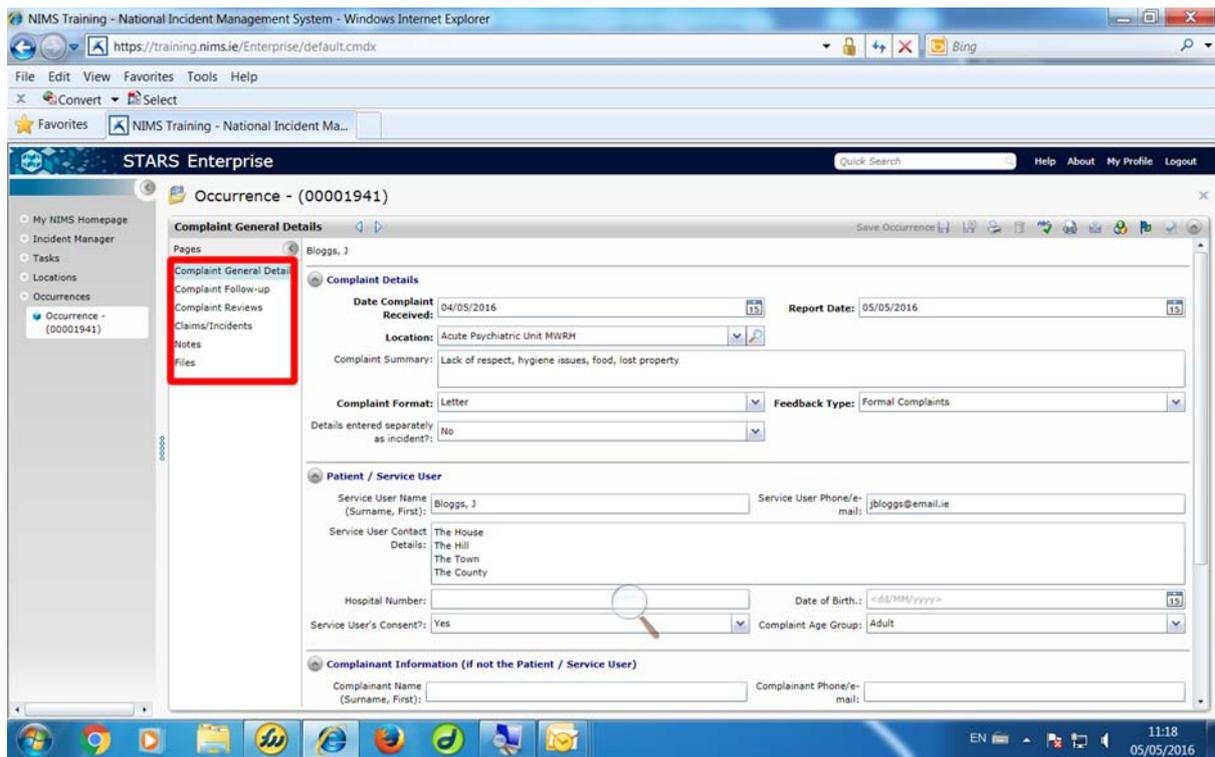
e. *Feedback Type*

Feedback Types	Comment
Audit	DO NOT USE
Comments/Suggestions	
Formal Complaints	
Locally resolved Complaints	
Parliamentary Questions	DO NOT USE – Do not enter here
Positive Feedback	
Public Representations	
Review existing complaint	DO NOT USE – there is a separate Review Section

f. *Either Service user name OR Complainant name*



5. After you have entered all available details, click **Save Occurrence**.
6. You will now see additional options:
 - a. Claims/Incidents
 - b. Notes
 - c. Files

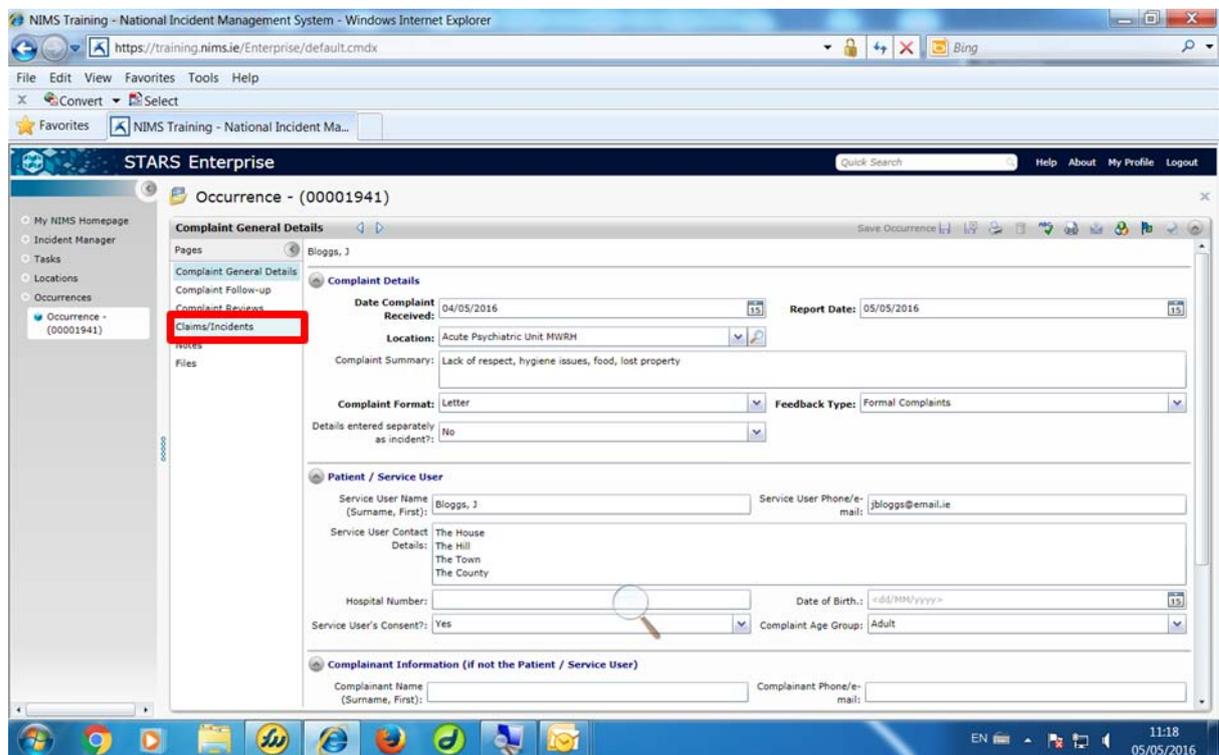


Note: Once you click Save additional items become available. Including Claims/Incidents.

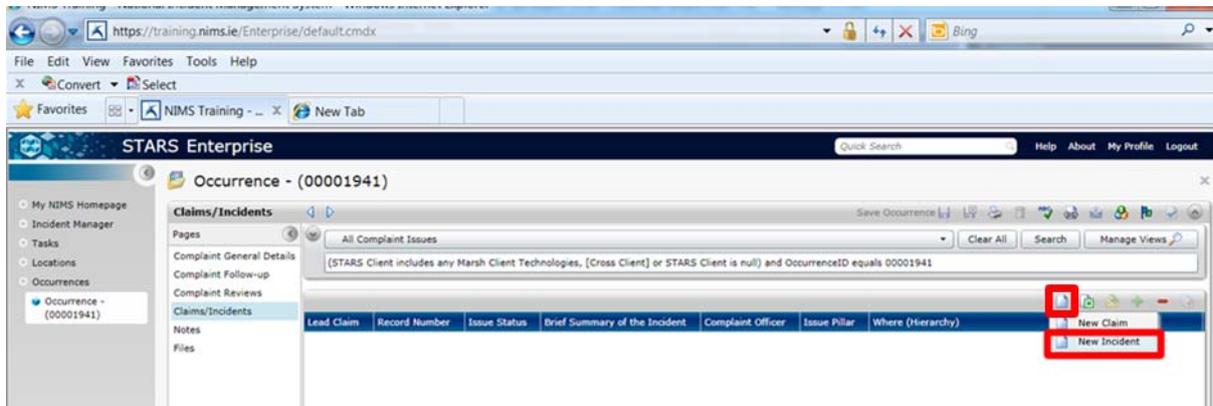
Step 2: Create Record of Issues

This shows all the issues on a complaint.

1. Click on **Claims/Incidents** on the **small** left-hand menu



2. The list of issues appears (this is blank in a new complaint)
Click  then  **New Incident**.



You are asked to confirm the incident is 'Formal Complaint' coverage.

 **Create a New Incident**

Please enter the required information below so the system can select the appropriate Incident form.

Record Number:

Coverage:

3. Click **OK**.
a blank Incident screen appears:

Auto-populated Fields

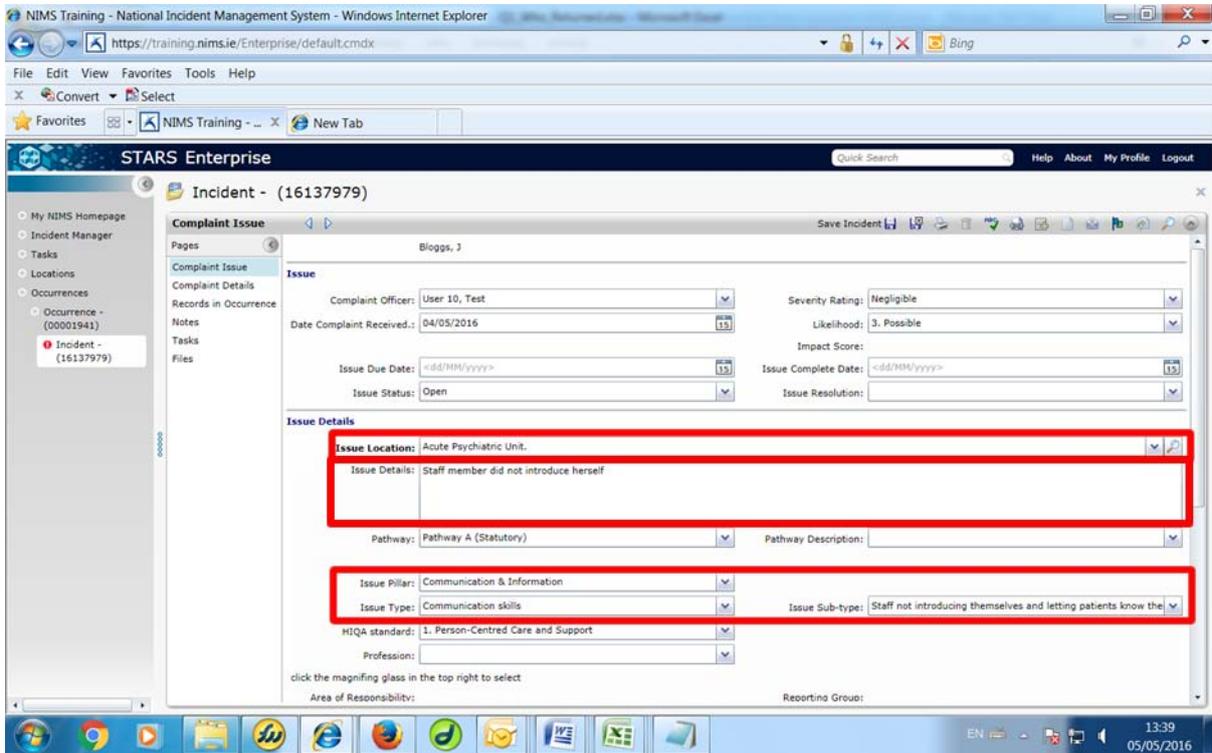
- a. On creating the Issue, if *Complaint Officer* is blank, the system fills this as the current user.
- b. On creating the Issue the *Issue Status* is "Open".
- c. On creating the Issue the *Examination Target Date* is set to today's date + 14 days (10 week days)

Dependant Fields *These are fields where changing the first one will change the available values in the second)*

- d. Issue Pillar → Issue Type → Issue Sub Type (details in Appendix 2)
- e. Pathway → Pathway Description
- f. Category of Complaint → Sub Category A

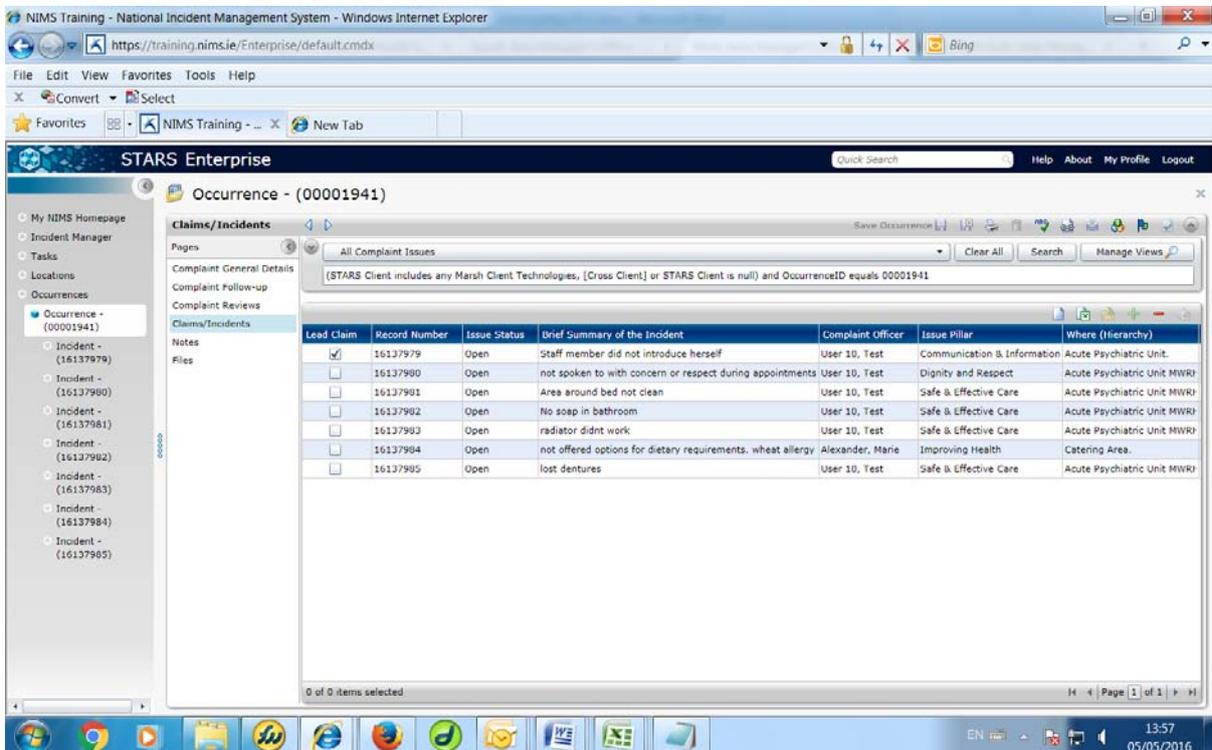
4. Enter at least the minimum details:
 - a. *Issue location* (mandatory)
 - b. *Issue Details*
 - c. *You must also categorise the issue using the various options.*

Mandatory fields are highlighted below



5. Click  **Save and Close.**

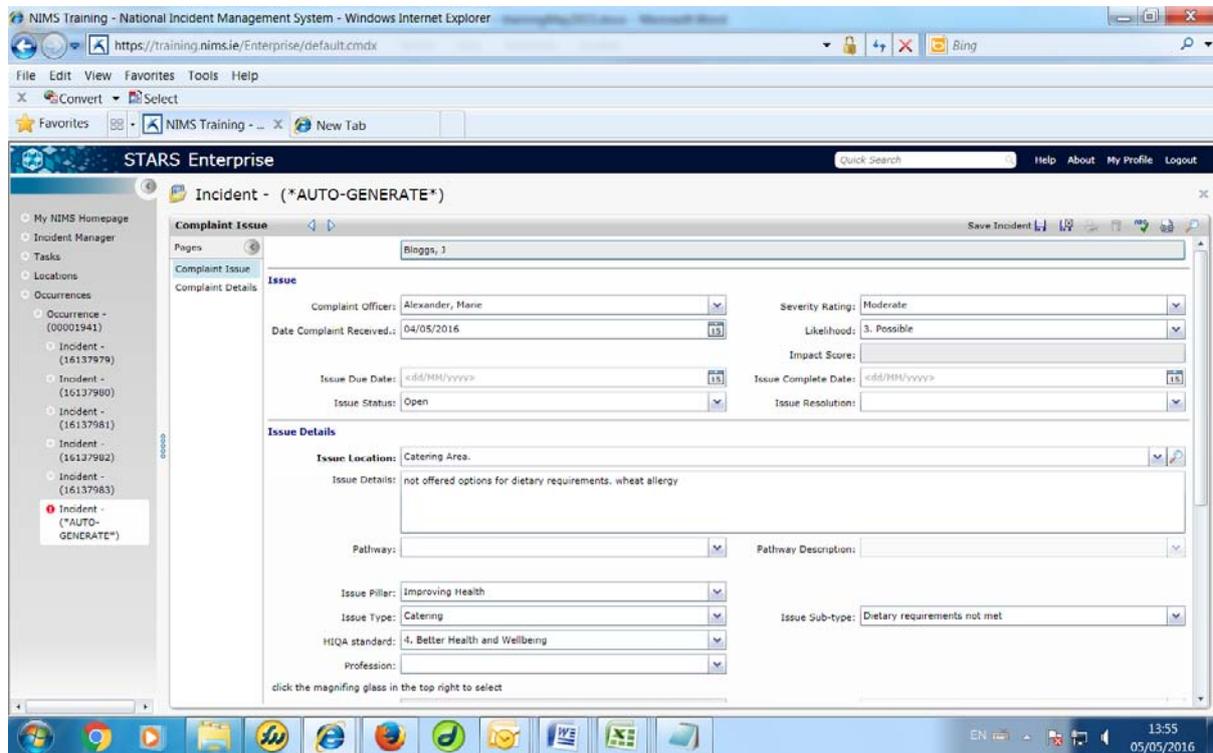
The issue is saved and appears as the first issue



Note: an issue can be opened from here by double-clicking on it. The issues above can be viewed in Appendix 1.

Note: **Lead Claim** can be ignored. This is not relevant to complaints/issues.

6. Repeat this to add additional issues



Note: By default the first issue is deemed the '**lead claim**'. This is not relevant to Complaints, but cannot be hidden.

Step 3: Update Record of Complaint

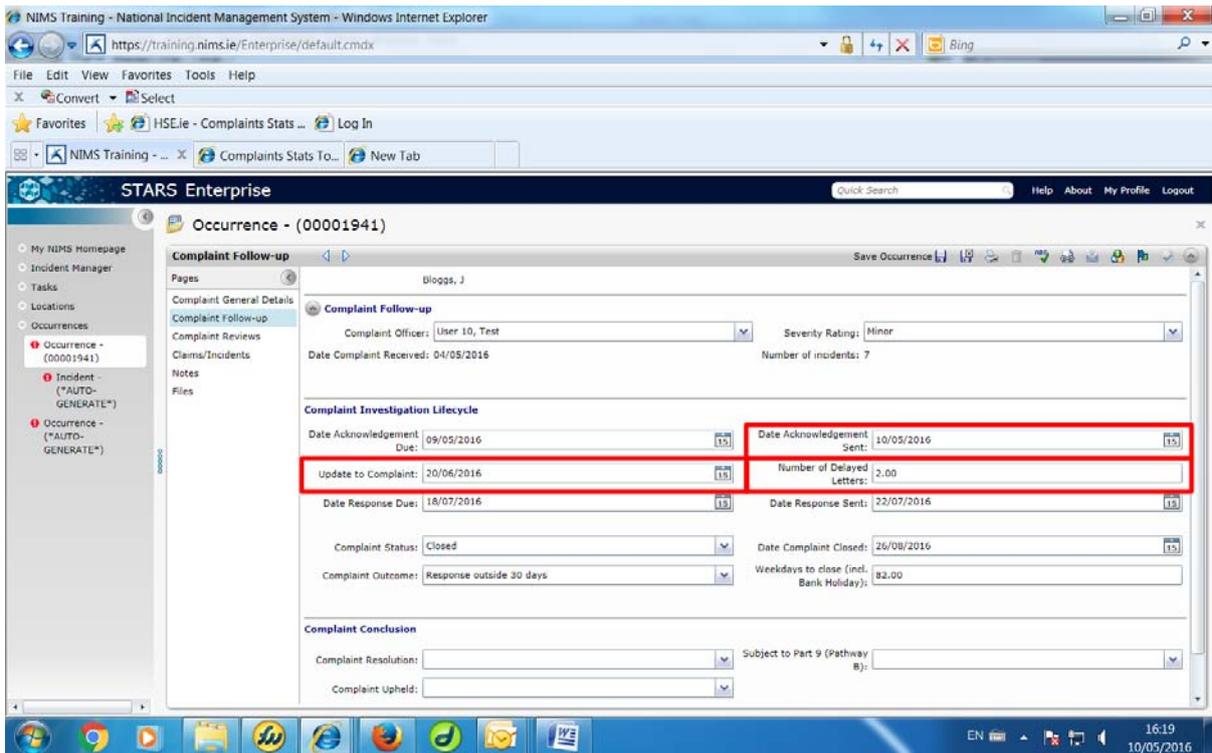
Complaint Follow-up screen

Mandatory Fields

- *Complaint Status* (default is Open)

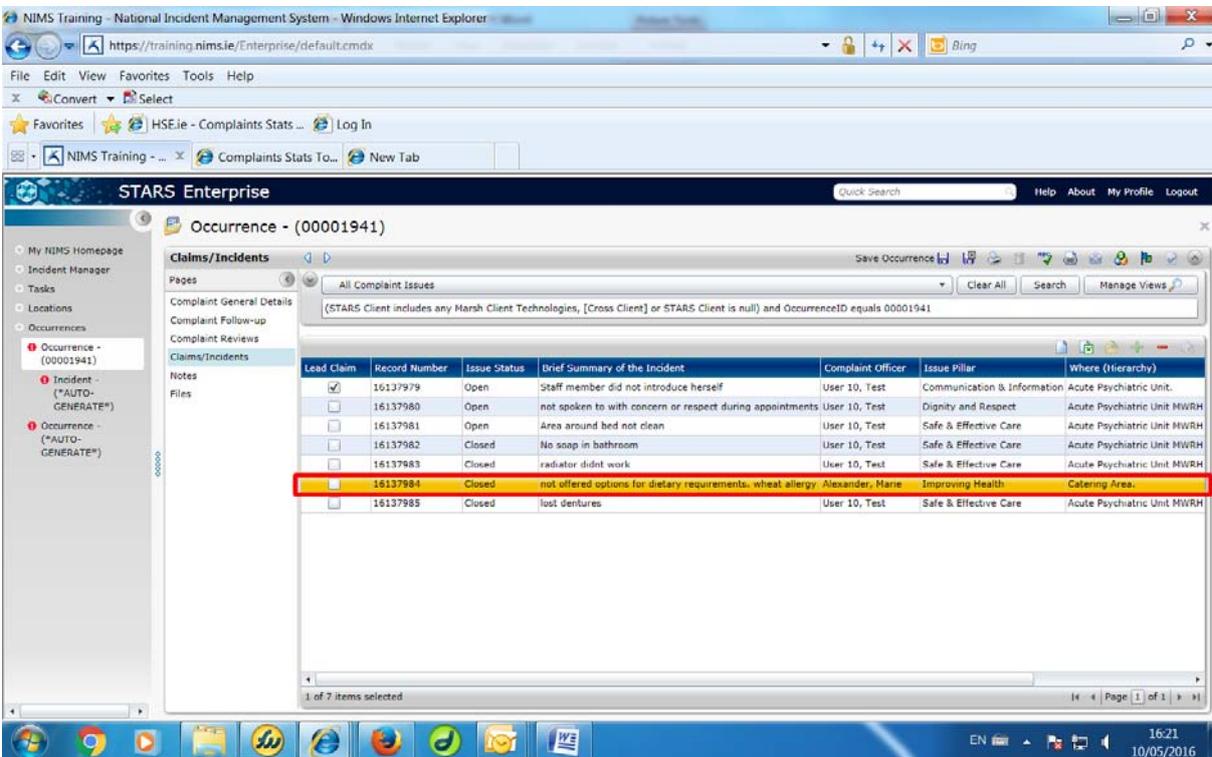
Auto-populated Fields

- On creating the Occurrence, if *Date Acknowledgement Due* is blank, the system fills this as *Date Complaint Received + 7 days* (5 week days).
- On creating the Occurrence, if *Date Response Due* is blank, the system fills this as ***Date Complaint Received + 42 days*** (30 week days).
- On creating the Occurrence, if *Complaint Officer* is blank, the system fills this as the current user.
- On creating the Occurrence, the Complaint status is "Open"
- *Number of issues*. This is auto-calculated.
- On changing the *Complaint Status* to "Closed", if *Complaint Close Date* is blank, it is set to today. The *weekdays to close (incl bank holiday)* is filled. This is a count of the number of weekdays between the *Complaint Received Date* and the *Complaint Closed Date*. It is NOT aware of bank holidays.

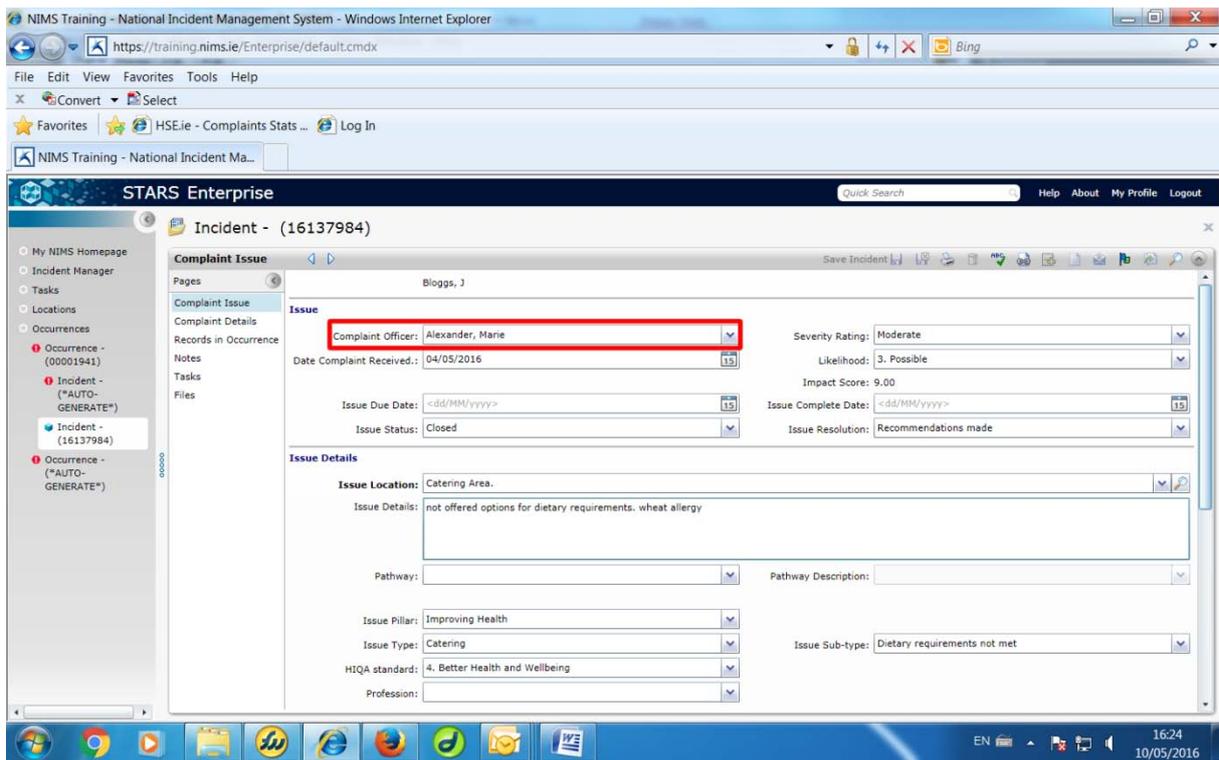


Step 4: Update Record of Issues

You can select the issue to update from Claims/Incidents. Double click to open,



You can make any changes in the non auto populated fields, including changing the complaints officer assigned this incident (issue)



Note: Ensure all issues are 'Closed' before closing the Complaint. The system will not stop you from setting the *Complaint Status* to "Close" even if there are individual issues with an *Issue Status* of "Open".

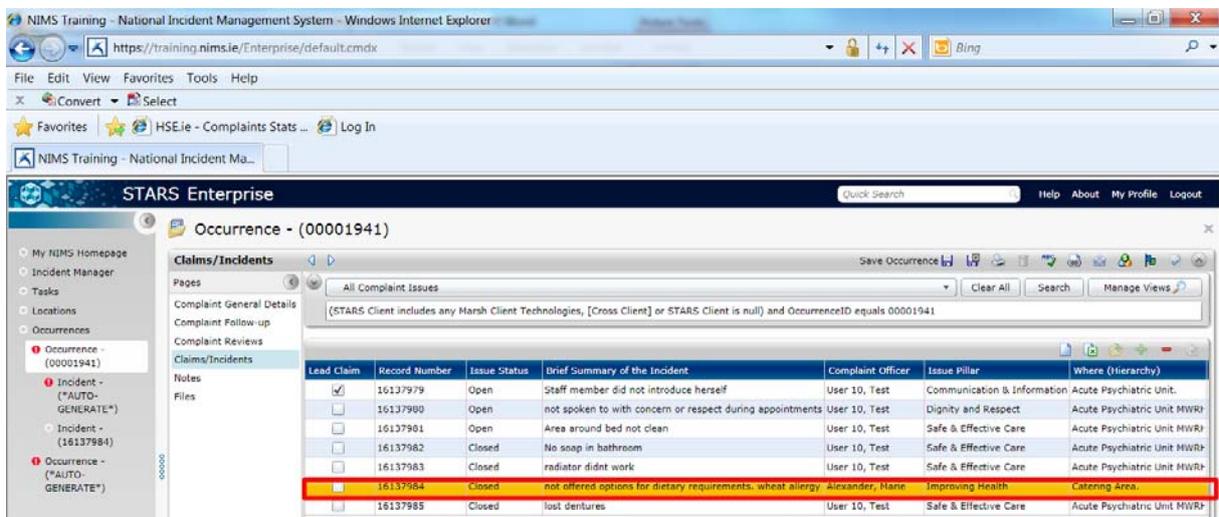
Step 5: Create Record of Recommendations

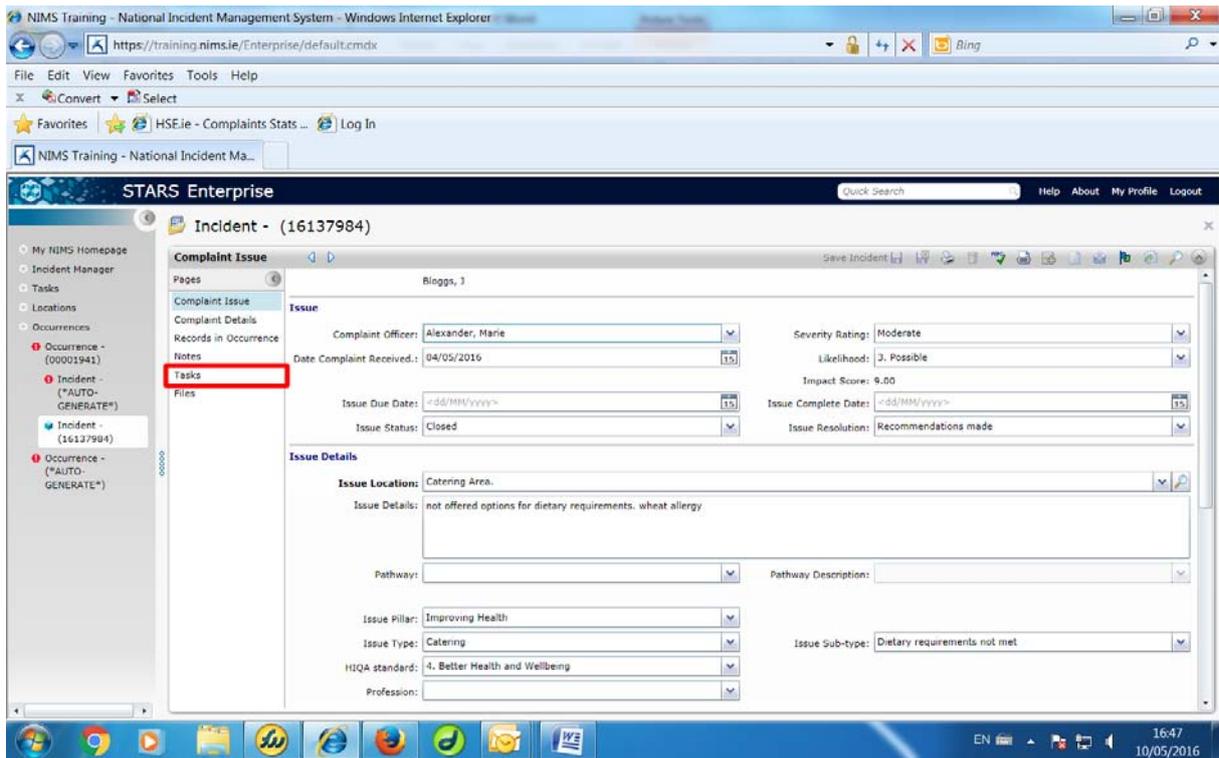
Recommendation details can be added to NIMS. Tasks are added to the Incidents (Issues).

There are no required fields in the Recommendations Record.

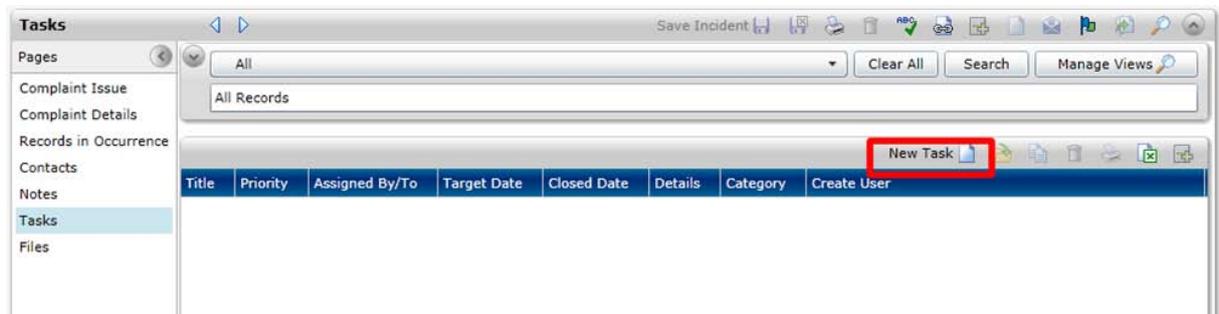
Creating a Recommendation (Task)

1. Open the Incident (issue)
2. Click on **Tasks**

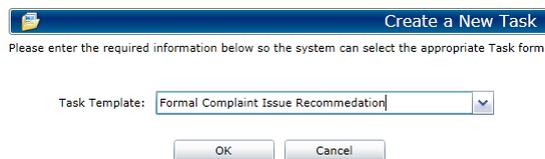




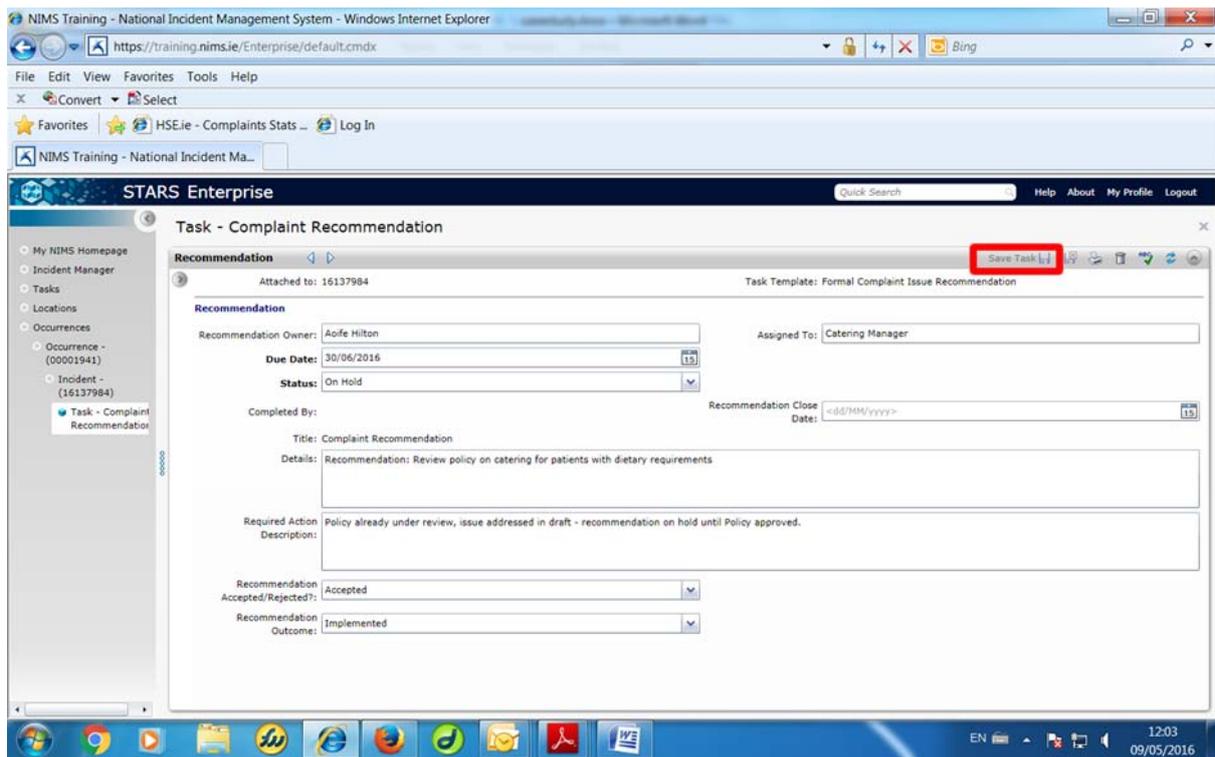
3. Click on the **New Task** button.



you are asked to select a Task type.



4. Select “Formal Complaint Issue Recommendation” and click **OK**.
A blank Complaint Recommendation screen appears.



5. Enter the details and click **Save Task**.
6. Once saved, notes can be added to the Issue Recommendation.

Step 6: Close Record of Issues

NOTE: Each issue recorded must be closed before closing the complaint record.

Step 7: Close Record of Complaint

1. Check each Incident/Issue is closed and a selection has been made from the 'Issue Resolution' field.

Issue Resolution	Comment
Dealt with Informally	
Documentation Update	USE RECOMMENDATIONS MADE
Insurance Claim	DO NOT USE
No Action	
No Recommendation	
Not substantiated	
Not Upheld	
Partially Upheld	
Process update	USE RECOMMENDATIONS MADE
Recommendations made	
Resolved through Mediation	
Retraining	USE RECOMMENDATIONS MADE
Reworked	DO NOT USE

Transfer to Risk Register	USE RECOMMENDATIONS MADE
Upheld	
Vexatious Complaint	
Withdrawn	

2. To close a complaint go to the Compliant Follow-up screen and
 - a. Change the *Complaint Status* to 'Closed'.
 - b. Add a *Complaint Outcome*.

Complaint Outcome	Comment
Anonymous Complaint	
Excluded under Health Act 2004	
Dealt with informally	
Withdrawn	
Response within 30 days	This will be most common field
Response outside 30 days	This will be most common field

3. Show how the complaint was resolved

Complaint Resolution	
Insurance Claim	DO NOT USE
No Recommendation	
Not Upheld	
Recommendations made	
Resolved through Mediation	
Vexatious Complaint	
Withdrawn	
Documentation Update	USE RECOMMENDATIONS MADE
No Action	
Process update	USE RECOMMENDATIONS MADE
Retraining	USE RECOMMENDATIONS MADE
Reworked	DO NOT USE
Transfer to Risk Register	USE RECOMMENDATIONS MADE
Dealt with Informally	
Vexatious Complaint	
Withdrawn	

Click **Save**.

Mandatory Fields

- *Status* (defaults to Open)
- *Title* (defaults to Complaint Recommendation)

Auto-populated Fields

- *none*

Step 8: Internal Review

Currently (May 2016) there is no way for a Complaints Manager to assign a review to a Review Officer through the system. The Review Officer will have access to all complaints in their location and will be given the relevant Occurrence Number. Details regarding the Review Officer should be added to notes and the Review Investigation Report should be uploaded to Files.

The screenshot displays the 'STARS Enterprise' interface for a specific 'Occurrence - (00001941)'. The 'Complaint Reviews' section is expanded, showing three review types: 'Internal Review', 'HSE Review', and 'Ombudsman Review'. The 'Internal Review' section is populated with the following data:

Field	Value
Internal Review Requested?	10/08/2016
Internal Review Sent Date	14/08/2016
Internal Review Outcome	Recommendations made
Internal Review Complete Date	31/08/2016

The 'Internal Review Details' field contains the following text: "Complainant does not feel his issues regarding respect and communication were addressed in the investigation and report. Recommendations made in Review: Additional/Refresher training for staff communicating with patients".

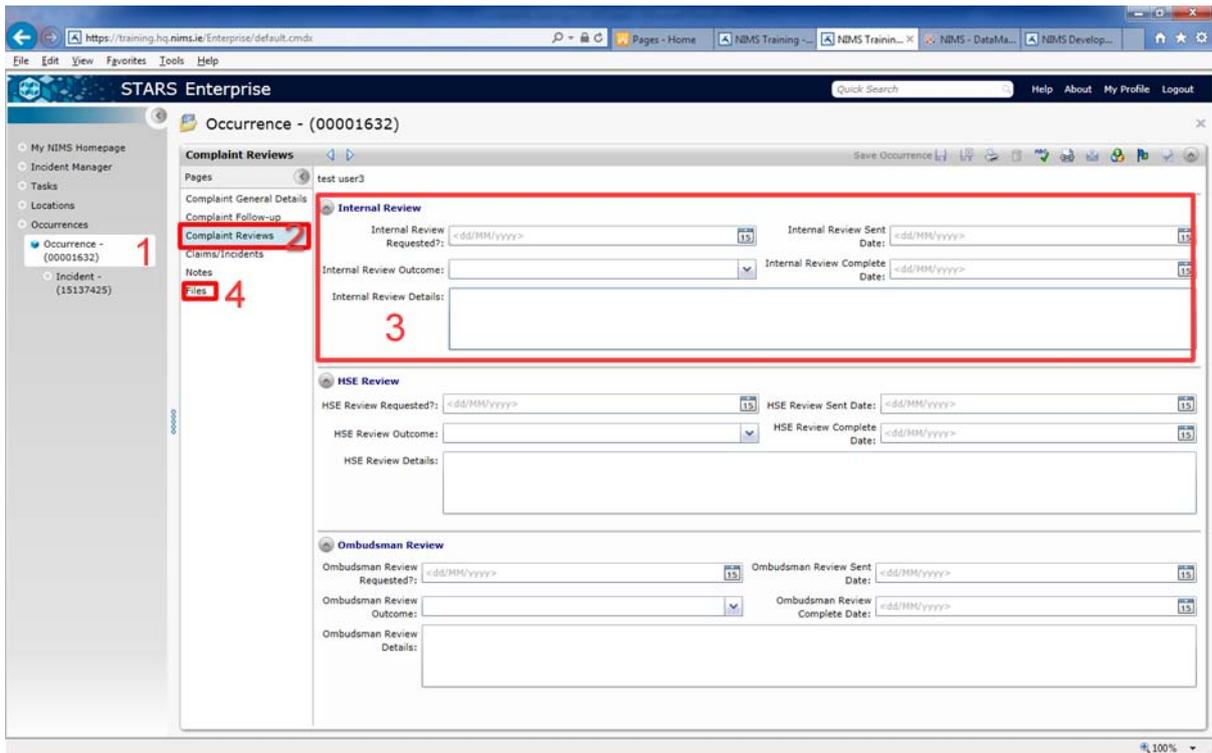
The 'HSE Review' and 'Ombudsman Review' sections are currently empty, with placeholder text for dates and outcomes.

After a complaint is closed it may be reviewed. Select "Complaints Review" in "Occurance" to record the details that can be captured for the reviews.

There are currently no rules on the system regarding the filling of any of these fields. i.e. you can fill any of these at any time.

These have no effect on the *Complaint Status*. i.e. the complaint remains closed while a review is happening.

Relevant documentation to the Files section by the Review Officer



Note:

The **Save** button  will save the current details and leave the screen open.

The **Save and Close** button  will save the current details and close the current screen.

Attachments: Files and Notes

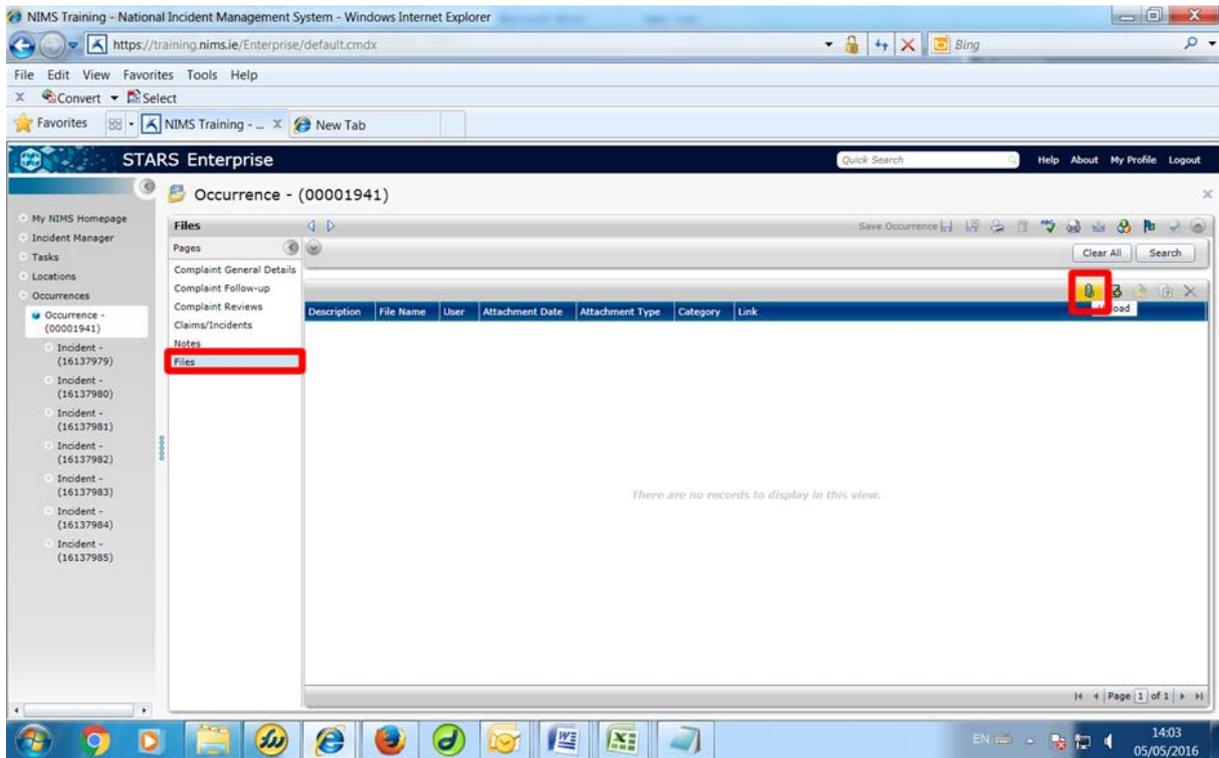
Files screen

Files can be attached to the Complaint Record / Occurrence. For example this allows scanned copies of the complaint to be loaded into NIMS. Other examples of files that can be uploaded are:

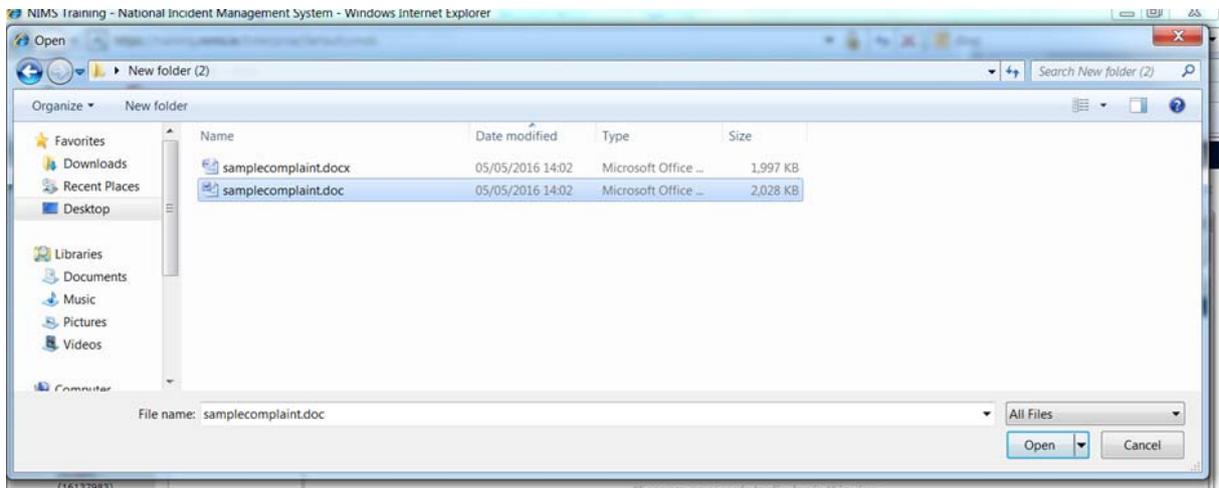
- Complaint Investigation Final Report
- Action Plans for Implementing Recommendations
- Associated emails
- Review Report

Adding Files:

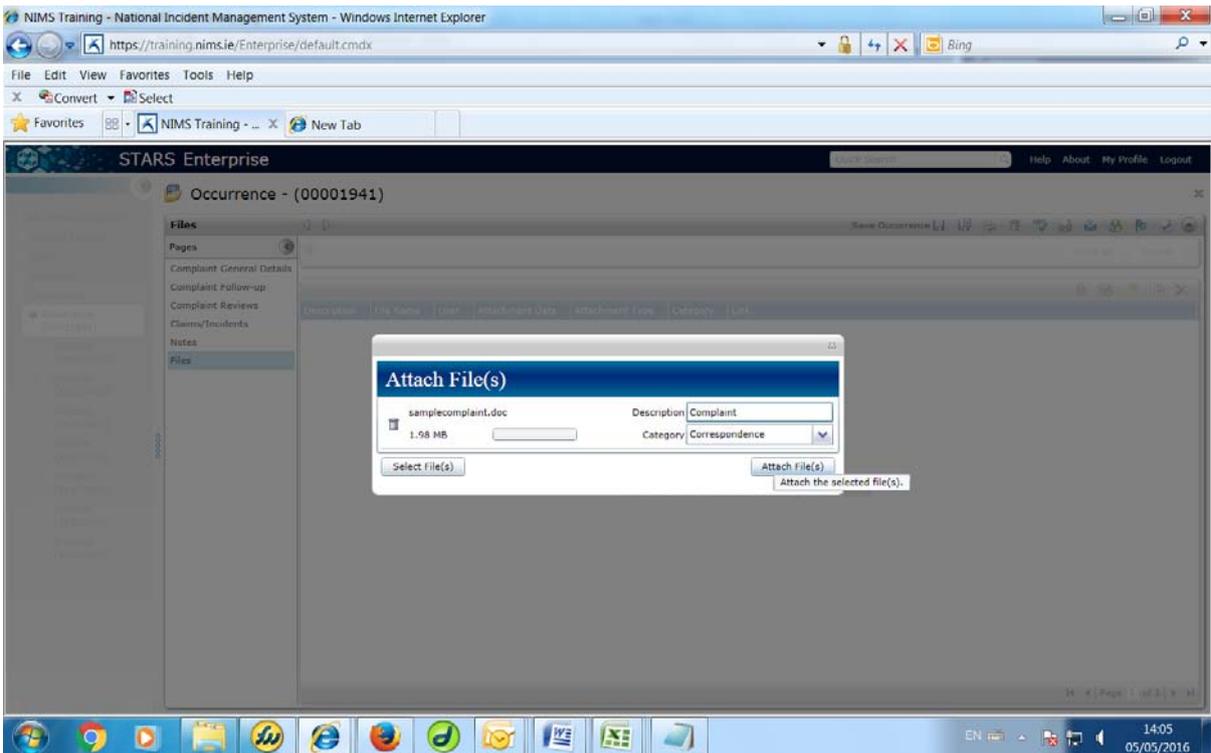
1. Open Files
2. Click the  **Upload** button, you are prompted to select file(s)



3. Select files to upload from your PC

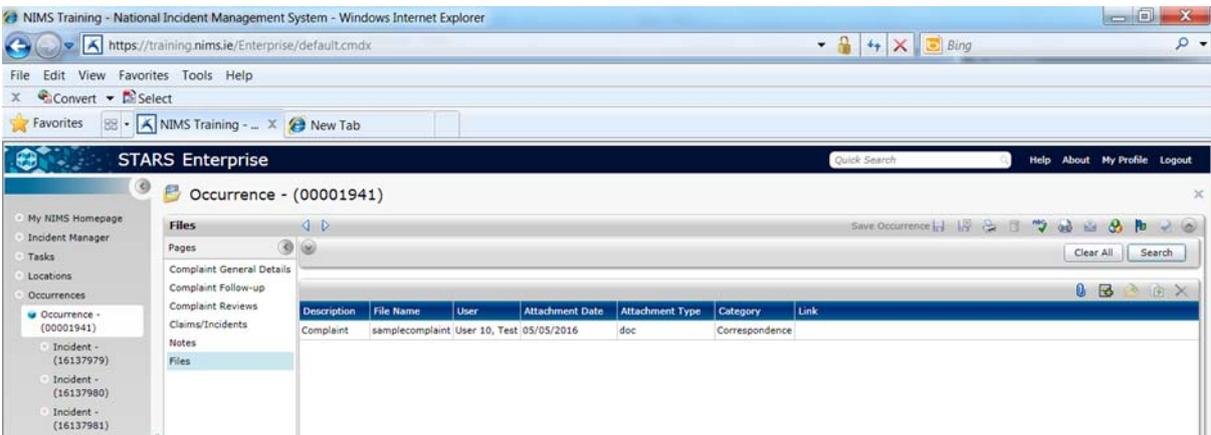


4. Select one or more files and click **Open**.
you can (optionally) add a *Description* and *Category* to the files



5. Click **Attach File(s)**.

The files are attached :



Note: if the *Description* is left blank, the filename is used.

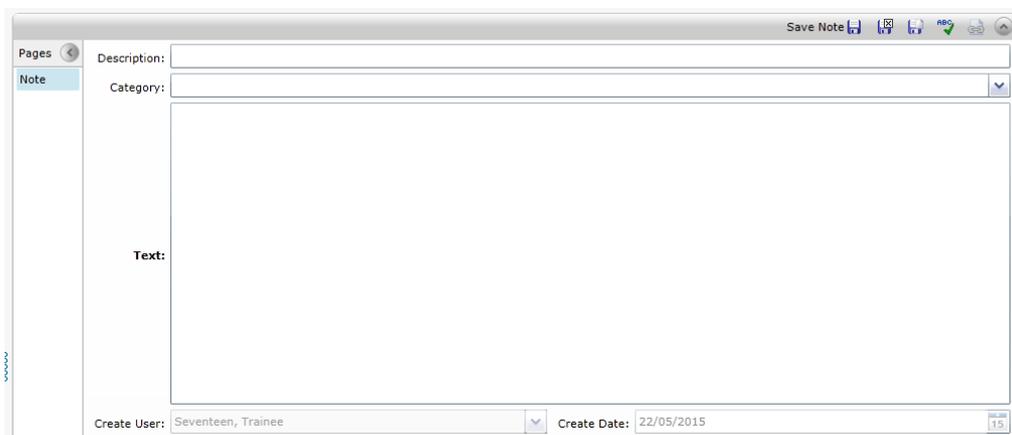
Notes

The Notes screen allows you to add notes to a Complaint or Issue or Recommendation. These automatically add the date note added, and the user that created the note.



Adding a Note:

1. Open Notes
2. Click the **New Note** button



3. Enter:
 - a. *Text*
 - b. *Description* (optional)
 - c. Select *Category* (optional)
4. Click **Save and Close Note**.

Dashboard, Views and Reports

Dashboards

Dashboards are unique to each Complaint Officer/User Account. By default Dashboards show the following:

- My formal complaints awaiting acknowledgement
- My formal complaints response overdue
- All open complaint issues
- All open complaint recommendations created by you

NIMS Training - National Incident Management System - Windows Internet Explorer
 https://training.nims.ie/Enterprise/default.cmdx

Convert Select
 Favorites HSE.ie - Complaints Stats ... Log In
 NIMS Training - National Incident Ma...

STARS Enterprise Quick Search Help About My Profile Logout

My NIMS Homepage

- My NIMS Homepage
- Incident Manager
- Tasks
- Locations
- Occurrences
 - Occurrence - (00001941)
 - Occurrence - (00001942)

Sample FC - Complaints

FC - My Formal Complaints awaiting Acknowledgement

Occurrence Number	Primary Complainant Name	Complaint Officer	Status	Complaint Forma
00001942	Owen U. N.	User 10, Test	Open	Letter

0 of 1 items selected Page 1 of 1

FC - My Formal Complaints response overdue

Occurrence Number	Primary Complainant Name	Complaint Officer	Status	Complaint Forma
00001942	Owen U. N.	User 10, Test	Open	Letter

0 of 1 items selected Page 1 of 1

FC - My Open Complaint Issues

Occurrence Number	Record Number	Name of Injured Party (Surname, First)	Date of Incident
00001941	16137979	Bloggs, J	04/05/2016
00001941	16137980	Bloggs, J	04/05/2016
00001941	16137981	Bloggs, J	04/05/2016

FC - All open Complaint Recommendations created by me

Attached to	Due Date	Assigned To	Status	Description
16137984	30/06/2016	Catering Manager	On Hold	Recommendation: Review policy on catering fo

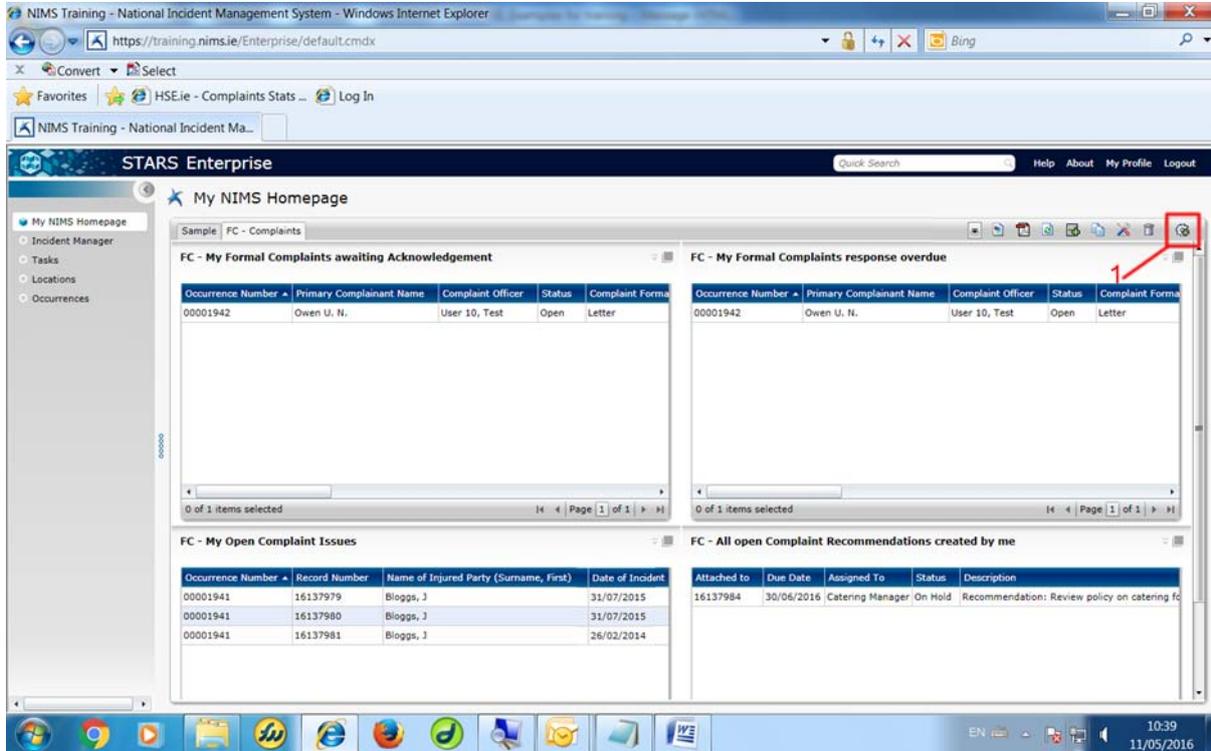
10:39 11/05/2016

These can be extended for Complaints Managers and Review Officers on request.

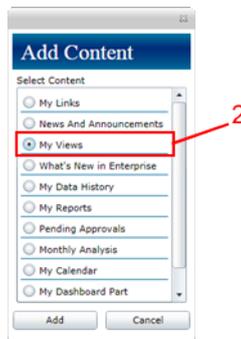
Linking VIEWS to your Dashboard

Some users have rights that allow them to attach a VIEW to their dashboard

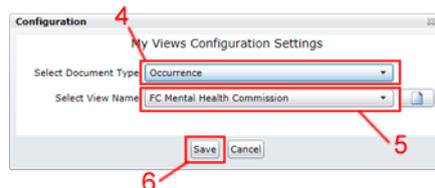
1. Select **Add Content**



2. From the **Add Content** select **My Views** from the options

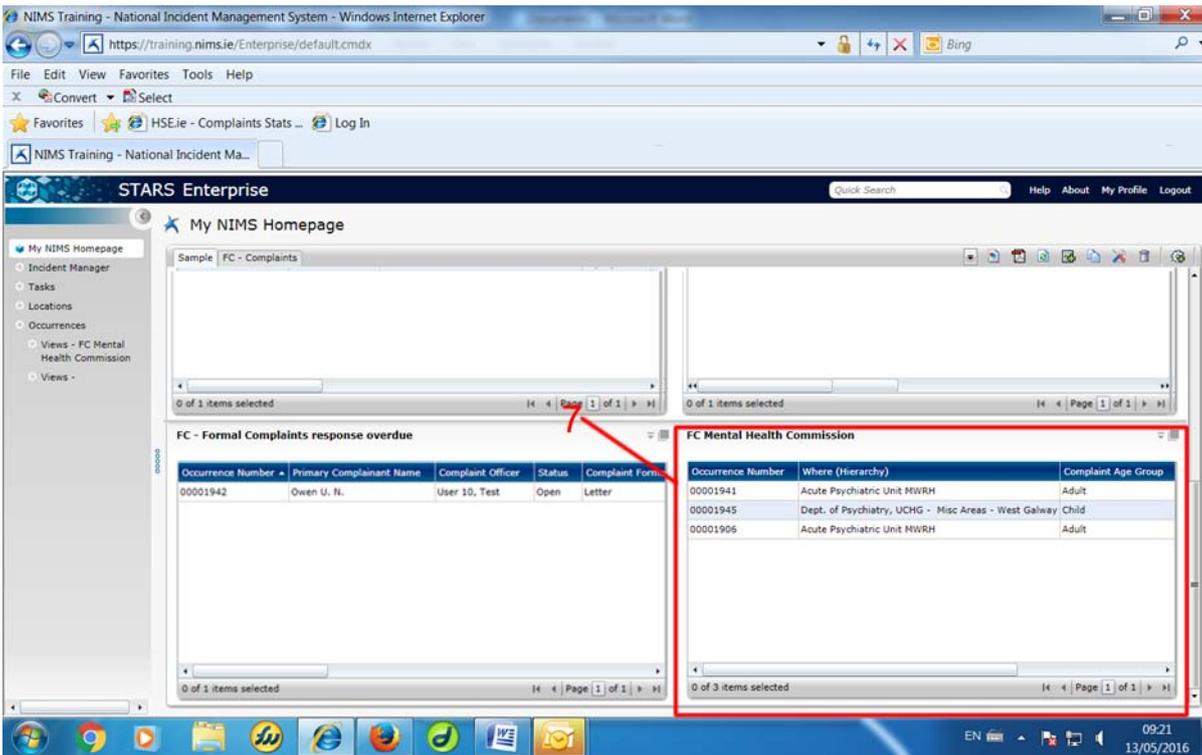


3. You will be asked to select 2 options from the **My Views Configuration Settings**.



- 4. First you will be asked to select type, you will select EITHER, Incident, Task or Occurrence. In this case we created a VIEW in Occurrences so select **Occurrences**.
- 5. Then select the actual view. We created a View called '**FC – Mental Health Commission**', this should appear on the list.

6. Save

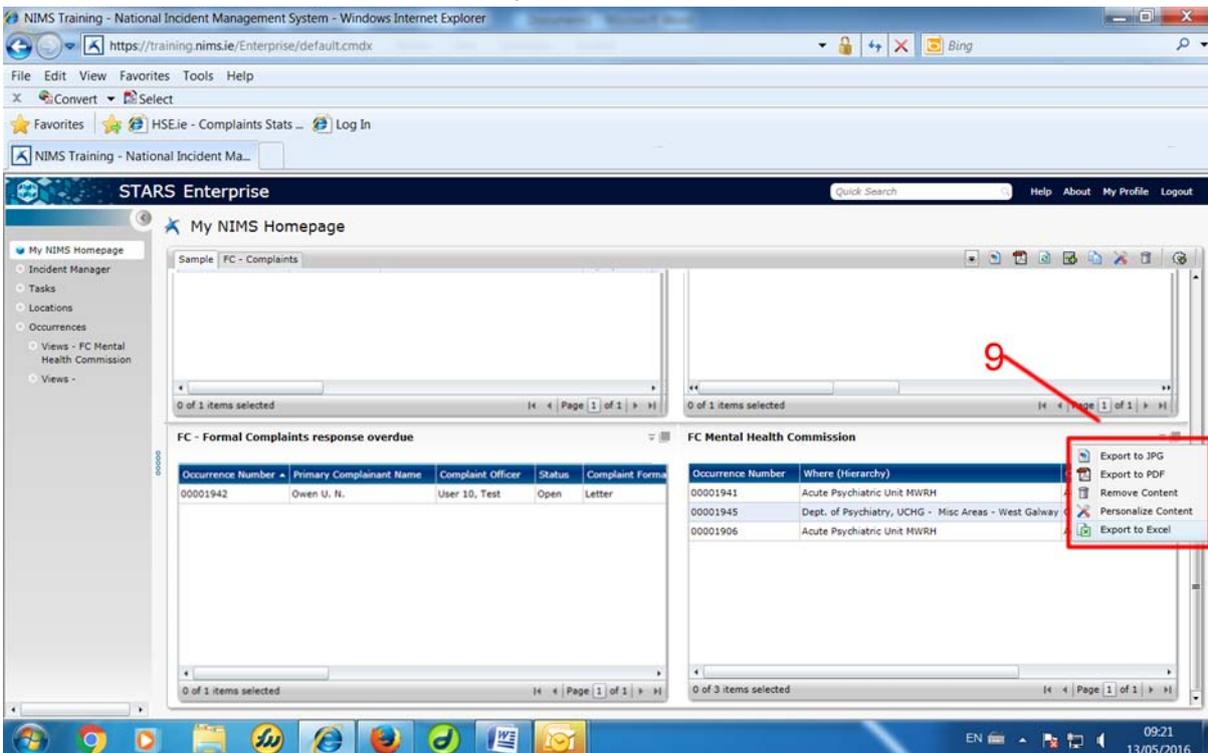


7. The selected live VIEW is now available permanently in your Dashboard

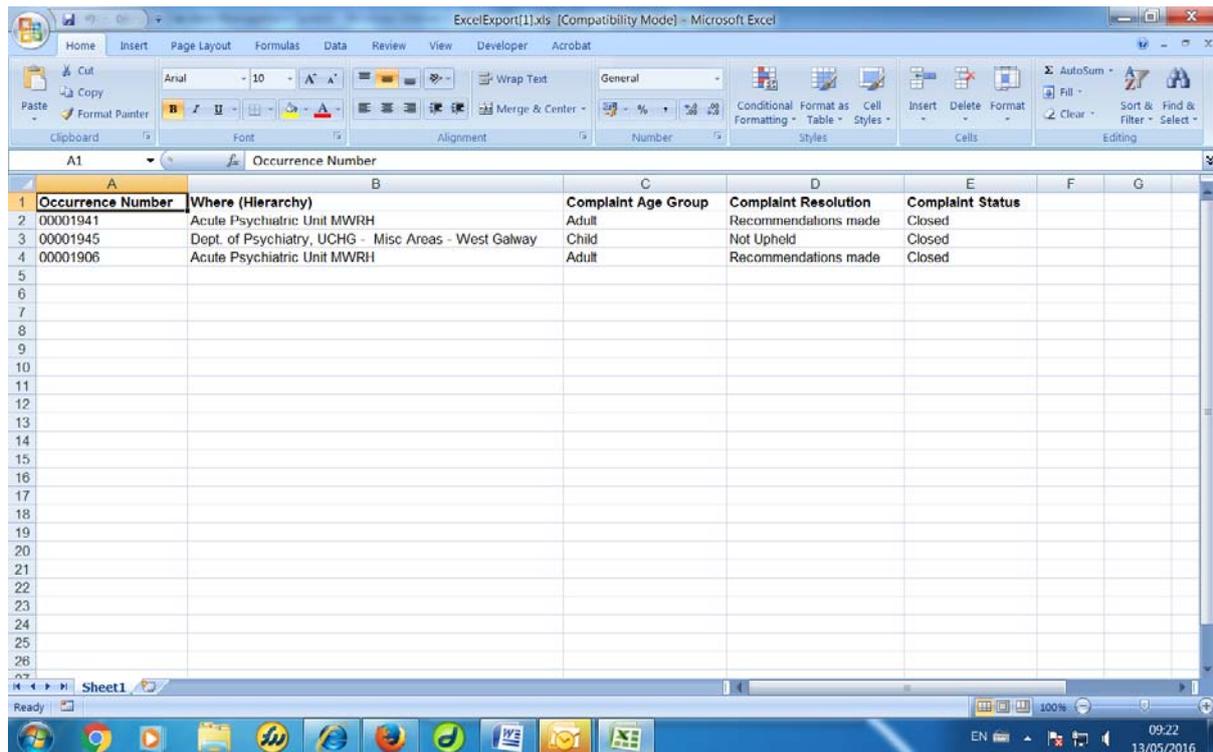
8. To Export the data in this View, select the arrow logo



9. From the menu select the format of the export, i.e. JPG, PDF, Excel.



10. The exported file will open in the programme you chose.



Views

There are various views in NIMS. For Formal Complaints there are sets of views for

- NIMS: Incident Manager
- NIMS: Occurrences
- NIMS: Tasks
- Within an individual Occurrence to see Incidents (issues)
- Within an individual Incidents to see Tasks (recommendations)

The following sections apply to all of these view, but we will just look at 'Occurrences'.

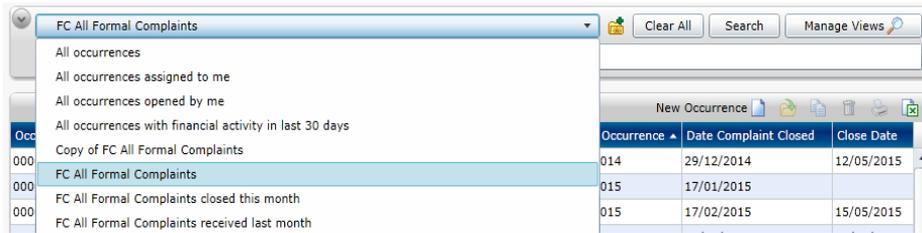
A 'view' is a particular way of selecting specific columns of information for a set of items you are interested in.

Changing views

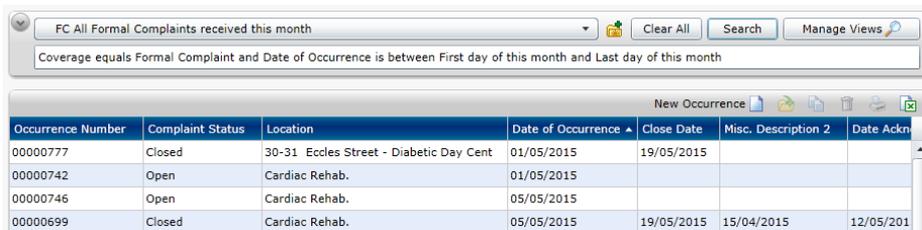
1. Open the Occurrences screen. Some data displayed:

Occurrence Number	Complaint Format	Feedback Type	Location	Date of Occurrence	Date Complaint Closed	Close Date
00000752	Letter	Locally resolved Complaints	Cardiac Rehab.	18/10/2014	29/12/2014	12/05/2015
00000744	Face-to-face	Formal Complaints	Cardiac Rehab.	02/01/2015	17/01/2015	
00000745	E-mail	Formal Complaints	Cardiac Rehab.	06/01/2015	17/02/2015	15/05/2015
00000736	Letter	Formal Complaints	Cardiac Rehab.	08/01/2015	30/04/2015	11/05/2015

2. Click on the dropdown to see other views available



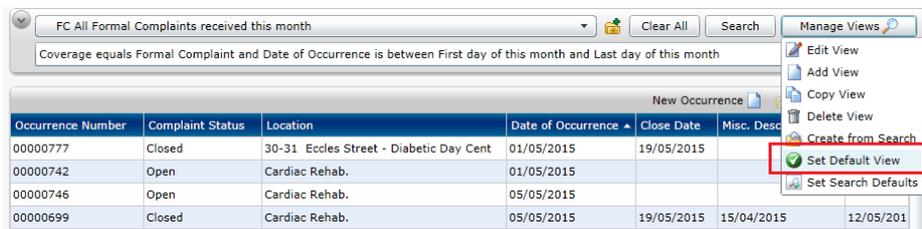
3. Select another view and the table of data will refresh



Setting your Default views

If you always want a particular view to be selected when you open a particular screen you can set it as your default view. To do this

1. Select the view you wish to be your default.
2. Click on the **Manage Views** button



3. Select **Set Default View**.

Creating custom views

You can create your own (private) views. To do this:

There are various views in NIMS. For Formal Complaints there are sets of views for

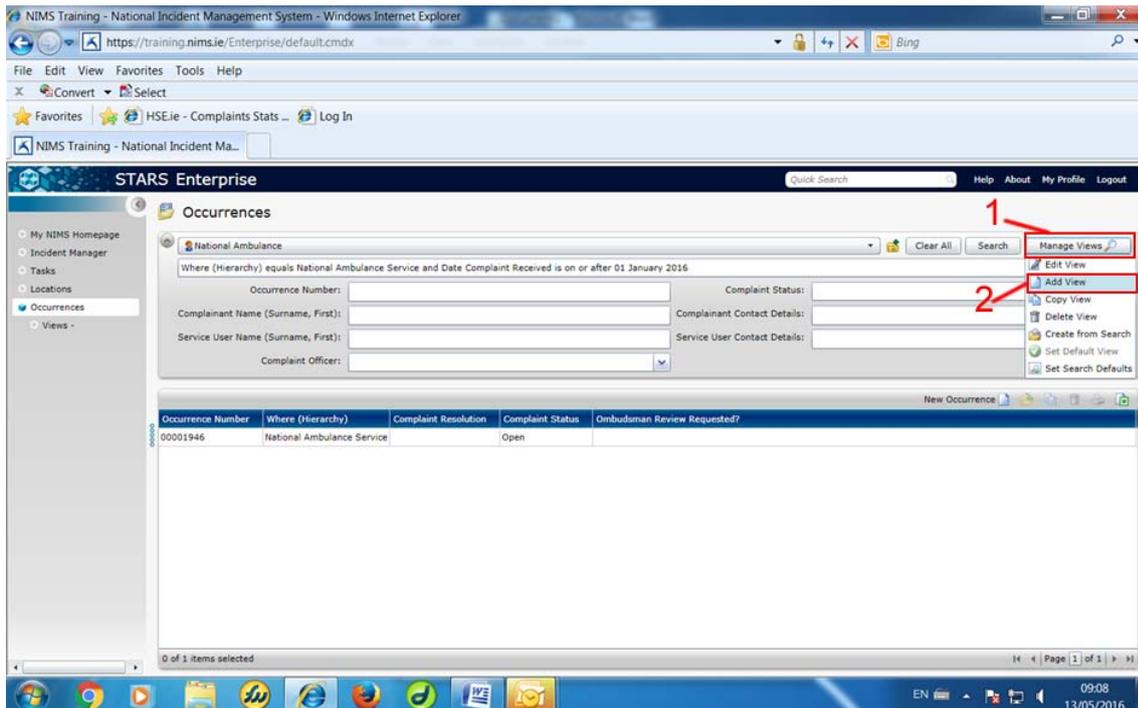
- NIMS: Incident Manager
- NIMS: Occurrences
- NIMS: Tasks
- Within an individual Occurrence to see Incidents (issues)
- Within an individual Incidents to see Tasks (recommendations)

The following sections apply to all of these view, but we will just look at 'Occurrences'.

A 'VIEW' is a particular way of selecting specific columns of information for a set of items you are interested in.

1. Go to Manage Views

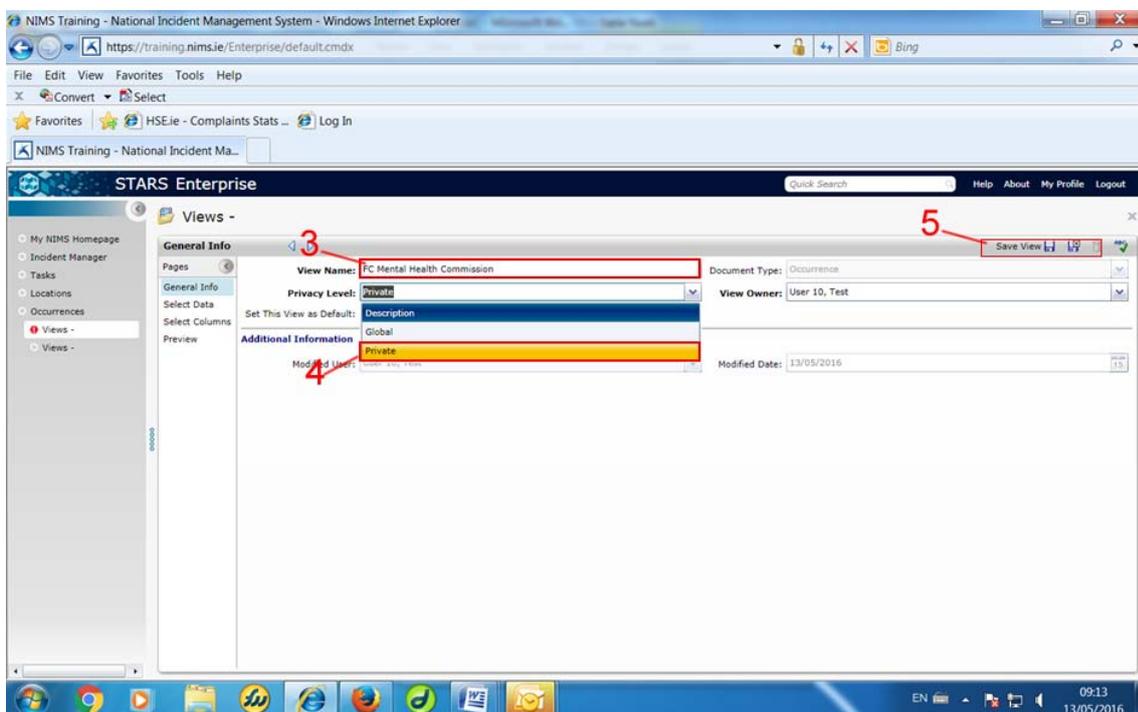
2. Select Add View from the drop-down menu



3. Name this VIEW, e.g. Mental Health Commission

4. Set VIEW to Private from the Privacy Level drop-down list, and tick the checkbox to set Private as default

5. Save the VIEW

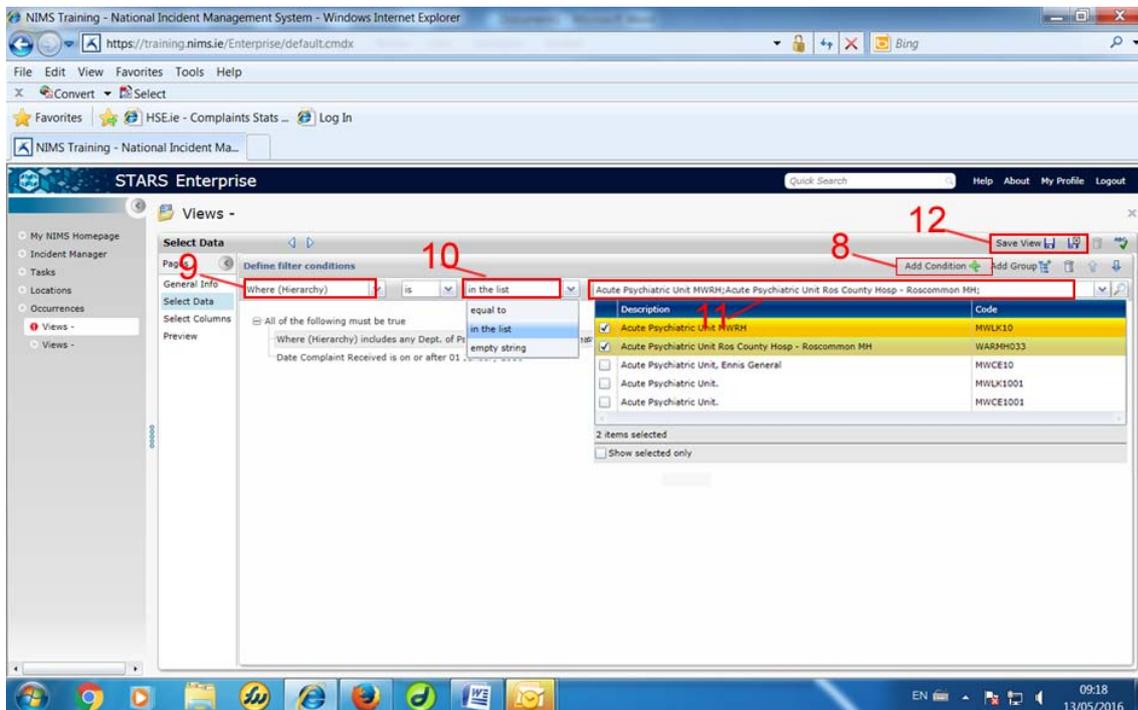


6. You now need to set the parameters of the VIEW. For example, what location(s) does it refer to and what timeframes. Go to Select Date to Define filter conditions (set parameters).

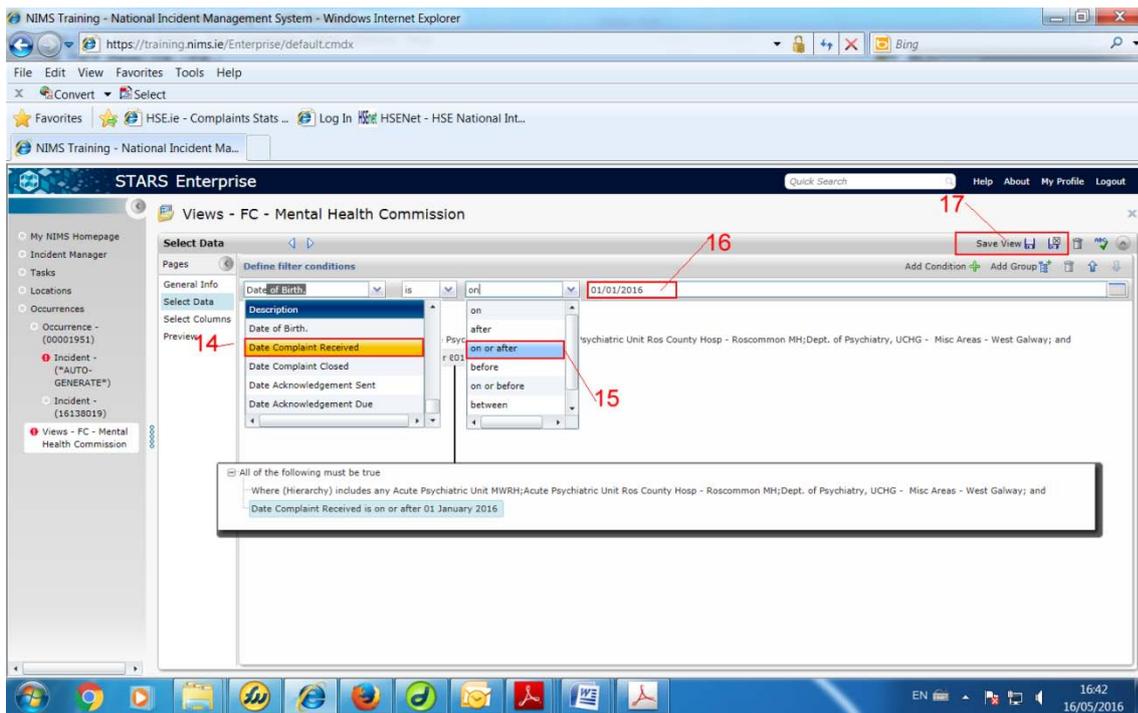
7. There are a lot of options available in defining filters. You need to carefully decide in advance what you want your VIEW to show. In this case we are selecting 2 Acute Psychiatric locations who have received complaints from 01/01/2016. Please note all complaints shown here are fictitious.

8. To define a filter select Add Condition

9. To define the location, in the first drop down select Where (Hierarchy). If you start typing 'Where' this will come up as an option. Select 'is' from the 2nd drop-down list.
10. You can specify that the filter, in this case 'Where' is either 'equal to' for one location, or 'in a list' for a number of locations.
11. When you select 'in a list' each location has a checkbox in front of it. You can select as many locations as you need. You can also type directly into the filter field to get location names.
12. Save View



13. To set the timeframe, select Add Condition,
14. Type 'Date' into the first filter drop-down list, select 'Date Received'
15. In the 2nd drop down list select 'on or after'
16. In the 3rd dropdown list type the date. It defaults to day, we will replace it with 01/01/2016
17. Save View



18. Select Columns

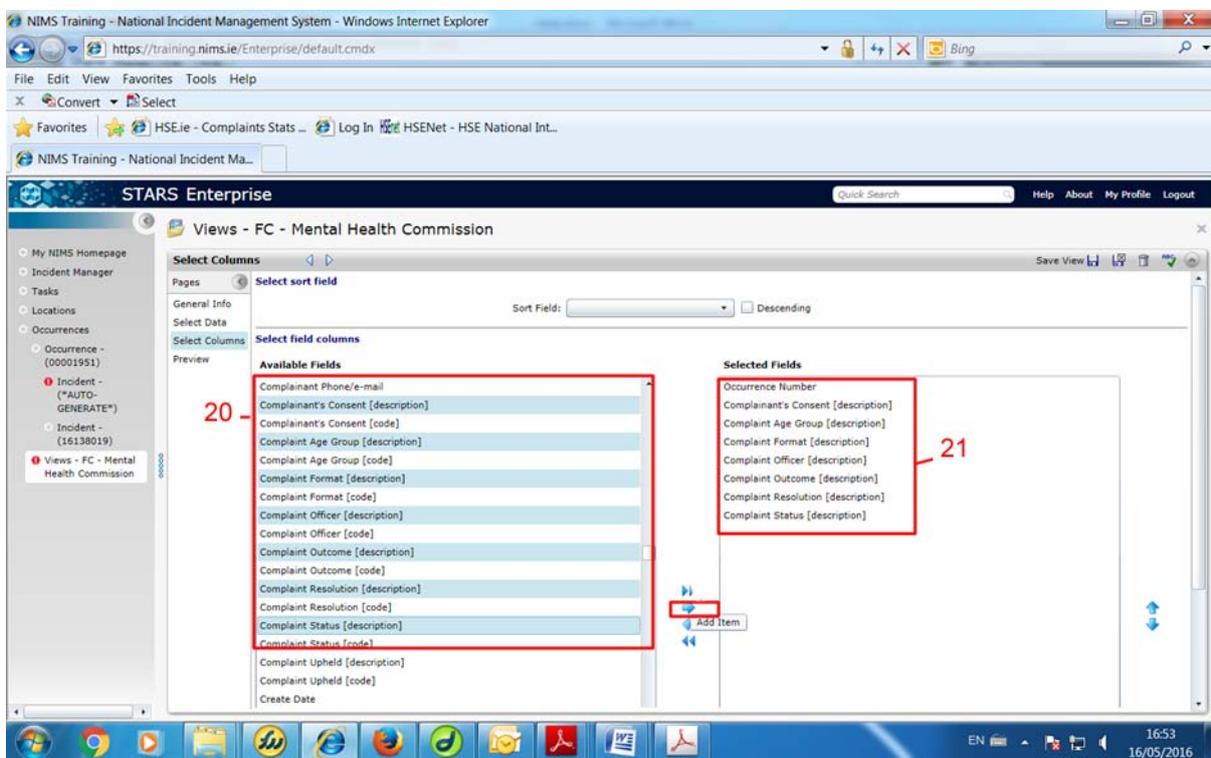
19. In Selected Fields, remove any fields you DON'T want by selecting them and moving them to the left column.



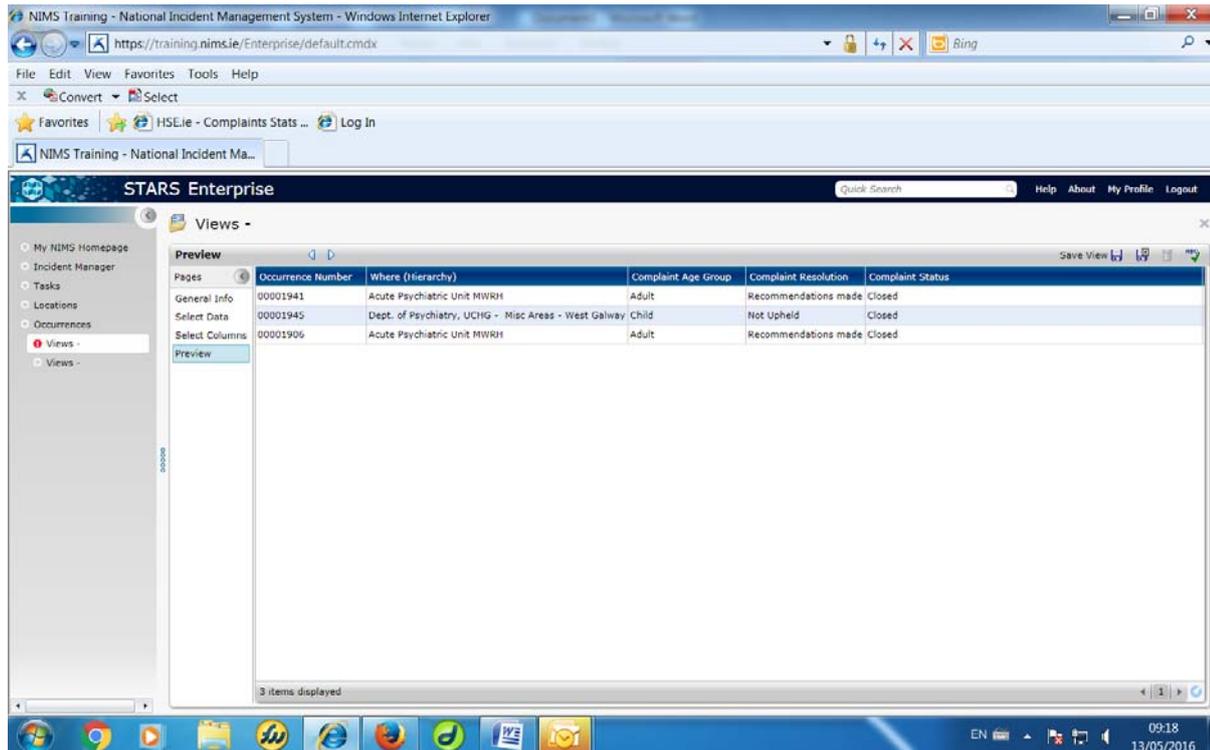
20. In available fields, hold the 'Ctrl' key and select the fields you want in your VIEW. Select  to move them to 'Selected field's

21. You can now see the fields you want in the right column

22. Save View



You can Preview your VIEW at any time by selecting Preview.



You can return to this VIEW at any time by going to Occurrences and selecting FC – Mental Health Commission from the drop-down list of Occurrences VIEW



For how to add VIEWS to your Dashboard go to the NIMS Complaints Module Toolkit.

Searching within a view

If you want to you can search within a view. To do this:

1. Open the view.



2. Click on the  to show/hide the search options:

FC All Formal Complaints Clear All Search Manage Views

Coverage equals Formal Complaint

Complainant Name: Complainant Contact Details:

Complaint Format: Complaint Outcome:

Complaint Status: Hospital Number:

Primary Complainant:

Occurrence Number	Complaint Format	Feedback Type	Location	Date of Occurrence	Date Complaint Clos
00000752	Letter	Locally resolved Complaints	Cardiac Rehab.	18/10/2014	29/12/2014
00000744	Face-to-face	Formal Complaints	Cardiac Rehab.	02/01/2015	17/01/2015
00000745	E-mail	Formal Complaints	Cardiac Rehab.	06/01/2015	17/02/2015
00000736	Letter	Formal Complaints	Cardiac Rehab.	08/01/2015	30/04/2015

3. You can enter values in these fields or select from drop-down lists then click **Search**. This will limit the rows returned.

e.g. I can look for MY complaints that are "Closed"

STARS Enterprise

Occurrences

Complaints: Acute Psychiatric Services

Where (Hierarchy) equals Acute Psychiatric Unit MWRH and Date Complaint Received is after 01 January 2016 And Complainant Name (Surname, First) starts with "blogg"

Occurrence Number: Complaint Status: Closed

Complainant Name (Surname, First): Complainant Contact Details:

Service User Name (Surname, First): Service User Contact Details:

Complaint Officer: User 10, Test

Description	Code
<input type="checkbox"/> User 1, Test	TESTUSER1
<input checked="" type="checkbox"/> User 10, Test	TESTUSER10
<input type="checkbox"/> User 2, Test	TESTUSER2
<input type="checkbox"/> User 3, Test	TESTUSER3
<input type="checkbox"/> User 4, Test	TESTUSER4

1 items selected

Show selected only

there are no records to display in this view.

STARS Enterprise

Occurrences

Complaints: Acute Psychiatric Services

Where (Hierarchy) equals Acute Psychiatric Unit MWRH and Date Complaint Received is after 01 January 2016 And Complaint Status equals Closed and Complaint Officer equals User 10, Test

Occurrence Number: Complaint Status: Closed

Complainant Name (Surname, First): Complainant Contact Details:

Service User Name (Surname, First): Service User Contact Details:

Complaint Officer: User 10, Test

Occurrence Number	Where (Hierarchy)	Date of Occurrence	Report Date	Close Date
00001941	Acute Psychiatric Unit MWRH	04/05/2016	05/05/2016	26/08/2016

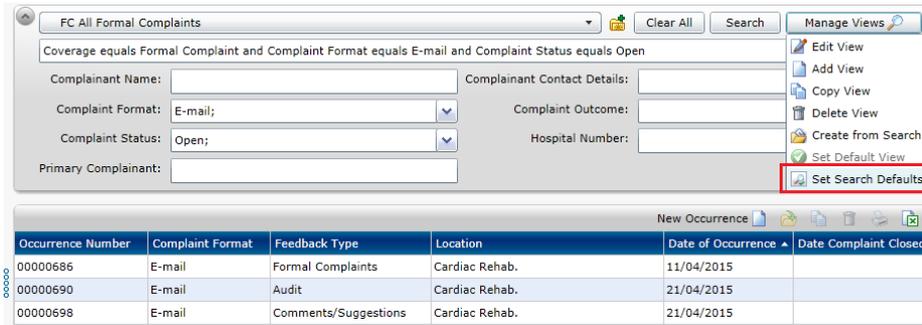
Note:

When using this search feature it is doing this searching within the particular view. So if my view was looking for Open complaints, and I added a search of status = 'Closed' then nothing would be returned!!

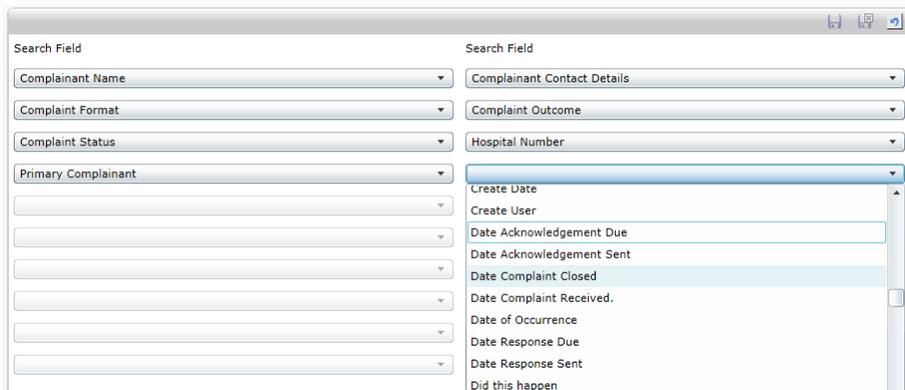
Changing search options

It is possible to change the list of fields that you can search by. If you change the search options it only affects your own login and not other peoples. To do this:

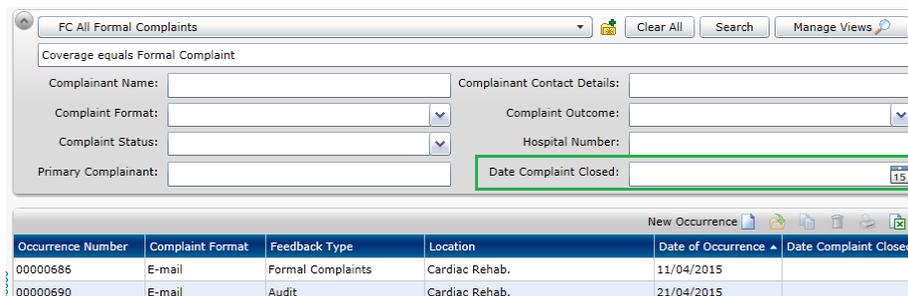
1. Click on the **Manage Views** button



2. Select **Set Search Defaults**.



3. Then you can select what fields you wish to see in your search screen.
4. Click **Save**. The system will remember these search field options forever.



Note:

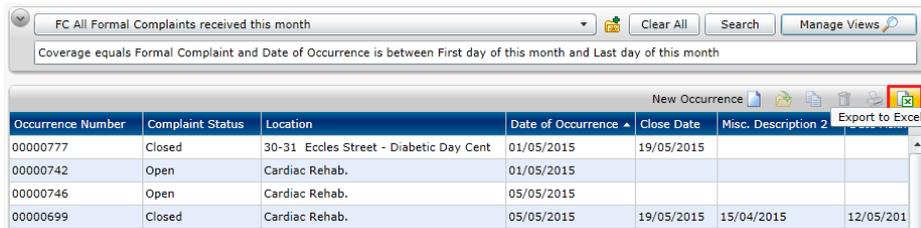
There is a list of used fields at the end of the document to help you find relevant ones.

Exporting view details

If you are looking at a view you can export all the data to Excel. To do this

1. Select the view you wish to export.

2. Click on the **Export to Excel** button



Occurrence Number	Complaint Status	Location	Date of Occurrence	Close Date	Misc. Description 2	Export to Excel
00000777	Closed	30-31 Eccles Street - Diabetic Day Cent	01/05/2015	19/05/2015		
00000742	Open	Cardiac Rehab.	01/05/2015			
00000746	Open	Cardiac Rehab.	05/05/2015			
00000699	Closed	Cardiac Rehab.	05/05/2015	19/05/2015	15/04/2015	12/05/201

3. All the columns and rows will be exported to Excel.

Deleting Records

Users cannot delete records. In the unlikely event that a record must be deleted, for example a user saves an incident to the Complaints Module in error they must complete the following form. This should be sent to the National Complaints Governance and Learning Team at nationalcgl@hse.ie.

- [NIMS Occurance/Complaint created in error - REQUEST FOR DELETION.doc \(size 74.8 KB\)](#)

(<http://www.hse.ie/eng/services/yourhealthservice/Documentation/ncgl/Toolkit/DELETIONREQUEST.doc>)

**Appendix 1: Sample Complaint
(Fictional)**

Dear Sir or Madams
I want to complain
about the time I spent
in [redacted]
[redacted]

I was very unhappy
about my treatment there
Staff very not pleasant, one
in particular but I don't
know her name as she
didn't tell it to me.
I didn't feel I was spoken to
with any concern or respect
even during ~~examination~~
appointments

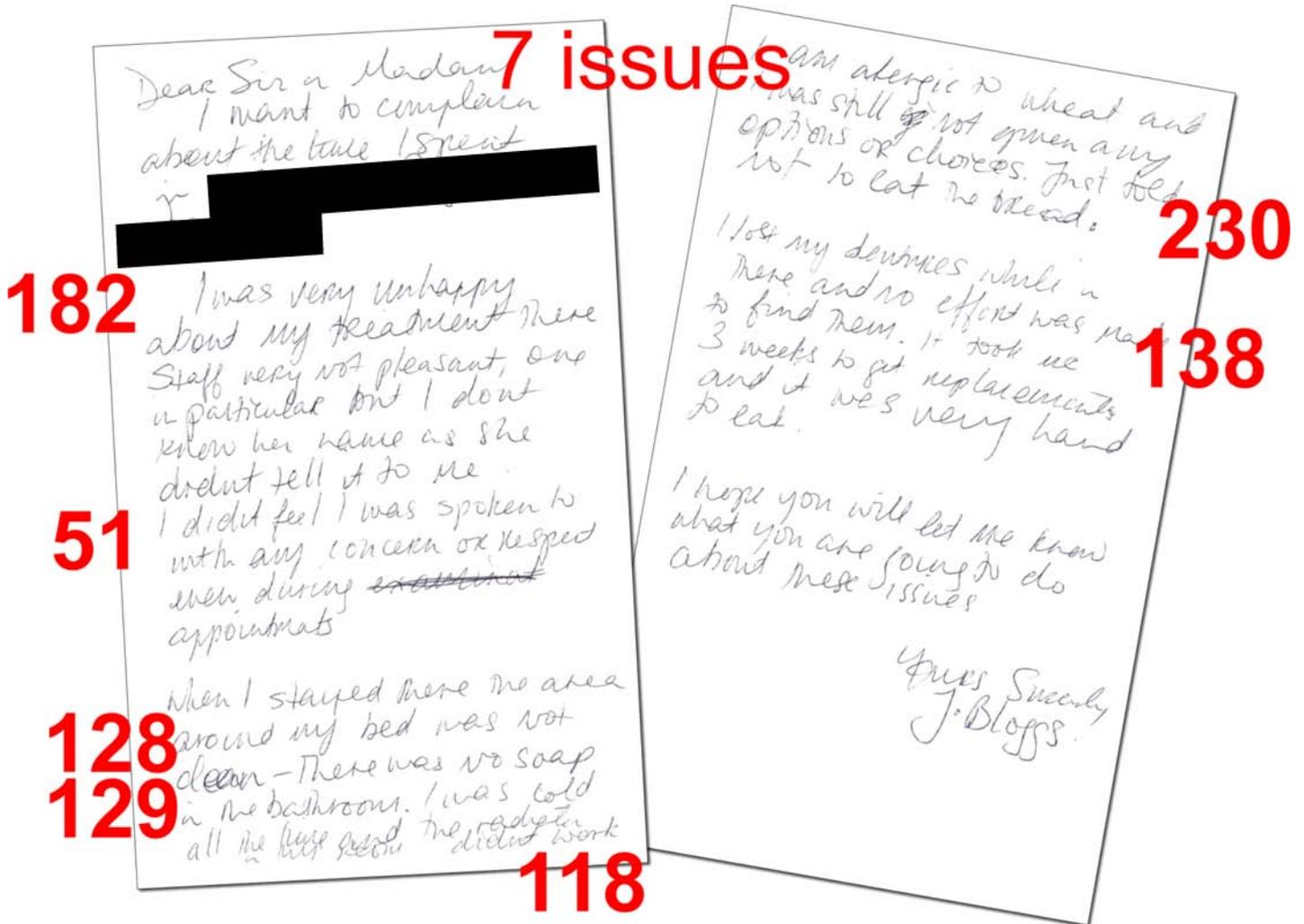
When I stayed there the area
around my bed was not
clean - There was no soap
in the bathroom. I was cold
all the time and the radiator
didn't work

I am allergic to wheat and
I was still not given any
options or choices. Just told
not to eat the bread.

I lost my dentures while in
there and no effort was made
to find them. It took me
3 weeks to get replacements
and it was very hard
to eat.

I hope you will let me know
what you are going to do
about these issues

Yours Sincerely
J. Bloggs.



1. **182:** Communication & Information Communication skills Staff not introducing themselves and letting patients know their role
2. **51:** Dignity and Respect Delivery of care Lack of respect shown to patient during examination / consultation Delivery of care
3. **128:** Safe & Effective Care Hygiene Cleanliness of area
4. **129:** Safe & Effective Care Hygiene Hand Hygiene / Gel Dispensers
5. **118:** Safe & Effective Care Health and Safety issues Temperature regulation
6. **230:** Improving Health Catering Dietary requirements not met
7. **138:** Safe & Effective Care Patient property Dentures

Appendix 2: Complaint Categories

No.	Incident/Category	Sub Category Type	Sub Category Please Specify
1.	Access	Accessibility / resources	Equipment
2.	Access	Accessibility / resources	Medication
3.	Access	Accessibility / resources	Personnel
4.	Access	Accessibility / resources	Services
5.	Access	Accessibility / resources	Treatment
6.	Access	Appointment - delays	Appointment - cancelled and not rearranged
7.	Access	Appointment - delays	Appointment - delay in issuing appointment
8.	Access	Appointment - delays	Appointment - postponed
9.	Access	Appointment - delays	Surgery / therapies / diagnostics - delayed or postponed
10.	Access	Appointment - delays	Operation and opening times of clinics
11.	Access	Appointment - other	No / lost referral letter
12.	Access	Appointment - other	Appointment - request for earlier appointment
13.	Access	Appointment - other	Unavailability of service
14.	Access	Admission - delays	Delayed - elective bed
15.	Access	Admission - delays	Delayed - emergency bed
16.	Access	Admission - delays	Admission - delay in admission process
17.	Access	Admission - delays	Admission - postponed
18.	Access	Admission - other	Admission - refused admission by hospital
19.	Access	Hospital facilities	Crèche
20.	Access	Hospital facilities	Lack of adequate seating
21.	Access	Hospital facilities	Lack of baby changing facilities
22.	Access	Hospital facilities	Lack of / minimal breastfeeding facilities
23.	Access	Hospital facilities	Lack of toilet and washroom facilities (general)
24.	Access	Hospital facilities	Lack of toilet and washroom facilities (special needs)
25.	Access	Hospital facilities	Lack of wheelchair access
26.	Access	Hospital facilities	No treatment area / space for consultation / trolley facilities
27.	Access	Hospital facilities	Shop
28.	Access	Hospital facilities	Signage (internal and external)
29.	Access	Hospital room facilities (access to)	Bed location
30.	Access	Hospital room facilities (access to)	Disability facilities
31.	Access	Hospital room facilities (access to)	Isolation / single room facilities
32.	Access	Hospital room facilities (access to)	Overcrowding
33.	Access	Hospital room facilities (access to)	Public
34.	Access	Hospital room facilities (access to)	Semi-private / private
35.	Access	Parking	Access to disabled spaces
36.	Access	Parking	Access to spaces

37.	Access	Parking	Car parking charges
38.	Access	Parking	Clamping / Declamping of car
39.	Access	Parking	Condition or maintenance of car parks
40.	Access	Parking	Damaged cars
41.	Access	Parking	Location of pay machine
42.	Access	Transfer issues	External transfer
43.	Access	Transfer issues	Internal transfer
44.	Access	Transport	External transportation
45.	Access	Transport	Internal transportation
46.	Access	Visiting times	Lack of visiting policy enforcement
47.	Access	Visiting times	Special visiting times not accommodated
48.	Dignity and Respect	Alleged inappropriate behaviour	Patient
49.	Dignity and Respect	Alleged inappropriate behaviour	Staff
50.	Dignity and Respect	Alleged inappropriate behaviour	Visitor
51.	Dignity and Respect	Delivery of care	Lack of respect shown to patient during examination / consultation
52.	Dignity and Respect	Delivery of care	No concern for patient as a person
53.	Dignity and Respect	Delivery of care	Patient's dignity not respected
54.	Dignity and Respect	Discrimination	Age
55.	Dignity and Respect	Discrimination	Civil status
56.	Dignity and Respect	Discrimination	Disability
57.	Dignity and Respect	Discrimination	Family status
58.	Dignity and Respect	Discrimination	Gender
59.	Dignity and Respect	Discrimination	Membership of traveller community
60.	Dignity and Respect	Discrimination	Race
61.	Dignity and Respect	Discrimination	Religion
62.	Dignity and Respect	Discrimination	Sexual orientation
63.	Dignity and Respect	Discrimination	Socio-economic
64.	Dignity and Respect	End-of-Life Care	Breaking bad news
65.	Dignity and Respect	End-of-Life Care	Breaking bad news - private area unavailable
66.	Dignity and Respect	End-of-Life Care	Death cert - delay in issuing death cert
67.	Dignity and Respect	End-of-Life Care	Death cert - incorrect / returned death cert
68.	Dignity and Respect	End-of-Life Care	Delay in release and condition of body
69.	Dignity and Respect	End-of-Life Care	Inattention to patient discomfort
70.	Dignity and	End-of-Life Care	Mortuary facilities

	Respect		
71.	Dignity and Respect	End-of-Life Care	Organ retention
72.	Dignity and Respect	End-of-Life Care	Palliative care
73.	Dignity and Respect	End-of-Life Care	Poor communication
74.	Dignity and Respect	End-of-Life Care	Single room for patient unavailable
75.	Dignity and Respect	End-of-Life Care	Treatment of deceased not respected
76.	Dignity and Respect	Ethnicity	Insensitivity to cultural beliefs and values
77.	Dignity and Respect	Ethnicity	Requests not respected
78.	Dignity and Respect	Ethnicity	Special food requests unavailable
79.	Safe & Effective Care	Human Resources	Competency
80.	Safe & Effective Care	Human Resources	Complement
81.	Safe & Effective Care	Human Resources	Skill mix
82.	Safe & Effective Care	Diagnosis	Diagnosis - misdiagnosis
83.	Safe & Effective Care	Diagnosis	Diagnosis - delayed diagnosis
84.	Safe & Effective Care	Diagnosis	Diagnosis - contradictory diagnosis
85.	Safe & Effective Care	Test	Delay / failure to report test results
86.	Safe & Effective Care	Test	Incorrect tests ordered
87.	Safe & Effective Care	Test	No tests ordered
88.	Safe & Effective Care	Test	Mislabelled test result/sample
89.	Safe & Effective Care	Test	Mislaid sample
90.	Safe & Effective Care	Test	Performed on wrong patient
91.	Safe & Effective Care	Test	Repeat test required
92.	Safe & Effective Care	Test	Result not available
93.	Safe & Effective Care	Test	Delay in transport/collection of sample
94.	Safe & Effective Care	Continuity of care (internal)	Poor clinical handover
95.	Safe & Effective Care	Continuity of care (external)	Lack of approved home care packages
96.	Safe & Effective Care	Continuity of care (external)	Lack of community supports
97.	Safe & Effective Care	Continuity of care (external)	Lack of medical devices / faulty equipment
98.	Safe & Effective Care	Continuity of care (external)	Lack of support services post discharge
99.	Safe & Effective Care	Continuity of care (external)	Unsuitable home environment

100.	Safe & Effective Care	Discharge	Adherence to discharge policy
101.	Safe & Effective Care	Discharge	Delayed discharge
102.	Safe & Effective Care	Discharge	Discharge against medical advice
103.	Safe & Effective Care	Discharge	No discharge letter
104.	Safe & Effective Care	Discharge	Patient / family refuse discharge
105.	Safe & Effective Care	Discharge	Premature discharge
106.	Safe & Effective Care	Health and Safety issues	Building not secure
107.	Safe & Effective Care	Health and Safety issues	Central heating
108.	Safe & Effective Care	Health and Safety issues	Equipment (lack of / failure of / wrong equipment used)
109.	Safe & Effective Care	Health and Safety issues	Failure to provide a safe environment
110.	Safe & Effective Care	Health and Safety issues	Fixtures and fittings
111.	Safe & Effective Care	Health and Safety issues	Furnishing
112.	Safe & Effective Care	Health and Safety issues	Lights
113.	Safe & Effective Care	Health and Safety issues	Manual handling
114.	Safe & Effective Care	Health and Safety issues	Noise levels
115.	Safe & Effective Care	Health and Safety issues	Overcrowding
116.	Safe & Effective Care	Health and Safety issues	Pest control
117.	Safe & Effective Care	Health and Safety issues	Slips / trips and falls
118.	Safe & Effective Care	Health and Safety issues	Temperature regulation
119.	Safe & Effective Care	Health and Safety issues	Waste Management
120.	Safe & Effective Care	Health care records	Admission / registration process error
121.	Safe & Effective Care	Health care records	Inaccurate information on healthcare record / hospital systems
122.	Safe & Effective Care	Health care records	Missing chart
123.	Safe & Effective Care	Health care records	Missing films/scans
124.	Safe & Effective Care	Health care records	Patient impersonation (identify theft)
125.	Safe & Effective Care	Health care records	Poor quality control of chart
126.	Safe & Effective Care	Health care records	Poor recording of information
127.	Safe & Effective Care	Health care records	Wrong records applied to patient
128.	Safe & Effective Care	Hygiene	Cleanliness of area
129.	Safe & Effective	Hygiene	Hand Hygiene / Gel Dispensers

	Care		
130.	Safe & Effective Care	Hygiene	Linen (beds and Curtains)
131.	Safe & Effective Care	Hygiene	Spills on floors
132.	Safe & Effective Care	Hygiene	Waste management
133.	Safe & Effective Care	Infection prevention and control	Communication deficit - infection status
134.	Safe & Effective Care	Infection prevention and control	Health Care Associated Infection
135.	Safe & Effective Care	Infection prevention and control	Non compliance with Infection and Control policies and protocols
136.	Safe & Effective Care	Infection prevention and control	Personal hygiene of staff
137.	Safe & Effective Care	Patient property	Clothes
138.	Safe & Effective Care	Patient property	Dentures
139.	Safe & Effective Care	Patient property	Glasses
140.	Safe & Effective Care	Patient property	Hearing Aid
141.	Safe & Effective Care	Patient property	Jewellery
142.	Safe & Effective Care	Patient property	Lack of secure space
143.	Safe & Effective Care	Patient property	Money
144.	Safe & Effective Care	Patient property	Personal equipment
145.	Safe & Effective Care	Patient property	Toys
146.	Safe & Effective Care	Medication	Administering error
147.	Safe & Effective Care	Medication	Dispensing
148.	Safe & Effective Care	Medication	Prescribing
149.	Safe & Effective Care	Tissue Bank	Bone marrow
150.	Safe & Effective Care	Tissue Bank	Cord blood
151.	Safe & Effective Care	Tissue Bank	Cornea implant
152.	Safe & Effective Care	Tissue Bank	Cryogenics
153.	Safe & Effective Care	Tissue Bank	Fertility issues
154.	Safe & Effective Care	Tissue Bank	Heart valves
155.	Safe & Effective Care	Tissue Bank	Samples/test results
156.	Safe & Effective Care	Tissue Bank	Skin
157.	Safe & Effective Care	Tissue Bank	Stem cell
158.	Safe & Effective Care	Treatment and Care	Failure / delay in treatment / delivery of care

159.	Safe & Effective Care	Treatment and Care	Failure / delay to diagnose
160.	Safe & Effective Care	Treatment and Care	Failure to act on abnormal diagnostic results
161.	Safe & Effective Care	Treatment and Care	Inconsistent delivery of care
162.	Safe & Effective Care	Treatment and Care	Insufficient time for delivery of care
163.	Safe & Effective Care	Treatment and Care	Lack of follow-up care
164.	Safe & Effective Care	Treatment and Care	Lack of knowledge in staff
165.	Safe & Effective Care	Treatment and Care	Lack of monitoring of pain control
166.	Safe & Effective Care	Treatment and Care	Lack of patient supervision
167.	Safe & Effective Care	Treatment and Care	Practitioners not working together / cooperating
168.	Safe & Effective Care	Treatment and Care	Prolonged fasting
169.	Safe & Effective Care	Treatment and Care	Unsatisfactory treatment or care
170.	Safe & Effective Care	Treatment and Care	Unsuccessful treatment or care
171.	Communication & Information	Communication skills	Patient felt their opinion was dismissed / discounted
172.	Communication & Information	Communication skills	Disagreement about expectations
173.	Communication & Information	Communication skills	Inadequate listening and response
174.	Communication & Information	Communication skills	Inappropriate comments from staff member
175.	Communication & Information	Communication skills	Lack of support
176.	Communication & Information	Communication skills	Language barrier between patients/relatives and staff
177.	Communication & Information	Communication skills	No opportunity to ask questions
178.	Communication & Information	Communication skills	Non verbal tone / body language
179.	Communication & Information	Communication skills	Open disclosure (lack of)
180.	Communication & Information	Communication skills	Patient dissatisfied with questions
181.	Communication & Information	Communication skills	Patient felt rushed
182.	Communication & Information	Communication skills	Staff not introducing themselves and letting patients know their role
183.	Communication & Information	Communication skills	Staff unsympathetic
184.	Communication & Information	Communication skills	Tone of voice
185.	Communication & Information	Communication skills	Untimely delivery of information
186.	Communication & Information	Delay and failure to communicate	Breakdown in communication between staff or areas
187.	Communication & Information	Delay and failure to communicate	Failure / delay to communicate with outside agency/organisation
188.	Communication &	Delay and failure to	Failure / delay in communicating with patient

	Information	communicate	
189.	Communication & Information	Delay and failure to communicate	<i>Advising patient of treating consultant</i>
190.	Communication & Information	Delay and failure to communicate	Failure / delay in communicating with relatives
191.	Communication & Information	Delay and failure to communicate	Failure / delay in notifying consultant (external)
192.	Communication & Information	Delay and failure to communicate	Failure / delay to communicate with GP / referral source
193.	Communication & Information	Delay and failure to communicate	<i>Lack of information provided about medication side effects (KPI)</i>
194.	Communication & Information	Diverse Needs	Interpretation service (e.g. Braille services)
195.	Communication & Information	Diverse Needs	Special needs
196.	Communication & Information	Diverse Needs	Translation service
197.	Communication & Information	Information	Conflicting information
198.	Communication & Information	Information	Confusing information
199.	Communication & Information	Information	Insufficient and inadequate information
200.	Communication & Information	Information	Misinformation
201.	Communication & Information	Telephone calls	Telephone call not returned
202.	Communication & Information	Telephone calls	Telephone call unanswered
203.	Participation	Consent	Consent not obtained
204.	Participation	Consent	Lack of informed consent
205.	Participation	Consent	Patient felt coerced
206.	Participation	Parental Access and Consent	Consent, guardianship and information issues related to lesbian, gay parental relationships
207.	Participation	Parental Access and Consent	Correct procedure not consented for
208.	Participation	Parental Access and Consent	Guardianship consent not explained
209.	Participation	Parental Access and Consent	Mother or father unable to access information
210.	Participation	Parental Access and Consent	Mother/Father/Guardian not informed
211.	Participation	Patients/ Family/ Relatives	Excluded from decision making process - family / relatives / advocate / next of kin
212.	Participation	Patients/ Family/ Relatives	Excluded from decision making process - patient
213.	Participation	Patients/ Family/ Relatives	Opinion discounted - family / relatives / advocate / next of kin
214.	Participation	Patients/ Family/ Relatives	Opinion discounted - patient
215.	Participation	Patients/ Family/ Relatives	Parent not allowed accompany child in recovery room
216.	Participation	Patients/ Family/ Relatives	Parent not allowed accompany child to theatre
217.	Participation	Patients/ Family/ Relatives	Second opinion
218.	Privacy	Confidentiality	Breach of another patient's confidentiality
219.	Privacy	Confidentiality	Breach of patient confidentiality
220.	Privacy	Confidentiality	Security of files and records
221.	Privacy	Hospital Facilities (Privacy)	Lack of privacy during consultation/discussing condition
222.	Privacy	Hospital Facilities (Privacy)	Lack of privacy during examination/ treatment
223.	Privacy	Hospital Facilities (Privacy)	Privacy - No single room

224.	Privacy	Hospital Facilities (Privacy)	Privacy - Overcrowding
225.	Improving Health	Empowerment	Independence and self care not supported
226.	Improving Health	Empowerment	Lack / provision of patient / carer education
227.	Improving Health	Empowerment	Patient / family preference discounted / disrespected
228.	Improving Health	Holistic Care	Lack of information / support on how to prevent further illness / disease
229.	Improving Health	Holistic Care	Lack of understanding as to what is important to the patient
230.	Improving Health	Catering	Dietary requirements not met
231.	Improving Health	Catering	Food quality
232.	Improving Health	Smoking Policy	Non-compliance (visitor, patient, staff smoking)
233.	Accountability	Patient feedback	Feedback not provided to patients on improvements made as result of their feedback
234.	Accountability	Patient feedback	Information about the complaints / patient feedback process not available
235.	Accountability	Patient feedback	Patient concerns not dealt with promptly
236.	Accountability	Patient feedback	Quality of response to the complaint made
237.	Accountability	Patient feedback	Where to go to ask questions in relation to services and giving feedback (visibility of customer services)
238.	Accountability	Finance	Bill dispute
239.	Accountability	Finance	Bill sent to deceased patient
240.	Accountability	Finance	Cost of products
241.	Accountability	Finance	Insurance cover
242.	Accountability	Finance	Invoice error
243.	Accountability	Finance	Unhappy with income collection process

Appendix 3: Complaints Management Database: Steps (Stage 2b)

Step 1: Log complaint in **Occurrences**:

1. Select "**New Occurance**"
2. Enter complainant details, location and date in **Complaint General Details**
3. **Save** Occurance - you can now see the Claims/Incidents option
4. Upload Complaints Letter/Fax/Email/Form etc in **File**

Step 2: Log issues of Complaint in **Claims/Incidents**

1. Select **New Incident**
2. Enter details of individual issues in **Claims/Incidents**. Select Complaints Officer, Location, Details and Categories.
3. **Save** Incident
4. Repeat for each issue/incident in complaint

Step 3: Update Complaint Record

1. Open Occurances - **Complaint Follow-up**.
2. Day 5: Update **Date Acknowledgement Sent**
3. Update Recommendations: **Occurrences - Claims/Incidents - Select Issue/Incident - Tasks**: Select New Task, Select Formal Complaints Issue Recommendation, Enter details and update when implemented
4. Day 30: in **Occurrences - Claims/Incidents - Complaints Issue** change all Issue Status to **Closed**
5. Day 30: Update **Date Response Sent** & Update **Complaint Status** to **Closed**
6. Upload Complaints Investigation Report **File**

OR

3. Day 30: **Update Number of Delayed Letters**
4. When Complaints Investigation complete update Recommendations: **Occurrences - Claims/Incidents - Select Issue/Incident - Tasks**: Select New Task, Select Formal Complaints Issue Recommendation, Enter details and update when implemented
5. When Complaints Investigation complete: in **Occurrences - Claims/Incidents - Complaints Issue** change all Issue Status to **Closed**
6. When Complaints Investigation complete: Update **Date Response Sent** & Update **Complaint Status** to **Closed**
7. Upload Complaints Investigation Report **File**

Note: Ensure all issues are 'Closed' before closing the Complaint. The system will not stop you from setting the *Complaint Status* to "Close" even if there are individual issues with an *IssueStatus* of "Open".