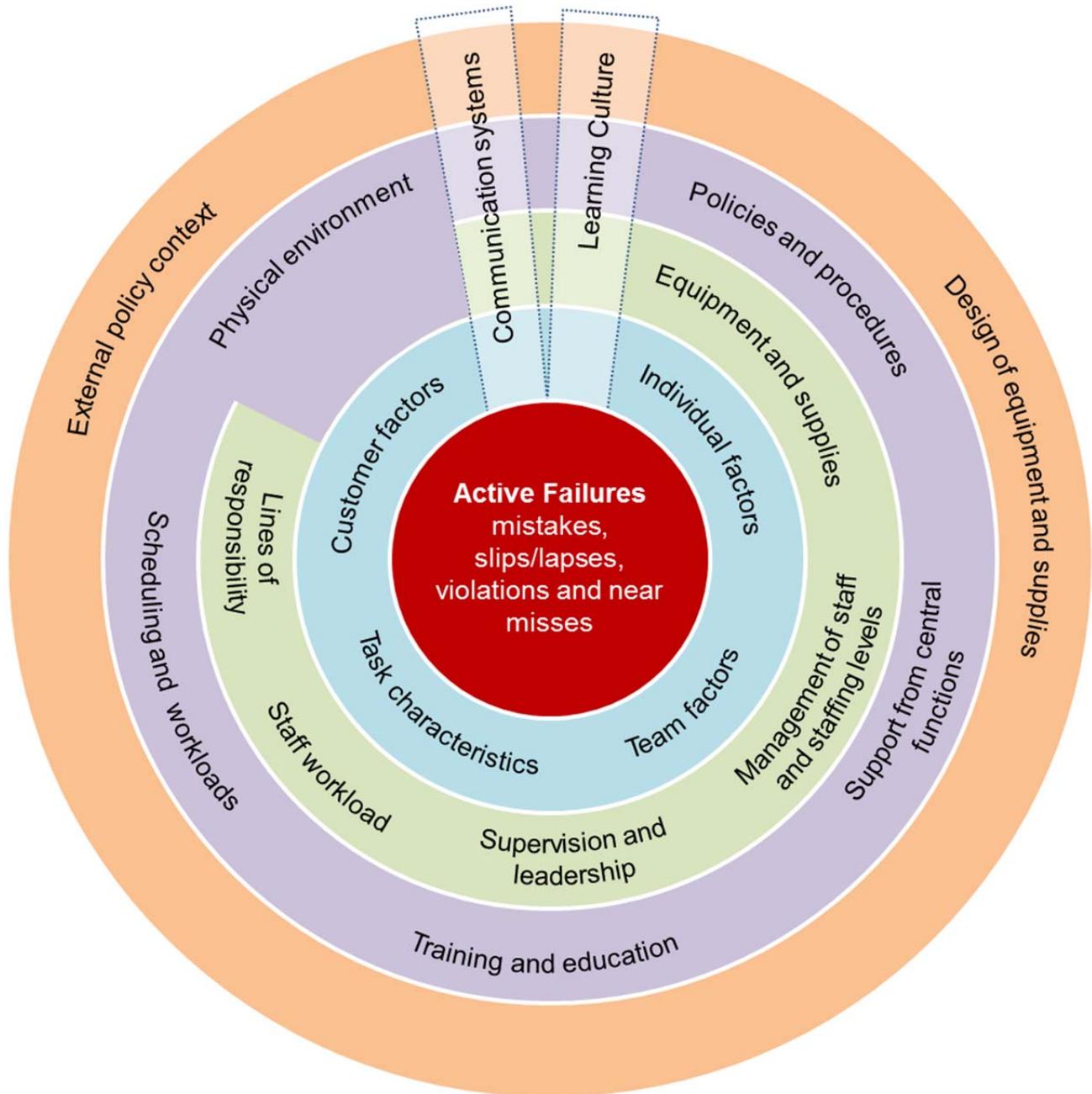


## Contributory Factors



<b>Factor</b>	<b>Definition</b>
Active failures	Any failure in performance or behaviour (for example, error, mistake, violation) of the person at the sharp-end (front-line staff)
Communication systems	Effectiveness of the process and systems in place for the exchange and sharing of information between staff, service users, interest groups, departments and services. This includes both written (for example, emails) and verbal (for example, meetings) communication systems
Equipment and supplies	Availability and functioning of equipment and supplies used by the relevant service
External policy context	Nationally driven policies/directives that impact on the level and quality of resources available to the organisation (training schemes, employment law, changes to funding and edibility criteria for service users)
Design of equipment and supplies	The design of equipment and supplies to support the departments functions (CRM systems,
Individual factors	Characteristics of the person delivering the service that may contribute in some way to active failures. Examples of such factors include inexperience, stress, personality, attitudes
Lines of responsibility	Existence of clear lines of responsibility clarifying accountability of staff members and delineating the job role
Management of staff and staffing levels	The appropriate management and allocation of staff to ensure adequate skill mix and staffing levels for the volume of work
Customer factors	Those features of the customer that make meeting their needs more complex and therefore more prone to error. These might include, language difficulties, physical attributes, personality characteristics (for example, aggressive attitude)
Physical environment	Features of the physical environment that help or hinder safe practice. This refers to the layout of the unit, the fixtures and fittings and the level of noise, lighting, temperature etc.
Policy and procedures	The existence of formal and written guidance for the appropriate conduct of work tasks and processes. This can also include situations where procedures are available but contradictory, incomprehensible or of otherwise poor quality
Learning culture	Organisational values, beliefs, and practices surrounding the management of and learning from error/complaints
Scheduling and workloads	Adequate scheduling to manage customer demand for services: minimising delays and excessive workload
Staff workload	Level of activity and pressures on time
Supervision and leadership	The availability and quality of direct and local supervision and leadership
Support from central functions	Availability and adequacy of central services in support of the functioning of departments. This might include support from Information Technology, Corporate Services, Human Resources, Finance, Estates or other departments.
Task characteristics	Factors related to specific tasks which may make individuals vulnerable to error
Team factors	Any factor related to the working of different professionals within a group which they may be able to change to improve the customer experience
Training and education	Access to correct, timely and appropriate training both specific (for example, task related) and general (for example, Organisation related)

Prompting question	Relevant to Complaint Event?	Contributory Factor Domain
		Situational Factors
Did the staff involved function as a team?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Team Factors: <ul style="list-style-type: none"> <li>• conflicting team goals</li> <li>• lack of respect for colleagues</li> <li>• poor delegation</li> <li>• absence of feedback</li> </ul>
On the day of the events, how did you feel?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Individual Staff Factors: <ul style="list-style-type: none"> <li>• fatigue</li> <li>• stress</li> <li>• rushed</li> <li>• distraction</li> <li>• inexperience</li> </ul>
Did the nature of the task make the incident more likely?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Task Characteristics: <ul style="list-style-type: none"> <li>• unfamiliar task</li> <li>• difficult task</li> <li>• monotonous task</li> </ul>
Were there any reasons this incident was more likely to occur with this particular customer?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Customer Factors: <ul style="list-style-type: none"> <li>• language barrier</li> <li>• uncooperative</li> <li>• user of multiple services</li> <li>• intoxicated etc</li> </ul>
Prompting question	Relevant to Incident?	Contributory Factor Domain
		Local Working Conditions
Did staff provision match the expected workload around the time of the incident?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Workload and staffing issues: <ul style="list-style-type: none"> <li>• high customer demand</li> <li>• insufficient staff</li> <li>• unable to contact staff / staff sickness</li> </ul>
Did everyone understand their role?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Leadership, Supervision and Role: <ul style="list-style-type: none"> <li>• inappropriate delegation</li> <li>• unclear responsibilities</li> <li>• remote supervision</li> </ul>
Were IT systems or other equipment available and working properly?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	IT, equipment and supplies: <ul style="list-style-type: none"> <li>• computer records unavailable</li> <li>• cash processing equipment not working</li> <li>• inadequate maintenance/ IT support</li> </ul>

Prompting question	Relevant to Incident?	Contributory Factor Domain
		Organisational Factors
Did the physical environment hinder your work in any way?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Physical Environment:</b> <ul style="list-style-type: none"> <li>• poor layout</li> <li>• lack of space</li> <li>• excessive noise / heat / cold</li> <li>• poor visibility / poor lighting</li> </ul>
Were there any problems from other departments?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Support from other departments</b> <ul style="list-style-type: none"> <li>• This includes support from IT, HR, maintenance teams and Legal</li> </ul>
Did any time pressures play a role in the incident?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Time Management:</b> <ul style="list-style-type: none"> <li>• Previous delay in the provision of service</li> <li>• transfer to inappropriate department</li> <li>• difficulties finding the appropriate contact</li> <li>• unplanned additional workload</li> </ul>
Were there any issues with staff skill or knowledge?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Staff Training and Education:</b> <ul style="list-style-type: none"> <li>• inadequate training</li> <li>• no protected time for teaching</li> <li>• training not standardised</li> <li>• no regular/yearly updates</li> <li>• no access to customer data</li> </ul>
Did local policies and protocols help or hinder?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Local Policies and Procedures:</b> <ul style="list-style-type: none"> <li>• no policy exists</li> <li>• procedure too complicated</li> <li>• lack of standardisation across teams/ divisions</li> <li>• contradictory policies exist</li> </ul>
Prompting question	Relevant to Incident?	Contributory Factor Domain
		External Factors
Is there any characteristic about any equipment used that was unhelpful?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>Design of equipment:</b> <ul style="list-style-type: none"> <li>• confusing equipment design</li> <li>• equipment not fit for this purpose</li> </ul>
Have any national policies influenced this incident?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	<b>National Policies:</b> <ul style="list-style-type: none"> <li>• use of commissioned resources</li> <li>• interference by government organisations</li> <li>• legislation</li> <li>• national targets</li> </ul>

Prompting questions	Relevant to Incident?	Contributory Factor Domain
		General Factors
How would you describe the culture of your work area in relation to customer service?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Customer Service Culture: <ul style="list-style-type: none"> <li>• accessible</li> <li>• transparent</li> <li>• customer focused</li> </ul>
Were any notes available, accurate and readable?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	Communication - written and verbal: <ul style="list-style-type: none"> <li>• poor communication between staff</li> <li>• lack of communication / notes</li> <li>• unable to read notes</li> <li>• unable to contact correct staff</li> <li>• Notes not available</li> </ul>
Did poor or absent verbal communication worsen the situation?	<input type="checkbox"/> Yes <input type="checkbox"/> Maybe <input type="checkbox"/> No	

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