

The Institute of Trichologists

Complaints Handling Policy and Procedure Appendices

Appendix A

COMPLAINTS GRADING TABLE

Descriptors	Minor	Moderate	Major	Extreme
Attitude of Member/ Abuse	Minor effect on care/ no abuse	Significant effect on care, loss of trust / minor verbal abuse / non-intentional manual mishandling	Patient frightened, insulted, loss of trust / significant verbal abuse / harmful physical mishandling	Self-discharge or transfer to another practice, lost trust in in Member/ intentional harmful abuse
Appointment/ Tests	Some difficulties and inconvenience to patient - readily resolvable	Significant effect on health / delays / time off work, travel expenses	Severe effects to health or well-being / unacceptable delays	Life endangered due to delays / errors
Patient care	Unsatisfactory patient experience readily resolvable / no or minimum harm	Mismanagement of patient care / wrong procedures or not followed / moderate harm or delays	Serious mismanagement of patient care / major harm	Totally unsatisfactory patient experience /life endangered / death
Adverse publicity / reputation	Rumours/Local media short term	Local media long term National media less than 3 days	National media greater than 3 days	National media greater than 3 days / political involvement
Communication / information (written / verbal)	Minor uncertainty or lack of clarity - readily resolvable	No understanding of treatment or differing information / pt feels ignored	Patient feels they have been intentionally misled	Unacceptable leading to a course of clinical action without consent
Consent to treatment	Hurried consent but generally understood / minor concern but proper procedure followed	Poor quality of consent, patient uncertain of risks / benefits	Very poor quality of consent process, no understanding of risks / benefits	Procedure without consent / patient felt pressurised or that they could not refuse
Complaint handling	Partially satisfactory - readily resolvable	Complaint not handled / answered properly /	Very poor in all aspects / loss of trust / patient	Extremely poor / Patient convinced of a "cover up"

		significant concerns re openness	feels issues being hidden	
Privacy and dignity / Patient status, discrimination	Non-significant / patient embarrassed - readily resolvable	Significant lack of privacy and dignity; significant part of the patient's complaint	Serious lack of respect for privacy and dignity / clear evidence of discrimination Unacceptable /	Severe adverse effects of discrimination on health and well being
Patient's property	Unsatisfactory but readily resolvable, minimum loss	Significant – some loss of property; not properly recorded	Serious – most of property lost , mishandled, not recorded	No records of property, lost property cannot be found
Personal records / Confidentiality	Correct procedure questioned / Unsatisfactory but readily resolvable	Significant errors in records / breach of confidentiality	Trust policy on records breached as well as national legislation	Serious breaches of trust policy or confidentiality (e.g. via social media)

Appendix B

Risk Assessment Matrix

Seriousness	Description
<p>Low (minor)</p>	<p>Unsatisfactory service or experience not directly related to care. No impact or risk to provision of care. OR Unsatisfactory service or experience related to care, usually a single resolvable issue. Minimal impact and relative minimal risk to the provision of care or the service. No real risk of litigation.</p>
<p>Medium (moderate)</p>	<p>Service or experience below reasonable expectations in several ways, but not causing lasting problems. Has potential to impact on service provision. Some potential for litigation.</p>
<p>High (serious)</p> <p>(Extreme)</p>	<p>Significant issues regarding standards, quality of care and safeguarding of or denial of rights. Complaints with clear quality assurance or risk management issues that may cause lasting problems for the organisation, and so require investigation. Possibility of litigation and adverse local publicity.</p> <p>OR</p> <p>Serious issues that may cause long-term damage, such as grossly substandard care, professional misconduct or death. Will require immediate and in-depth investigation. May involve serious safety issues. A high probability of litigation and strong possibility of adverse national publicity.</p>

Appendix C

Risk category (Seriousness and likelihood of recurrence)

Source: adapted from Department of Health, Listening, Responding, Improving – A Guide to Better Customer Care (26 February 2009), pp. 17-18

	RARE	UNLIKELY	POSSIBLE	LIKELY	ALMOST CERTAIN
LOW	LOW				
		LOW			
MEDIUM			LOW		
HIGH				EXTREME	
Rare	Isolated or 'one off' – slight or vague connection to service provision				
Unlikely	Rare - unusual but may have happened before				
Possible	Happens from time to time – not frequently or regularly				
Likely	Will probably occur several times a year				
Almost certain	Reoccurring and frequent, predictable				

Appendix D

