

Factors related to medication administration incidents in England and Wales: A retrospective trend analysis 2007-2016

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1 **ABSTRACT**

2 **Objectives** To describe medication administration incidents reported in England and Wales
3 between 2007–2016, to identify which factors (reporting year, type of incident, patients' age)
4 are most strongly related to reported severity of medication administration incidents, and to
5 assess the extent to which relevant information was underreported or indeterminate.

6 **Methods** Medication administration incidents reported to the National Reporting & Learning
7 System between 1 January 2007 and 31 December 2016 were obtained. Characteristics of the
8 data were described using frequencies, and relationships between variables explored using
9 cross-tabulation.

10 **Results** 517,384 incident reports were analysed. Of these, 97.1% (n=502,379) occurred in
11 acute /general hospitals, mostly on wards (69.1%, n=357,463), with medicine the most
12 common specialty area (44.5%, n=230,205). Medication errors were most commonly omitted
13 doses (25.8%, n=133,397). The majority did not cause patient harm (83.5%, n=432,097).
14 When only incidents causing severe harm or death (n=1,116) were analysed, the most
15 common type of error was omitted doses (24.1%). Most incidents causing severe harm or
16 death occurred in patients aged 56 and over. Over the 10-year period, the percentage of
17 incidents with 'no harm' increased (74.1% in 2007 to 86.3% in 2016). For some variables, data
18 was often missing or indeterminate which has implications for data analysis.

19 **Conclusions** Medication administration incidents that do not cause harm are increasingly
20 reported whereas incidents reported as severe harm and death have declined. Data quality
21 needs to be improved. Underreporting and indeterminate data, inaccuracies in reporting and
22 coding jeopardize the overall usefulness of these data.

23

24 **Keywords:** medication administration error, medication error, incident reporting, NRLS,
25 patient safety, hospital, England and Wales

26

27 INTRODUCTION

28 Medication errors are a leading cause of avoidable harm in health care systems globally, with
29 an estimated annual cost of 42 billion USD annually[1]. Since the beginning of the third
30 millennium, much effort has focused on patient safety. A major stimulus for this was the US
31 report 'To err is human' published in 1999 by the Institute of Medicine[2]. In the report, one
32 of the key recommendations for learning and decreasing errors was for greater attention to
33 be paid to incident reporting, with a primary purpose of facilitating learning, avoiding the
34 same incidents recurring, and monitoring progress in prevention of errors at the
35 organizational level[3-4]. In addition, increased transparency, together with more thorough
36 reporting and analysis of incidents, provides an opportunity to share experiences[5] and
37 should lead to the development of interventions aimed at mitigating errors[6].

38

39 Reporting medication safety incidents

40 In England and Wales, the National Reporting & Learning System (NRLS) is a national database
41 on patient safety incidents that are voluntarily and anonymously reported electronically by
42 the National Health Services (NHS) and other health care organisations or using a specific on-
43 line form. The NRLS was established by the National Patient Safety Agency (NPSA) in 2003. By
44 June 2017[5] the NRLS database had captured over 16 million reports and is the largest
45 patient safety reporting system in the world[6-7]. Data reported for each incident include
46 both categorical data (e.g. type, severity of incident) and a free text description of what
47 happened.

48 Medication administration is one part of the medication process with approximately 5-20%
49 of nurses' time allocated to this activity[8-9]. The medication administration process is
50 complex and demanding[10], and medication administration errors (MAEs) are common[11-
51 12], with as many as one in five medications administered to patients associated with an
52 error[13-14]. Fifty to sixty percent of all medication errors reported to the NRLS occur are
53 categorised as 'medication administration' [15-16], potentially representing the most error-
54 prone stage of the medication process.

55 According to the WHO[17], there is no standard definition of a medication error. One
56 commonly and globally used definition is that proposed by the United States National
57 Coordinating Council for Medication Error Reporting and Prevention [18], which defines a

58 medication error as ‘any preventable event that may cause or lead to inappropriate
59 medication use or patient harm while the medication is in the control of the health care
60 professional, patient, or consumer’. A MAE can be defined as ‘any deviation from procedures,
61 policies, and/ or best practices for medication administration’[10]. It includes, for example, a
62 failure to administer medication, giving an incorrect dose or drug, a dose given to the wrong
63 patient, administration via the incorrect route or technique, at an inappropriate rate, or with
64 incorrect timing.

65 Despite growing empirical evidence, policy, and professional attention to MAEs, so far there
66 is no sign of MAEs diminishing[19]. Incident reporting has become a widely used method for
67 studying medication errors, mainly because these data are relatively easy to obtain and
68 relatively low cost[20].

69

70 **Quality of reporting**

71 When the quality of incident data in general is discussed, it is mostly in terms of under-
72 reporting[21], which remains a significant problem[22]. Only a fraction of incidents are
73 reported. It has been estimated that self-reporting systems such as the NRLS, detect only 7-
74 15% of all medication incidents[23], but the actual percentage may be even lower. Under-
75 reporting may be either intentional or unintentional. Some unintentional reasons are the
76 healthcare professional failing to recognize the error, or forgetting or not knowing how to
77 report it. There may also be misunderstanding of incidents that should be reported, such as
78 near misses or omissions of medications.[22] Intentional reasons and barriers to reporting
79 include time pressures and fear of the consequences[20-22,24], poor institutional support or
80 processing of incident reports[21,25], lack of awareness of how the reported incidents will be
81 analysed, not knowing how the reports will ultimately lead to changes that improve patient
82 safety[22], lack of feedback[21-22,26-27], blame culture, inadequate training, and poor
83 coordination of reporting[24]. Incidents that are immediate and witnessed are often better
84 reported[22]. Under-reporting limits detection of rare incidents and presents an
85 epidemiological bias; gaining accurate estimates of error rates becomes difficult and prone to
86 bias[28].

87 Incident reporting has also received criticism in relation to selective and incomplete
88 reporting[29]. There may be differences in how health professional groups rate incidents[30],
89 and significant variations in the quality of free-text descriptions in terms of length, detail, and
90 potential inaccuracies[31]. Reporting of complex multifaceted events may reduce the incident
91 to a simple descriptor such as ‘medication error’ and the cause into an equally simplistic
92 category such as ‘communication failure’ or ‘staffing’[32]. Thus, important information and
93 understanding will be lost. As the number of reported incidents continues to increase[33], it
94 is vital to be able to analyse those effectively, which requires well-documented information.

95 The quality of NRLS medication incident data has been highlighted, with the Patient Safety
96 Alert ‘Improving medication error incident reporting and learning’ published in 2014. This
97 alert calls further improvements to increase the number of incident reports, improve the data
98 quality and maximise what can be learned from medication errors. A previous study reviewed
99 NRLS medication error reports over a 6-year period (2005-2010)[16]. In contrast to this
100 previous analysis, our study will focus specifically on medication administration incidents and
101 will a 10-year period of data to allow for trend analysis of reporting practices, describing
102 missing and other invalid data, and thus offering more detailed information on the changes
103 in data quality over this period. As far as we are aware this is the first study to focus on a
104 longitudinal analysis of reporting practices of medication administration incidents over a 10-
105 year period. Our specific objectives are to describe MAEs reported in England and Wales
106 between 2007–2016, to identify which factors are most strongly related to severity of
107 reported MAEs (reporting year, type of incident, patients’ age), and to assess how much
108 information collected on MAEs is underreported or indeterminate.

109

110 **METHOD**

111 **Design and setting**

112 This is a retrospective trend analysis of anonymous self-reported MAEs.

113 The NRLS collects reports of patient safety incidents from NHS organisations and other
114 healthcare providers in England and Wales. Incidents can also be reported directly to the
115 NRLS. Data in the national system is designed not to retain any patient or staff personal
116 identifiable information. If such information is submitted in error, NRLS anonymise the data.
117 The data cleaning process also includes the removal of duplicates reports. Based on the NRLS

118 reporting e-form[34], mandatory fields of reporting are: when (date, time) and where
119 (service, location, country, specialty area) an incident occurred, description of what
120 happened, whether the patient was actually harmed and degree of such harm (if the answer
121 was no harm, then they were asked to provide an evaluation of potential harm), and patient
122 characteristics such as age, gender and ethnic background. In addition, it is mandatory to
123 report contributing factors, as well as details related to the drugs involved such as stage of
124 the medication process, type of error, and approved drug name. Mandatory staff details are
125 staff type, status, and the role of the reporting staff member in the incident. Although these
126 fields are stated as being mandatory, most allow answers such as 'unknown', 'other', or 'not
127 applicable'.

128

129 **Data source**

130 The data comprised MAEs reported to the NRLS as having occurred between 1 January 2007
131 and 31 December 2016. We used only data from the closed questions, which are based on
132 what has been reported to the NRLS: incident category (type), degree of harm, incident
133 location, care setting of occurrence, specialty area where the incident occurred, age, and
134 gender of patient and date and time of incident, as well as factors contributing to the incident.
135 These data are mainly captured using drop-down menus during entry. Incident severity was
136 designated by reporters as no harm, low harm (patient(s) required extra observation or minor
137 treatment), moderate harm (short term harm - patient(s) required further treatment, or
138 procedure), severe harm (permanent or long term harm) or death (caused by the Patient
139 Safety Incident).

140

141 **Data acquisition**

142 A data sharing agreement was signed after applying and receiving acceptance from NRLS for
143 data access. NRLS extracted the data in December 2017 using following inclusion filters: 1)
144 Incidents between 1st January 2007 and 31st December 2016 (based on the date the incident
145 was reported to have occurred), 2) Medication incident, 3) Administration / supply of a
146 medicine from a clinical area, and 4) Acute NHS trust (either specialist or non-specialist).

147

148

149

150 Data analysis

151 Incidents were enumerated by year (2007-2016), month of occurrence, time of day, care
152 setting, location, specialty, patients' age, gender, error category, degree of harm,
153 administration route, and contributing factors. Patients' ethnicity was not analysed as it was
154 reported for only 24.7% of reports. Unreported and indeterminate information (classified into
155 unknown, other, not stated, not applicable) was enumerated for those variables where this
156 was an issue (location, hour of occurrence, patients' gender and age, error category, and
157 administration route).

158 The severity of incidents was further disaggregated by reporting year, error category, and
159 patients' age to explore whether the severity of reported incidents has changed over the
160 period concerned, and whether the severity of incidents varies in different error categories
161 or patient age groups. The incident report severity classifications were used in their original
162 form when the data were described, but due to small numbers in certain categories were re-
163 classified into three groups, for cross-tabulation purposes: 1) No harm, 2) Low and moderate
164 harm, and 3) Severe harm and death. For similar reasons, patients' age bands used within the
165 NRLS were amalgamated into six groups: 1) under 12 years, 2) 12-17 years, 3) 18-25 years, 4)
166 26-55 years, 5) 56-75 years, and 6) over 75 years.

167 Descriptive statistical analysis was conducted using IBM SPSS version 23.0. Characteristics of
168 the data were described using frequencies and percentages, and relationships among factors
169 explored via cross-tabulation.

170

171 Ethics

172 The research ethics office of King's College London gave an ethical approval for this study
173 (LRS-17/18-5150) in October 2017. The data did not include any personal or organisational
174 identifiers, thus anonymity of the reporters, patients, other involved persons, and
175 organisations could be guaranteed.

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177

178

179 RESULTS

180 Demographics

181 During 2007-2016, there were a total of 517,384 MAEs reporting as occurring. The number of
182 incidents increased every year. In 2007, there were 29,455 and in 2016 72,390 MAEs reported
183 (Figure 1). Fewer incidents were reported as occurring in February (7.6%, n=39,517) and most
184 in October (9.0%, n=46,601) (Figure 2). Most MAEs were reported to have occurred between
185 10 a.m. – 1 p.m. (16.0 %, n=82,997), 7 – 10 a.m. (14.4%) or 4 – 7 p.m. (14.4%), and fewer
186 between 4 – 7 a.m. (3.6%). Most MAEs occurred in acute or general hospitals (97.1%,
187 n=502,379), on wards (69.1%, n=357,463), in intensive care unit / high dependency units (8%,
188 n=41,149), or in operating theatres (2.3%, n=11,867). The most common specialty areas were
189 medical (44.5%, n=230,205) and surgical (20.0%, n=103,686). (online only supplementary
190 material.)

191 Mean reported patient age was 53.9 years and over 40% were aged 75 and over (43.1% n=
192 222,775). Children aged 12-17 (2.2%) and young adults aged 18-25 (3.0%) had fewest reports.
193 About one third of the patients were reported as being female (35.3%, n= 182,451), 30.2%
194 (n=156,419) as males, n=78 gender indeterminate and for 34.5% (n=178,436) gender was not
195 reported. (online only supplementary material.)

196 MAEs were mostly attributed to omitted medicines or ingredients (25.8%, n=133,397), wrong
197 frequency (9.9%, n=51,003), or wrong / unclear dose or strength (9.0%, n=46,389). The
198 majority of the MAEs caused 'no harm' (83.5%, n=432,097). The administration route was not
199 reported for 73.0% of incidents, but of those for which this was reported, intravenous (9.1%,
200 n=46,837) and oral (9.0%, n=46,728) administration was most common. The majority (92.3%
201 / n=477,728) of incident reports included no description of perceived contributing factors.
202 (online only supplementary material.) Of the n=39,656 incidents that did include contributing
203 factors, the most common were "medication factors" (33.6 %, n=13,306), and "task factors"
204 (13.0 %, n=5,136) (Table 1).

205

206 Factors related to severity of incidents

207 Over the 10-year period, the percentage of MAEs reported as resulting in 'No harm' increased
208 (2007: 74.1% - 2016: 86.3%). At the same time, percentage of incident with 'Low and
209 moderate harm' (2007: 25.2% - 2016: 13.6%) and 'Severe harm and death' (2007: 0.7% - 2016:

210 0.1%) decreased. When severity of each error type were compared, it was found that the
211 most common incident types associated with 'No harm' or 'Low and moderate harm' were
212 omitted medicine/ingredient, wrong frequency, or wrong or unclear dose or strength. For
213 'Severe harm and death' omitted medicine/ingredient (24.1%) was mentioned most often
214 followed by wrong/unclear dose or strength (13.4%), or wrong drug/medicine (9.0%). A
215 higher percentage of people with reports of 'Severe harm and death' were aged 56 and over
216 (51.8%), than for 'Low and moderate harm' (46.9%) or 'no harm' (42.3%). Conversely a lower
217 percentage of people with reports of 'Severe harm and death' were under 12 (7.4%), than for
218 'Low and moderate harm' (9.8%) or 'no harm' (10.7%). (Table 2.)

219

220 **Unreported and indeterminate information in incident reports**

221 When the proportion of missing and indeterminate information (classified as 'unknown' /
222 'other' / 'not stated' / 'not applicable' factors) in incident reports was studied, it was found
223 that valid information decreased over the 10-year period for some factors. For example,
224 information on 'Location of incident' decreased each year (2007: 89.9% - 2016: 79.6%). In
225 contrast, completeness increased for other factors, such as for 'Patient age' which increased
226 each year (2007: 65.6% - 2016: 80.8%). However, for 122 patients, ages were recorded as
227 being between 110 and 120 years suggesting a data entry error (e.g. an extra zero). The
228 completeness of reporting increased for some factors: for example reporting 'Administration
229 route of drug' increased between 2007 (15.2%) to 2015 (30.4%). For other factors, such as in
230 'Patient gender' or 'Medication error category', completeness of reporting fluctuated over
231 time. (Table 3.)

232

233 **DISCUSSION**

234 This study focused specifically on a retrospective trend analysis of anonymous self-reported
235 MAEs over a 10-year period using NRLS national level data for England and Wales. We
236 analysed over 500,000 MAEs and found that the number of reported MAEs increased year on
237 year. Cousins et al.[16] found that the increasing number of medication reports each year is
238 significantly higher than increases in the total number of patient safety incidents reported to
239 the NRLS. Many possible reasons for this exist. First, staff are being encouraged to increase

240 their reporting to promote a more open culture in healthcare services. It is anticipated that
241 the volume of reporting will continue to increase as this culture spreads more widely [33]. An
242 increase in the number of incidents reported should not be taken as a marker of deterioration
243 in patient safety but rather an indication of rising levels of safety awareness among healthcare
244 professionals. However, the increase in medication incidents may also be partly linked also to
245 increased use of drugs[16]. In addition, the number of total reported incidents (not only
246 medication related) has increased over the years. Incidents have been reported to the NRLS
247 since October 2003, with all NHS organisations being able to access the system from 2005.
248 There were 153 incidents reported from October to December 2003 and 135,356 in October
249 to December 2005, in contrast 508,409 incidents were reported from October to December
250 2017. [35]

251

252 **Findings related to severity of incidents**

253 The majority of MAEs did not cause harm to patients either in this study or an earlier study of
254 medication errors in NRLS[15]. Over the years, the number of 'No harm' incidents has
255 increased (2007-2016: 21,817 to 62,461) in this dataset and 'Severe harm and death' incidents
256 decreased (2007-2016: 202 to 74). This is an interesting finding because from 2010 it became
257 mandatory for NHS trusts in England to report all serious patient safety incidents to the Care
258 Quality Commission. To avoid duplication of reporting, all incidents resulting in death or
259 severe harm should therefore be reported to the NRLS which are then passed onto the Care
260 Quality Commission.[36] Despite this mandatory requirement there has been a clear decrease
261 in the percentage of serious reports. Most incidents occurred amongst patients aged 56 and
262 over. Over 50% of 'Serious harm' incidents occurred in this age-group. Howell et al.[7] also
263 found that patients most vulnerable to reported harm were elderly medical inpatients.

264 It should be noted that the reported severity is only indicative evaluation. Possible
265 inconsistencies in severity ratings may be caused by a lack of understanding of how to report
266 the 'degree of harm'. This should relate to the actual harm resulting directly from the incident
267 itself rather than perceived potential harm. For example, sometimes the degree of harm is
268 coded as 'severe harm' in near-miss cases, where no harm resulted because the impact of the
269 incident was prevented [37].

270

271 Findings related to data quality

272 We found many issues related to the quality of the data. Some of the fields had comparatively
273 high levels of missing or indeterminate information: in one third of the incidents, patients'
274 gender was not reported, administration route was not reported in 73%, and contributing
275 factors not reported for 93%. Similarly Panesar et al.[6] found that gender was completed for
276 approximately 70% of entries, age for 66% and ethnicity for only 20%. For some variables,
277 improvement in completeness of reporting could be seen over time (e.g. age). For other
278 variables the volume of indeterminate information increased each year, for example 'Location
279 of incidents'. Even though most of the fields are stated as being mandatory, it was common
280 to use categories such as other, unknown, or not applicable.

281 Low data quality and under-reporting jeopardize the aims of incident reporting. Thus,
282 individuals should therefore be encouraged to report incidents as accurately and completely
283 as possible[38]. The reasons for reporting invalid information requires further investigation.
284 In some cases this could be due to lack of available details, lack of time, or a willingness to
285 prioritise. Time pressure is one particular issue and choosing 'other' or 'unknown' is likely to
286 speed up data entry and allow the person to return to more immediate activities. First and
287 foremost, awareness of the problem should be raised, because missing and indeterminate
288 information affect the reliability of the findings. In particular, Panesar et al.[6] state that it
289 should not be assumed that missing or other invalid data are evenly distributed which has
290 analysis implications. Analysis is straightforward if data are missing randomly but becomes
291 more taxing if they are not. It is important for researchers in this field to assess missing data
292 and report this in the findings. In addition, a lack of a true denominator limits what can be
293 inferred from epidemiological analysis, but it is important to remember that the purpose of
294 the NRLS is to enable learning and not carry out epidemiological analysis. Studies that reveal
295 the potential usefulness of incident data may help to increase the frequency and quality of
296 reporting.[28] Some of the NRLS questions may require further development to help minimize
297 the amount of unknown and invalid data, for example incident type where one fifth of
298 incidents are coded to 'Other'.

299

300

301

302 **Strengths and weaknesses**

303 We studied the characteristics of MAEs over a 10-year period between 2007–2016 including
304 over 500,000 incident reports. The unique strengths of the NRLS are its size, duration and the
305 inclusion of reports of no and low levels of harm as well as adverse outcomes[39]. This kind
306 of national level incident analysis can be valuable and has the advantage of highlighting the
307 areas for improvement that can be disseminated widely for raising awareness, research,
308 audits, training initiatives, curriculum, specific guidelines, and generating a culture of safety
309 [22,40]. Reporting systems overall can provide warnings, point to important problems, and
310 provide some understanding of causes.

311 The current study has some limitations, primarily around under-reporting and the quality of
312 the data although this appears to be improving overall. Some data entry errors relate to data
313 collection and others to classifying. Reported severity may not relate precisely to actual
314 severity. Typically this will be a subjective assessment and is sometimes mistaken for potential
315 rather than actual degree of harm. In addition, reports will include incidents where the impact
316 on the patient is not yet known. It is now mandatory to report serious incidents in England
317 and Wales to Strategic Executive Information System (STEIS), but not the less-harmful
318 incidents, which rely on voluntary self-reporting. Therefore less-harmful incidents may be
319 more prone to under-representation, which poses problems for analysis, interpretation and
320 generalizability. On a smaller scale, the data may contain duplicates and some minor coding
321 or data entry errors (e.g. age). The way the data are collected anonymously means that it is
322 not possible to verify or clarify incident details afterwards[6].

323

324 **CONCLUSION**

325 Based on findings over a 10-year period 2007-2016, absolute numbers of 'No harm' incidents
326 continued to increase annually. The total number of reported serious harm incidents has
327 declined and fallen below 100. However, it is important not to lose sight of incidents
328 categorised as 'No harm' and 'Mild harm' which could be precursors or indicators of potential
329 'Serious-harm'. The quality of reports should be improved, because under-reporting and
330 indeterminate data, inaccuracies in reporting and coding jeopardize the overall usefulness of
331 the data. Further studies should clarify the reasons for indeterminate reporting and missing

332 data. As most serious medication administration incidents occurred in elderly patients,
333 additional studies and interventions should focus on safe administration of drugs to these
334 patients.

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450 **Figure legends**

451 Figure 1. Number of reported medication administration incidents per year between years 2007-
452 2016, (n=517,384 in total)

453 Figure 2. Number of reported medication administration incidents / total per month between years
454 2007-2016, (n=517,384 in total)

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