

## **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).

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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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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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449

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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