



## **Site visit inspection report on compliance with HTA licensing standards**

### **Fulham Public Mortuary**

**HTA licensing number 12489**

**Licensed under the Human Tissue Act 2004 for the**

- **making of a post mortem examination;**
- **removal from the body of a deceased person (otherwise than in the course of an anatomical examination or post-mortem examination) of relevant material of which the body consists or which it contains, for use for a scheduled purpose other than transplantation; and**
- **storage of the body of a deceased person or relevant material which has come from a human body for use for a scheduled purpose**

**26 – 27 June 2019**

### **Summary of inspection findings**

The HTA found the Designated Individual (DI), the Licence Holder (LH) and the premises to be suitable in accordance with the requirements of the legislation.

Eleven major shortfalls and twelve minor shortfalls were found against the Governance and Quality Systems, Traceability and Premises, Facilities and Equipment standards.

## **The HTA's regulatory requirements**

Prior to the grant of a licence, the HTA must assure itself that the Designated Individual is a suitable person to supervise the activity authorised by the licence and that the premises are suitable for the activity.

The statutory duties of the Designated Individual are set down in Section 18 of the Human Tissue Act 2004. They are to secure that:

- the other persons to whom the licence applies are suitable persons to participate in the carrying-on of the licensed activity;
- suitable practices are used in the course of carrying on that activity; and
- the conditions of the licence are complied with.

Its programme of site visit inspections to assess compliance with HTA licensing standards is one of the assurance mechanisms used by the HTA.

The HTA developed its licensing standards with input from its stakeholders. They are designed to ensure the safe and ethical use of human tissue and the dignified and respectful treatment of the deceased. They are grouped under four headings:

- consent
- governance and quality systems
- traceability
- premises facilities and equipment.

This is an exception-based report: only those standards that have been assessed as not met are included. Where the HTA determines that there has been a shortfall against a standard, the level of the shortfall is classified as 'Critical', 'Major' or 'Minor' (see Appendix 2: Classification of the level of shortfall). Where HTA standards are fully met, but the HTA has identified an area of practice that could be further improved, advice is provided.

HTA inspection reports are published on the HTA's website.

## **Background to the establishment**

Fulham Public Mortuary (the establishment) has been licensed by the HTA since May 2008. The establishment is licensed for removal of relevant material from the deceased, storage of bodies of the deceased and relevant material for use for scheduled purposes, and the making of a post mortem (PM) examination.

Approximately 720 adult PM examinations are carried out at the establishment each year, including Home Office (forensic) and high-risk cases. Paediatric and consented PM examinations are not conducted at the establishment.

The DI is the Mortuary Manager, the Corporate Licence Holder (CLH) is Hammersmith and Fulham Council, and the CLH contact is the Deputy Head of Emergency Services and Lead Council Officer for the mortuary. The mortuary is staffed by three full-time Anatomical Pathology Technologists (APTs), including the Mortuary Manager.

Bodies are admitted to the mortuary from local hospitals and the community by the Coroner's contracted funeral directors, both in and out of normal working hours. The funeral directors place bodies into a designated bank of fridges. Mortuary staff then complete the admission process and assign each body a unique admission number during working hours. Bodies are released from the mortuary by mortuary staff during working hours only.

PM examinations are performed by visiting pathologists. The main PM suite has facilities to conduct up to ten PM examinations at a time. There is also a PM suite for high-risk cases but this is no longer used.

Organs, tissues and toxicology samples retained during PM examination are collected from the establishment by courier each week and are transferred to other HTA-licensed premises for processing and examination. At the request of the family, tissues and organs may be returned to the establishment to be reunited with the body prior to it being released from the mortuary. The establishment uses an electronic database to record PM sample details and the family's wishes for the fate of the samples. At the time of the inspection, the establishment were storing two tissue samples in the main PM room (refer to audit findings).

The mortuary conducts viewings of the deceased for formal identification purposes only.

## **Description of inspection activities undertaken**

This was the third site visit inspection of the establishment; the previous inspection took place in 2015. The inspection team reviewed governance and quality system documentation, interviewed key members of staff involved in undertaking licensed activities, and conducted a visual inspection of the mortuary body store area and PM rooms.

The inspection team conducted audits of eight adult bodies in refrigerated and frozen storage. Body location and identification details on identification bands were crosschecked against the information recorded in the paper mortuary register and relevant documentation. No discrepancies in traceability were found. Whilst one body had been stored for longer than 30 days in refrigerated storage, staff provided evidence of active follow-up with the relevant third parties for this case.

Home Office PM examinations are conducted at the establishment. Under section 39 of HT Act, relevant material held for criminal justice purposes is outside the scope of HTA regulation and is not subject to the licensing requirements for storage. However, the 2012 report of the Association of Chief Police Officers' (ACPO) audit of tissue held under police authority contained a recommendation that police exhibits held on HTA-licensed premises should be included within the regular HTA inspection process. Therefore, procedures for Home Office PM examinations and management of tissues and organs taken for criminal justice purposes were reviewed by the HTA at this site visit inspection.

### **Inspection findings**

The HTA found the LH, the DI and the premises to be suitable in accordance with the requirements of the legislation.

### **Assessment of existing shortfalls against standards**

One minor shortfall identified at the last inspection of this establishment was open at the time of this inspection. This shortfall related to there being no documented procedure for disposal of toxicology and histology samples that are no longer required for coronial purposes. This will be addressed by the corrective and preventative action plan for standard GQ1(a).

## Compliance with HTA standards

<b>GQ1 All aspects of the establishment's work are governed by documented policies and procedures</b>		
<p>a) Documented policies and SOPs cover all mortuary/laboratory procedures relevant to the licensed activity, take account of relevant Health and Safety legislation and guidance and, where applicable, reflect guidance from RCPATH.</p>	<p>Mortuary standard operating procedures (SOPs) do not cover all procedures relevant to the licensed activity and many SOPs do not contain sufficient details of procedures. For example:</p> <ul style="list-style-type: none"> <li>• SOP-38 'Coroner's documentation for funeral directors' does not state what documentation mortuary staff should receive from funeral directors for release of bodies from the mortuary.</li> <li>• SOP-8 'HTA Reportable Incidents' does not provide sufficient details of the procedure for reporting and managing incidents. This SOP includes an outdated list of HTA Reportable Incident (HTARI) categories.</li> <li>• SOP-6 'Refrigeration and condition of the deceased' relating to temperature monitoring and alarm arrangements for the fridges and freezers does not detail the acceptable temperature ranges, alarm trigger points, alarm call-out arrangements, or the procedure for manually challenging the alarm.</li> <li>• There is no SOP documenting the procedure for the management of long stay bodies.</li> <li>• There is no SOP documenting the procedure and records for disposing of histology and toxicology samples that are no longer required for coronial purposes.</li> </ul> <p>This is not an exhaustive list of the amendments required to SOPs, and to fully address this shortfall the establishment should review all SOPs relating to mortuary activities to ensure that they are accurate and contain sufficient details of procedures.</p> <p><i>Refer to shortfall against standards GQ5(a), GQ5(b), PFE2(e) and T1(c).</i></p>	<p><b>Major</b></p>
<p>d) Policies and SOPs are reviewed regularly by someone other than the author, ratified and version controlled. Only the latest versions are available for use</p>	<p>SOPs have not been reviewed regularly and have the same author and authoriser.</p>	<p><b>Minor</b></p>

h) Matters relating to HTA-licensed activities are discussed at regular governance meetings involving establishment staff	Although there are regular informal meetings between mortuary staff, there are no formal governance meetings to discuss matters relating to HTA-licensed activities.  <i>Refer to Advice, item 2.</i>	<b>Minor</b>
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<b>GQ2 There is a documented system of audit</b>		
a) There is a documented schedule of audits	The establishment does not have a documented schedule of audits for licensed activities. Whilst some audits of body traceability have been conducted, these have been done on an ad hoc basis and do not include: <ul style="list-style-type: none"> <li>• process audits of staff undertaking procedures;</li> <li>• vertical and horizontal audits checking compliance with documented SOPs, completion of records and traceability; and</li> <li>• audits of traceability of retained tissue.</li> </ul>	<b>Major</b>
b) Audit findings document who is responsible for follow-up actions and the timeframe for completing these	Records of audits do not document sufficient details of audit findings and follow-up actions.	<b>Minor</b>

<b>GQ3 Staff are appropriately qualified and trained in techniques relevant to their work and demonstrate competence in key tasks</b>		
a) All staff who are involved in mortuary duties are appropriately trained/qualified or supervised	There is no system for training APTs or funeral directors working in the mortuary.  Some mortuary procedures have changed recently and there are no records to evidence that staff working in the mortuary have been trained in the revised procedures.  This presents a risk of staff not following the establishment's procedures for key mortuary activities.	<b>Major</b>
c) Staff are assessed as competent for the tasks they perform	There is no system for assessing and recording competency of staff in the mortuary procedures they perform.  Funeral directors who admit bodies into the mortuary out of working hours have not been assessed by the establishment as competent to undertake this activity in accordance with the establishment's procedures.	<b>Major</b>
d) Staff have annual appraisals and personal development plans	Staff do not have annual appraisals or personal development plans.	<b>Minor</b>

g) Visiting / external staff are appropriately trained and receive an induction which includes the establishment's policies and procedures	There is no formal induction or training document for visiting and external staff in mortuary policies and procedures. This includes visiting pathologists who undertake PM examinations at the establishment.  This presents a risk of staff not following the establishment's procedures for key mortuary activities.	<b>Major</b>
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<b>GQ4 There is a systematic and planned approach to the management of records</b>		
b) There are documented SOPs for record management which include how errors in written records should be corrected	There is no SOP for the management of records, including the mortuary register.  The inspection team observed instances where correction fluid has been used in the mortuary register. This means that these amendments to the mortuary register cannot be audited fully.	<b>Minor</b>

<b>GQ5 There are systems to ensure that all untoward incidents are investigated promptly</b>		
a) Staff know how to identify and report incidents, including those that must be reported to the HTA	There is no training in HTARI reporting requirements and procedures for staff undertaking mortuary activities.	<b>Minor</b>
b) The incident reporting system clearly outlines responsibilities for reporting, investigating and follow up for incidents	The incident management SOP does not include details of the process to report incidents, who can report incidents in the DI's absence, and the responsibilities for investigating and following up incidents.  This presents the risk that incidents may not be identified, reported and followed up appropriately.  <i>As a result of this shortfall, standards GQ5(c) and (d) cannot be met.</i>	<b>Major</b>

<b>GQ6 Risk assessments of the establishment's practices and processes are completed regularly, recorded and monitored</b>		
a) All procedures related to the licensed activities (as outlined in standard GQ1) are risk assessed on a regular basis	The establishment's documented risk assessments do not cover all licensed activities and the risks of incidents associated with these activities. For example, the following risks have not been assessed: <ul style="list-style-type: none"> <li>• removal of tissue from a body without authorisation or consent;</li> <li>• serious security breach;</li> <li>• risks to integrity of tissue;</li> <li>• tissue traceability; and</li> <li>• disposal of tissue.</li> </ul>	<b>Major</b>

b) Risk assessments include how to mitigate the identified risks. This includes actions that need to be taken, who is responsible for each action, deadlines for completing actions and confirmation that actions have been completed	The establishment's risk assessments do not contain sufficient detail of what control measures are in place to mitigate the identified risks.	<b>Minor</b>
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<b>T1 A coding and records system facilitates traceability of bodies and human tissue, ensuring a robust audit trail</b>		
c) Three identifiers are used to identify bodies and tissue, (for example post mortem number, name, date of birth/death), including at least one unique identifier	<p>Whilst the establishment has a procedure to use of a minimum of three identifiers for identification of bodies, the inspection team observed evidence that this process is not always followed for release of bodies from the mortuary.</p> <p>The electronic databases used to record traceability and consent details for histopathology and toxicology samples includes only one identifier of the deceased.</p> <p>The use of less than three identifiers presents a risk of misidentification.</p>	<b>Major</b>

<b>PFE1 The premises are secure and well maintained and safeguard the dignity of the deceased and the integrity of human tissue.</b>		
a) The premises are clean and well maintained	<p>i) The drains in the body store area have not been cleaned effectively and were dirty at the time of the inspection. In addition, there are items of equipment in the mortuary that have wooden surfaces meaning that they are difficult to clean and disinfect adequately.</p> <p>ii) Areas of the body store are showing signs of wear and require maintenance:</p> <ul style="list-style-type: none"> <li>• the skirting board in the body store is damaged; and</li> <li>• there are several small areas of peeling paint on the walls and ceiling of the body store.</li> </ul>	<b>Minor</b>
b) There is demarcation of clean, dirty and transitional areas of the mortuary, which is observed by staff and visitors	A trolley from the PM room is wheeled into the body store area to transfer bariatric and high-risk bodies into the PM room for PM examination and then back into the body store area for storage. The body store area is considered to be a clean zone and the PM room is considered to be a dirty zone. Although the body store area is cleaned daily, staff do not clean or decontaminate the floor of the body store area after the trolley is wheeled through this area from the PM room. This situation presents a risk of cross-contamination.	<b>Major</b>



c) There are documented cleaning and decontamination procedures and a schedule of cleaning	There is no documented cleaning schedule for the PM room, body store area or fridges and freezers.	<b>Minor</b>
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<b>PFE2 There are appropriate facilities for the storage of bodies and human tissue.</b>		
e) Fridge and freezer units are alarmed and the alarms are tested regularly to ensure that they trigger when temperatures go out of upper or lower set range	<p>i) There is no formal system of testing the fridge and freezer temperature alarms. Staff do not manually challenge the alarms on a regular basis and although security staff test the alarms each week, this is not recorded.</p> <p>ii) There is no lower alarm trigger point for if the fridge temperature goes below the acceptable range.</p>	<b>Major</b>
f) Temperatures of fridges and freezers are monitored on a regular basis	The fridge in the PM room for the storage of forensic, toxicology and historic samples is not temperature monitored or connected to a temperature alarm.	<b>Minor</b>
g) Bodies are shrouded or in body bags whilst in storage	At the time of the inspection, not all bodies were fully shrouded.	<b>Minor</b>

<b>PFE3 Equipment is appropriate for use, maintained, validated and where appropriate monitored</b>		
c) The ventilation system provides the necessary ten air changes per hour and is checked and maintained at least annually	The establishment could not provide service records to evidence that the PM room ventilation system meets the required standard and is maintained at least annually.	<b>Major</b>
f) Key items of equipment, including fridges/freezers, trolleys and post mortem tables (if downdraught) are subject to regular maintenance and records are kept	The establishment could not provide service records for key items of mortuary equipment, including the fridges, freezers and trolleys.	<b>Minor</b>

## Advice

The HTA advises the DI to consider the following to further improve practice:

No.	Standard	Advice
1.	GQ1(g)	The DI is advised to consider appointing a Persons Designated in the mortuary to help oversee licensed activities and report HTARIs in the absence of the DI.
2.	GQ1(h)	<p>The DI may wish to consider inviting representatives from the two Councils with responsibility for the mortuary to governance meetings relating to HTA-licensed activities.</p> <p>The DI is also advised to include incidents as a standing item on the agenda for governance meetings. This will help to ensure that staff are aware of the types of incidents that must be reported to the HTA and encourage learning from incidents.</p>

3.	GQ3(a)	The DI is advised to include details of the HTA licence and training in the requirements of the HT Act and HTA codes of practice as part of the induction and training for staff working in the mortuary. This will help to raise awareness of the requirements of the HT Act and the establishment's arrangements for governance of the licence.
4.	GQ3(e)	The DI is advised to review the training for mortuary staff to ensure that they are provided with opportunities for training and development, as appropriate. In addition, the DI is advised to review staff appraisals and development plans to determine if training needs have been identified.
5.	PFE2(c)	The DI is advised to strengthen procedures for the management of long-stay bodies by initiating communication and follow-up with the relevant parties sooner. In the event that a body cannot be transferred to freezer storage within 30 days, regular checks of the condition of the body should be completed and details of this recorded.

### **Concluding comments**

There are a number of areas of practice that require improvement, including eleven major shortfalls and twelve minor shortfalls.

The HTA requires the DI to submit a completed corrective and preventative action (CAPA) plan setting out how the shortfalls will be addressed, within 14 days of receipt of the final report (refer to Appendix 2 for recommended timeframes within which to complete actions). The HTA will then inform the establishment of the evidence required to demonstrate that the actions agreed in the plan have been completed.

The HTA has assessed the establishment as suitable to be licensed for the activities specified, subject to corrective and preventative actions being implemented to meet the shortfalls identified during the inspection.

**Report sent to DI for factual accuracy: 17 July 2019**

**Report returned from DI: 31 July 2019**

**Final report issued: 7 August 2019**

### **Completion of corrective and preventative actions (CAPA) plan**

Based on information provided, the HTA is satisfied that the establishment has completed the agreed actions in the CAPA plan and in doing so has taken sufficient action to correct all shortfalls addressed in the Inspection Report.

**Date: 13 July 2020**

## Appendix 1: HTA licensing standards

The HTA standards applicable to this establishment are shown below; those not assessed during the inspection are shown in grey text. Standards that are not applicable have been excluded.

<b>Consent</b>
<b>C1 Consent is obtained in accordance with the requirements of the Human Tissue Act 2004 (HT Act) and as set out in the HTA's codes of practice</b>
<p>a) There is a documented policy which governs consent for post-mortem examination and the retention of tissue and which reflects the requirements of the HT Act and the HTA's Codes of Practice.</p> <p>b) There is a documented standard operating procedure (SOP) detailing the consent process.</p> <p><i>Guidance</i></p> <p><i>This should include who is able to seek consent, what training they should receive, and what information should be provided to those giving consent for post-mortem examination. It should make reference to the use of scanning as an alternative or adjunct to post-mortem examination.</i></p> <p>c) There is written information for those giving consent, which reflects the requirements of the HT Act and the HTA's codes of practice.</p> <p><i>Guidance</i></p> <p><i>Information on consent should be available in different languages and formats, or there is access to interpreters/translators. Family members should be given the opportunity to ask questions.</i></p> <p>d) Information contains clear guidance on options for how tissue may be handled after the post-mortem examination (for example, repatriated with the body, returned to the family for burial/cremation, disposed of or stored for future use), and what steps will be taken if no decision is made by the relatives.</p> <p>e) Where consent is sought for tissue to be retained for future use, information is provided about the potential uses to ensure that informed consent is obtained.</p> <p>f) The deceased's family are given an opportunity to change their minds and it is made clear who should be contacted in this event and the timeframe in which they are able to change their minds.</p> <p>g) The establishment uses an agreed and ratified consent form to document that consent was given and the information provided.</p> <p><i>Guidance</i></p> <p><i>This may be based on the HTA's model consent form for adult post-mortem examinations</i></p>

*available on the HTA website, or in relation to infants, the resources pack developed by the Stillbirth and neonatal death charity, Sands. The consent forms should record the consent given for the post-mortem examination and for the retention and future use of tissue samples.*

## **C2 Staff involved in seeking consent receive training and support in the essential requirements of taking consent**

There is training for those responsible for seeking consent for post-mortem examination and tissue retention, which addresses the requirements of the HT Act and the HTA's codes of practice.

### *Guidance*

*Refresher training should be available (for example annually).*

Records demonstrate up-to-date staff training.

If untrained staff are involved in seeking consent, they are always accompanied by a trained individual.

Competency is assessed and maintained.

## **Governance and quality systems**

### **GQ1 All aspects of the establishment's work are governed by documented policies and procedures**

- a) Documented policies and SOPs cover all mortuary/laboratory procedures relevant to the licensed activity, take account of relevant Health and Safety legislation and guidance and, where applicable, reflect guidance from RCPATH. These include:
- i. post-mortem examination, including the responsibilities of Anatomical Pathology Technologists (APTs) and Pathologists and the management of cases where there is increased risk;
  - ii. practices relating to the storage of bodies, including long term storage and when bodies should be moved into frozen storage;
  - iii. practices relating to evisceration and reconstruction of bodies;
  - iv. systems of traceability of bodies and tissue samples;
  - v. record keeping;
  - vi. receipt and release of bodies, which reflect out of hours arrangements;
  - vii. lone working in the mortuary;

- viii. viewing of bodies, including those in long-term storage, by family members and others such as the police;
- ix. transfer of bodies internally, for example, for MRI scanning;
- x. transfer of bodies and tissue (including blocks and slides) off site or to other establishments;
- xi. movement of multiple bodies from the mortuary to other premises, for example, in the event that capacity is reached;
- xii. disposal of tissue (including blocks and slides), which ensures disposal in line with the wishes of the deceased person's family;
- xiii. access to the mortuary by non-mortuary staff, contractors and visitors;
- xiv. contingency storage arrangements.

*Guidance*

*SOPs should reflect guidance contained in the HSE's document: Managing the risks of infection in the mortuary, post mortem room, funeral premises and exhumation.*

*Individual SOPs for each activity are not required. Some SOPs will cover more than one activity.*

- b) Procedures on evisceration ensure that this is not undertaken by an APT unless the body has first been examined by the pathologist who has instructed the APT to proceed.
- c) Procedures on body storage prevent practices that disregard the dignity of the deceased.

*Guidance*

*For example, placing more than one body on a tray, placing bodies unshrouded on trays, or storing bodies in unrefrigerated storage should not take place.*

*The family's permission should be obtained for any 'cosmetic' adjustments or other invasive procedures prior to release of bodies, for example, sewing the deceased's mouth to close it or the removal of a pacemaker. It is also good practice to discuss with the family any condition that may cause them distress, for example when viewing or preparing the body for burial, such as oedema, skin slippage or signs of decomposition.*

*If identification of the body is to take place before a post-mortem examination, if available, a Police Family Liaison or Coroner's Officer should have a discussion with the family about the injuries and let them know that reconstruction may be required.*

*However, the Pathologist should see the body without any changes being made, so if there is a need to reconstruct or clean a body before the post-mortem examination, it should be with the agreement of both the Pathologist and the Coroner. In Home Office cases, a viewing cannot normally take place until after the post-mortem examination.*

- d) Policies and SOPs are reviewed regularly by someone other than the author, ratified and version controlled. Only the latest versions are available for use.

- e) There is a system for recording that staff have read and understood the latest versions of these documents.
- f) Deviations from documented SOPs are recorded and monitored via scheduled audit activity.
- g) All areas where activities are carried out under an HTA licence are incorporated within the establishment's governance framework.

*Guidance*

*These areas include maternity wards where storage of fetuses and still born babies takes place, areas where material is stored for research, the Accident and Emergency Department where removal of samples may take place in cases of sudden unexpected death in infancy. There should be an identified Person Designated in areas of the establishment remote from the main premises.*

- h) Matters relating to HTA-licensed activities are discussed at regular governance meetings involving establishment staff.

*Guidance*

*Meeting minutes should be recorded and made available to staff.*

## **GQ2 There is a documented system of audit**

- a) There is a documented schedule of audits.

*Guidance*

*As a minimum, the schedule should include a range of vertical and horizontal audits checking compliance with documented procedures, the completion of records and traceability.*

- b) Audit findings document who is responsible for follow-up actions and the timeframe for completing these.

*Guidance*

*Staff should be made aware of the outcomes of audits and where improvements have been identified.*

- c) Regular audits are carried out of tissue being stored so that staff are fully aware of what is held and why and to enable timely disposal of tissue where consent has not been given for continued retention.

*Guidance*

*Audits of stored tissue should include samples held under the authority of the police, where applicable.*

**GQ3 Staff are appropriately qualified and trained in techniques relevant to their work and demonstrate competence in key tasks**

- a) All staff who are involved in mortuary duties are appropriately trained/qualified or supervised.

*Guidance*

*This includes portering staff, who have responsibility for bringing bodies to the mortuary out of hours and who may not be aware of the potential risks to the deceased during transfer into refrigerated storage, and unqualified mortuary 'assistant' staff.*

*APTs should be trained in reconstruction techniques to ensure that the appearance of the deceased is as natural as possible. APTs should be encouraged to work towards the achievement of the RSPH Level 3 Diploma in Anatomical Pathology Technology.*

- b) There are clear reporting lines and accountability.  
c) Staff are assessed as competent for the tasks they perform.

*Guidance*

*Assessment of competence should include the standard of APTs' reconstruction work.*

- d) Staff have annual appraisals and personal development plans.  
e) Staff are given opportunities to attend training courses, either internally or externally.

*Guidance: attendance by staff at training events should be recorded.*

- f) There is a documented induction and training programme for new mortuary staff.  
g) Visiting / external staff are appropriately trained and receive an induction which includes the establishment's policies and procedures.

*Guidance*

*The qualifications of locum staff should be checked prior to them commencing work in the mortuary and their competency to undertake each task should be assessed.*

*Contractors, visiting and temporary staff and funeral service staff bringing bodies out of hours should be required to read relevant standard operating procedures and sign to confirm their understanding.*

**GQ4 There is a systematic and planned approach to the management of records**

- a) There is a system for managing records which includes which records must be maintained, how they are backed up, where records are kept, how long each type of record is retained and who has access to each type of record.

*Guidance*

*Records include mortuary registers, PM examination records, tissue retention forms and*

*records of transfer and return of organs/tissue sent elsewhere for examination.*

- b) There are documented SOPs for record management which include how errors in written records should be corrected.
- c) Systems ensure data protection, confidentiality and public disclosure (whistle-blowing).

#### **GQ5 There are systems to ensure that all untoward incidents are investigated promptly**

- a) Staff know how to identify and report incidents, including those that must be reported to the HTA.

##### *Guidance*

*HTA-reportable incidents must be reported within five days of the date of the incident or date of discovery.*

*Incidents that relate to a failure of hospital staff to carry out end of life care adequately should be reported internally and the incidence of these monitored.*

- b) The incident reporting system clearly outlines responsibilities for reporting, investigating and follow up for incidents.
- c) The incident reporting system ensures that follow up actions are identified (i.e. corrective and preventative actions) and completed.
- d) Information about incidents is shared with all staff to avoid repeat errors.
- e) The establishment adopts a policy of candour when dealing with serious incidents.

#### **GQ6 Risk assessments of the establishment's practices and processes are completed regularly, recorded and monitored**

- a) All procedures related to the licensed activities (as outlined in standard GQ1) are risk assessed on a regular basis.

##### *Guidance*

*Risks to the dignity and integrity of bodies and stored tissue should be covered. The HTA's reportable incident categories provide a good basis for risk assessments. Risk assessments should be reviewed at regular intervals, for example every 1-3 years or when circumstances change. Staff should be involved in the risk assessment process.*

- b) Risk assessments include how to mitigate the identified risks. This includes actions that need to be taken, who is responsible for each action, deadlines for completing actions and confirmation that actions have been completed.

##### *Guidance*

*Relevant staff should have knowledge of risks and the control measures that have been taken*



*to mitigate them.*

- c) Significant risks, for example to the establishment's ability to deliver post-mortem services, are incorporated into the Trust's organisational risk register.

## **Traceability**

### **T1 A coding and records system facilitates traceability of bodies and human tissue, ensuring a robust audit trail**

- a) Bodies are tagged/labelled upon arrival at the mortuary.

#### *Guidance*

*The condition and labelling of bodies received in body bags should always be checked and their identity confirmed. They should be labelled on the wrist and/or toe. Body bags should not be labelled in place of the body.*

- b) There is a system to track each body from admission to the mortuary to release for burial or cremation (for example mortuary register, patient file, transport records).

#### *Guidance*

*Body receipt and release details should be logged in the mortuary register, including the date and name of the person who received/released the body and, in the case of release, to whom it was released. This includes bodies sent to another establishment for PM examination or bodies which are sent off site for short-term storage which are subsequently returned before release to funeral service staff.*

- c) Three identifiers are used to identify bodies and tissue, (for example post mortem number, name, date of birth/death), including at least one unique identifier.

#### *Guidance*

*Identification details should not be written on bodies. Where bodies are moved off site for contingency storage the DI should ensure that suitable systems are in place to identify same or similar names.*

- d) There is system for flagging up same or similar names of the deceased.

- e) Identity checks take place each time a body is moved whether inside the mortuary or from the mortuary to other premises.

#### *Guidance*

*Mortuary white boards containing the names of the deceased give potential for error if wiped clean (such as when visitors attend for reasons of confidentiality), and should not be relied upon as the sole source of information about the locations of bodies.*

*Fridge/freezer failures that require bodies to be moved temporarily whilst repairs take place*

*present a risk to traceability. Full identification checks should be made when they are placed back into normal storage.*

- f) There are procedures for releasing a body that has been in long term storage and is therefore not in the current register.
- g) Organs or tissue taken during post-mortem examination are fully traceable, including blocks and slides (including police holdings). The traceability system ensures that the following details are recorded:
  - i. material sent for analysis on or off-site, including confirmation of arrival
  - ii. receipt upon return to the laboratory or mortuary
  - iii. the number of blocks and slides made
  - iv. repatriation with the body
  - v. return for burial or cremation
  - vi. disposal or retention for future use.

*Guidance*

*Consent information which covers retention/disposal of tissues should be made available to the other site, as appropriate.*

- h) There are documented procedures for transportation of bodies and tissue anywhere outside the mortuary, (such as to the lab or another establishment), including record-keeping requirements.

*Guidance*

*Formal written agreements with funeral services are recommended. Coroners usually have their own agreements for transportation of bodies and tissue; however, documentation for traceability purposes must still be maintained by the establishment for these cases.*

**T2 Disposal of tissue is carried out in an appropriate manner and in line with the HTA's codes of practice.**

- a) Tissue is disposed of as soon as reasonably possible once it is no longer needed, such as when the coroner's or police authority over its retention ends or the consented post-mortem examination process is complete.
- b) There are effective systems for communicating with the Coroner's Office, which ensure tissue is not kept for longer than necessary.
- c) Disposal is in line with the wishes of the deceased's family.

*Guidance*

*Organs and tissue returned to the body prior to its release should be contained in clear viscera bags, which prevent leakage, are biodegradable and pose no issues for crematoria in relation to emissions and pollution. Clinical waste bags or household bin bags should not be used for*

*this purpose.*

*Tissue blocks and glass slides should not be placed inside the body for the purpose of reuniting tissues with the deceased. Blocks and slides should be placed in a suitable container and transported with the body should the family wish to delay the funeral until the slides are returned.*

- d) The method and date of disposal are recorded.

## **Premises, facilities and equipment**

### **PFE1 The premises are secure and well maintained and safeguard the dignity of the deceased and the integrity of human tissue**

- a) The premises are clean and well maintained.

#### *Guidance*

*Floors, walls and work surfaces should be of non-porous construction and free of cracks and chips. The premises should be subject to a programme of planned preventative maintenance, which ensures that the premises, facilities and equipment remain fit for purpose.*

- b) There is demarcation of clear, dirty and transitional areas of the mortuary, which is observed by staff and visitors.
- c) There are documented cleaning and decontamination procedures and a schedule of cleaning.
- d) The premises are secure (for example there is controlled access to the body storage area(s) and PM room and the use of CCTV to monitor access).

#### *Guidance*

*Relatives who visit for a viewing should not be able to access the body store area. Security systems and lone working arrangements should take into account viewings which take place out of hours.*

- e) Security arrangements protect against unauthorized access and ensure oversight of visitors and contractors who have a legitimate right of access.

### **PFE2 There are appropriate facilities for the storage of bodies and human tissue**

- a) Storage arrangements ensure the dignity of the deceased.

#### *Guidance*

*Refrigeration of bodies should be at a temperature of approximately 4 degrees Celsius. The optimal operating temperature for freezer storage is around -20 Celsius, +/- 4 degrees.*

- b) There is sufficient capacity for storage of bodies, organs and tissue samples, which takes into account predicated peaks of activity.

*Guidance*

*Capacity should be regularly reviewed, particularly if contingency arrangements are used for an extended period.*

- c) Storage for long-term storage of bodies and bariatric bodies is sufficient to meet needs.

*Guidance*

*There should be sufficient frozen storage for the long-term storage of bodies; the HTA advises that bodies should be moved into frozen storage after 30-days in refrigerated storage if there is no indication they are soon to be released or further examined, or before, depending on the condition of the body. Where there is insufficient freezer storage to meet needs, there should be arrangements with other establishments, or other contingency steps, to ensure that bodies can be stored appropriately.*

*Bodies in long-term storage should be checked regularly; this should include confirmation of their identity and the reason for their continued storage.*

*Where new fridges are installed, these should measure 24"-26" in width and consideration should be given to the proportion that should be larger to accommodate bariatric bodies.*

- d) Fridge and freezer units are in good working condition and well maintained.
- e) Fridge and freezer units are alarmed and the alarms are tested regularly to ensure that they trigger when temperatures go out of upper or lower set range.
- f) Temperatures of fridges and freezers are monitored on a regular basis.

*Guidance*

*Temperature monitoring should enable the establishment to identify trends and may mitigate the risk of a possible fridge failure.*

- g) Bodies are shrouded or in body bags whilst in storage.
- h) There is separate storage for infants and babies. If not, special measures are taken for the bodies of infants and babies.
- i) There are documented contingency plans in place should there be a power failure or insufficient numbers of refrigerated storage spaces during peak periods.

*Guidance*

*Where contingency arrangements involve the transfer of bodies to other premises, these should be assessed to ensure that they are suitable and that traceability systems are of the required standard. Stacking bodies on the same fridge tray is not considered suitable practice.*

*Establishments should have documented agreements with any funeral services that they may use for contingency storage. Consideration should be given to whether the funeral service provides contingency storage for other mortuaries. SOPs should address issues such as risk*

assessments and same/similar name systems.

*The hire of temporary storage units should not be the sole contingency arrangement for an establishment. Establishments should put in place other formally agreed arrangements for contingency storage. Where the hire of temporary storage facilities*

*forms part of establishments' contingency arrangements, consideration should be given well in advance and steps taken to ensure availability of funds, and of units for hire.*

*Establishments should consider entering in to Mutual Aid Agreements*

*with neighbouring organisations in order that they can provide and obtain support during periods of capacity shortages.*

**PFE3 Equipment is appropriate for use, maintained, validated and where appropriate monitored**

a) Items of equipment in the mortuary are in a good condition and appropriate for use:

- i. fridges / freezers
- ii. hydraulic trolleys
- iii. post mortem tables
- iv. hoists
- v. saws (manual and/or oscillating)

*Guidance*

*Equipment should be made of material that is easy to clean, impervious, non-rusting, non-decaying and non-staining.*

b) Equipment is appropriate for the management of bariatric bodies.

c) The ventilation system provides the necessary ten air changes per hour and is checked and maintained at least annually.

*Guidance*

*COSHH requires a thorough examination of the ventilation system at 14-month intervals, and sets out what the examination should cover.*

d) Staff have access to necessary PPE.

*Guidance*

*Where face masks should be worn, they should be face fitted.*

e) Where chemicals are used for preservation of tissue samples, there is adequate ventilation.

f) Key items of equipment, including fridges/freezers, trolleys and post mortem tables (if downdraught) are subject to regular maintenance and records are kept.

*Guidance*

*This includes fridges in Maternity where fetuses or still born babies are stored prior to examination. Maintenance records may be held by the mortuary or centrally by the Trust, such as the Estates Department. They should be available for review during inspection by the HTA.*

## Appendix 2: Classification of the level of shortfall

Where the HTA determines that a licensing standard is not met, the improvements required will be stated and the level of the shortfall will be classified as 'Critical', 'Major' or 'Minor'. Where the HTA is not presented with evidence that an establishment meets the requirements of an expected standard, it works on the premise that a lack of evidence indicates a shortfall.

The action an establishment will be required to make following the identification of a shortfall is based on the HTA's assessment of risk of harm and/or a breach of the HT Act or associated Directions.

### 1. Critical shortfall:

A shortfall which poses a significant risk to human safety and/or dignity or is a breach of the Human Tissue Act 2004 (HT Act) or associated Directions

*or*

A combination of several major shortfalls, none of which is critical on its own, but which together could constitute a critical shortfall and should be explained and reported as such.

A critical shortfall may result in one or more of the following:

- (1) A notice of proposal being issued to revoke the licence
- (2) Some or all of the licensable activity at the establishment ceasing with immediate effect until a corrective action plan is developed, agreed by the HTA and implemented.
- (3) A notice of suspension of licensable activities
- (4) Additional conditions being proposed
- (5) Directions being issued requiring specific action to be taken straightaway

### 2. Major shortfall:

A non-critical shortfall that:

- poses a risk to human safety and/or dignity, or
- indicates a failure to carry out satisfactory procedures, or
- indicates a breach of the relevant CoPs, the HT Act and other relevant professional and statutory guidelines, or
- has the potential to become a critical shortfall unless addressed

*or*

A combination of several minor shortfalls, none of which is major on its own, but which, together, could constitute a major shortfall and should be explained and reported as such.

In response to a major shortfall, an establishment is expected to implement corrective and preventative actions within 1-2 months of the issue of the final inspection report. Major shortfalls pose a higher level of risk and therefore a shorter deadline is given, compared to minor shortfalls, to ensure the level of risk is reduced in an appropriate timeframe.

### 3. Minor shortfall:

A shortfall which cannot be classified as either critical or major, but which indicates a

departure from expected standards.

This category of shortfall requires the development of a corrective action plan, the results of which will usually be assessed by the HTA either by desk based or site visit.

In response to a minor shortfall, an establishment is expected to implement corrective and preventative actions within 3-4 months of the issue of the final inspection report.

### **Follow up actions**

A template corrective and preventative action plan will be sent as a separate Word document with both the draft and final inspection report. You must complete this template and return it to the HTA within 14 days of the issue of the final report.

Based on the level of the shortfall, the HTA will consider the most suitable type of follow-up of the completion of the corrective and preventative action plan. This may include a combination of

- a follow-up site-visit inspection
- a request for information that shows completion of actions
- monitoring of the action plan completion
- follow up at next desk-based or site-visit inspection.

After an assessment of your proposed action plan you will be notified of the follow-up approach the HTA will take.