

Observational Auditor Training

Safe Surgery NZ Programme 2017



THE UNIVERSITY OF
AUCKLAND
Te Whare Wānanga o Tamaki Makaurau
NEW ZEALAND

**MEDICAL AND
HEALTH SCIENCES**



HEALTH QUALITY & SAFETY
COMMISSION NEW ZEALAND
Kupu Taurangi Hauora o Aotearoa

- The auditor's role
- Understanding the terminology
- Understand the rating process
- Apply the rating tool
- Agreement across the group

Participants

- Name
- Specialty
- that other career....

Observational Audit

“Audits involve the systematic evaluation of aspects of health or disability support service delivery by considering measurable indicators of performance and/or quality. “

*Ethical Guidelines for observational studies
National Ethics Advisory Committee
Ministry of Health, NZ, 2012*



Safe Surgery NZ Audit

Auditors will collect 150 'moments'
as trained auditors

- 50 Sign In
- 50 Time Out
- 50 Sign Out

Over a 3 month period



HQSC Checklists

Surgical safety checklist

1

Sign in

Confirm surgeon available

Before induction of anaesthesia, confirm with patient:

- Identity
- Site and side
- Procedure
- Consent

Site marked or not applicable

Does the patient have:

Known allergies?

Difficult airway or aspiration risk?

If yes, is equipment/assistance available?

Risk of >500 ml blood loss recorded

(7 ml/kg in children)?

If yes, are adequate intravenous access and fluids planned?

Anaesthesia safety checklist completed

Check and confirm prosthesis/special equipment to be used

Surgical safety checklist

2

Time out

Before an incision, confirm all team members have introduced themselves by name and role

Surgeon, anaesthetist, and nurse verbally confirm:

- Patient
- Site and side
- Procedure
- Consent
- Any known allergies

Anticipated critical events

Surgeon reviews:

Critical or unexpected steps, operative duration, anticipated blood loss?

Anaesthesia team reviews:

Patient specific concerns?

Has the ASA score been recorded?

Nursing team reviews:

Has sterility (including indicator results) been confirmed?

Are there equipment issues or concerns?

Has antibiotic prophylaxis been given within the last 60 minutes?

Has the plan for VTE prophylaxis during the operation been carried out?

Is essential imaging displayed?

Surgical safety checklist

3

Sign out

Verbally confirm with the team after final count:

- The name of the procedure recorded
- That instrument, needle, sponge and other counts are correct
- How the specimen is labelled (including patient name)
- The plan for ongoing VTE prophylaxis
- Whether there are any equipment problems to be addressed
- Postoperative concerns/plan for recovery and management of this patient

Data Collection Tool

Time out

Time out start time

Was every component of the Time out reviewed? ?

Yes No

Was Time out run by Surgeon?

Yes No

How engaged was the team during the Time out? ?

1
2
3
4
5
6
7

Not supportive
Someone says something like "This is a waste of time."

Not engaged
Key members talk on the phone or to each other during time out. The surgeon says something like "Let's get on with the checklist," but then walks out of the room while it is being administered. Key members continue with preoperative tasks during the Checklist, attempting to multi-task. The registrar occupies self with other activities instead of paying attention.

Supportive
Surgeon or anaesthetist says something like "Thank you, Jane [to checklist reader]. Could everyone pay attention please? This is important."

Engaged
All team members stop other activities and concentrate on the Checklist. Someone asks a question about something that he or she did not understand. Anaesthetist refers to patient chart to verify critical patient information as it is read out.

Small Group Exercise

As a group, share an experience about your involvement with auditing or more specifically with the SSNZ Audit.

- Think about the being involved in the audit process
- Responses in the team

Understanding the Terminology

Definitions

Reliability – the consistency of measurement

- Intra-rater reliability – would the rater give the same score if they saw it again
- Inter-observer reliability -would different raters agree on the score
- Test-retest reliability – would the scores be the same if repeated at a different time (assuming the standard of performance hasn't changed)

Validity

Evidence on validity

Construct validity - the degree to which a test measures what it claims, or purports, to be measuring.

Content validity - depends on the validity of the process of tool development

- Do people / teams you expect to do well score higher than those you expect to do poorly (experts versus novice)?
- Do scores correlate with some other scores that purports to measure the same thing?

Bias

Systematic error in data

- Sampling bias
- Rater bias
- Confirmation bias
- Halo Effect
- Standard setting

Data Collection Tool

<https://safesurgerynz.qualityhub.co.nz/app/index.php/verifylogin>

Time out

Time out start time

Was every component of the Time out reviewed? ?

Yes No

Was Time out run by Surgeon?

Yes No

How engaged was the team during the Time out? ?

1 2 3 4 5 6 7

<p>Not supportive Someone says something like "This is a waste of time."</p> <p>Not engaged Key members talk on the phone or to each other during time out. The surgeon says something like "Let's get on with the checklist," but then walks out of the room while it is being administered. Key members continue with preoperative tasks during the Checklist, attempting to multi-task. The registrar occupies self with other activities instead of paying attention.</p>	<p>Supportive Surgeon or anaesthetist says something like "Thank you, Jane [to checklist reader]. Could everyone pay attention please? This is important."</p> <p>Engaged All team members stop other activities and concentrate on the Checklist. Someone asks a question about something that he or she did not understand. Anaesthetist refers to patient chart to verify critical patient information as it is read out.</p>
---	--

Untrained and trained raters:

No data will be seen by HQSC on the untrained auditor domain!
All data will be only seen privately at the DHB level

Trained auditor – for auditors who have completed this workshop and compared ratings on a number of moments with another rater and agreed

Data can be from different cases. Each moment is entered individually, not linked to a case

Data can be compared between raters for inter-rater reliability

What happens to the data?



Time Out



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the Time Out and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

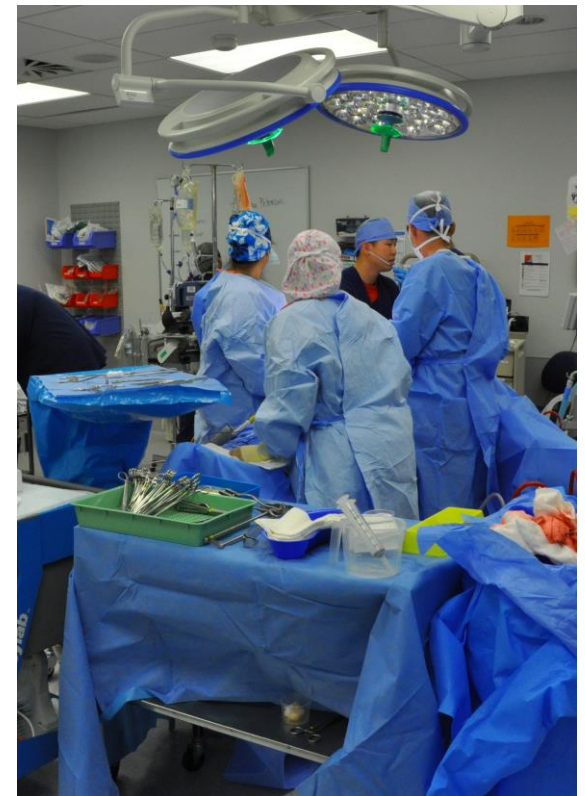
Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Discussion Video using Auditing Instrument

1. Watch the video
2. Chose a number that represents your rating
3. Display the number you would rate this clip
4. Discuss in small groups related to the number then together what prompted you to make the decision



Observational Rating

Rate the Time Out using the tool



Hold up the card that indicates your score



Small Group Discussion



Generate Examples for Rating Descriptors

Definition of a team

- Two people from different disciplines at a Sign In
- Three people from different disciplines at a Time Out
- Three people from different disciplines at a Sign Out

Discussion Video



**MEDICAL AND
HEALTH SCIENCES**

Time-out #12

Time Out



Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the Time Out and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Time Out



Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

1. UNSUPPORTIVE

Someone says something like “This is a waste of time.”

ENGAGEMENT

Key members talk on the phone or to each other during Time Out.

The surgeon says something like “Let’s get on with the checklist,” but then walks out of the room while it is being administered.

Key members continue with preoperative tasks during the Checklist, attempting to multi-task.

The registrar occupies self with other activities instead of paying attention.

7. SUPPORTIVE

Surgeon or anaesthetist says something like “Thank you, Jane [to checklist reader]. Could everyone pay attention please? This is important.”

ENGAGEMENT

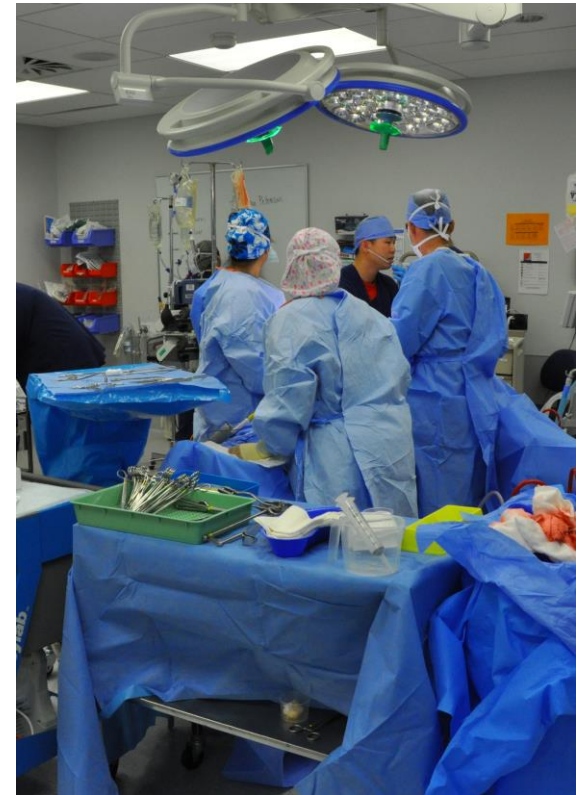
All team members stop other activities and concentrate on the Checklist.

Someone asks a question about something that he or she did not understand.

Discussion

Auditors in action

1. Watch the video
2. Chose a number that represents your rating
3. Display the number you would rate this clip
4. Discuss as a group what prompted you to make the decision



- Videos in sequence: Sign In, Time Out and Sign Out
- Three in each series
- Please don't discuss your rating prior to putting up your number
- Consider quality of the information being shared

Video 1



**MEDICAL AND
HEALTH SCIENCES**

Sign-in #2

Sign In



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the sign in and the absolute minimum of acknowledgement to the leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the sign in. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 2



**MEDICAL AND
HEALTH SCIENCES**

Time Out



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the Time Out and the absolute minimum of acknowledgement to the leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the Time Out. Although there was some response to the leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the leader (and other team members).

Video 3



**MEDICAL AND
HEALTH SCIENCES**

Sign-out #5

Sign Out



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the briefing and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Recap

Introduction to the process

Understanding the role of the
trained auditor

Using the rating tool



Break

Selection Process and sampling

Number of events

Rigorous sampling

Agreed selection process

Reducing Bias

Issues as an Auditor

Introductions in the OR

Hostility

Remaining impartial

A question of why and when to speak up

Video 4



**MEDICAL AND
HEALTH SCIENCES**

Sign-in #1

Sign In



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the sign in and the absolute minimum of acknowledgement to the leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the sign in. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 5



**MEDICAL AND
HEALTH SCIENCES**

Time-out #14

Time Out



Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the briefing and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 6



**MEDICAL AND
HEALTH SCIENCES**

Sign-out #6

Sign Out



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the Sign Out and the absolute minimum of acknowledgement to the leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the Sign Out. Although there was some response to the leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the Sign Out process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Local Auditors

Local Lead – facilitates training, engages OR's, manages auditing numbers

- Who to train and how many
- Selection of OR's and timing
- Training – local training using resources and auditing tool
- Competency – agreed results
- Local calibration

Video 7



**MEDICAL AND
HEALTH SCIENCES**

Sign-in #5

Sign In



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the sign in and the absolute minimum of acknowledgement to the leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the sign in. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 8



**MEDICAL AND
HEALTH SCIENCES**

Time-out #5

Time Out



Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the briefing and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 9



**MEDICAL AND
HEALTH SCIENCES**

Sign-out #1

Sign Out



**MEDICAL AND
HEALTH SCIENCES**

Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the briefing and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Video 10



**MEDICAL AND
HEALTH SCIENCES**

Time-out #9

Time Out



Team Engagement: *All team members participate in the Checklist process in an engaged and attentive manner supportive of the process*

Poor team engagement (score = 1)

Poor engagement from the team. No meaningful engagement during the briefing and the absolute minimum of acknowledgement to the briefing leader.

Average team engagement (score = 4)

Perfunctory engagement by the team: general sense that people were only partly engaged during the briefing. Although there was some response to the briefing leader, anaesthetist and technician were, for example, busy with other activities.

Excellent team engagement (score = 7)

Excellent engagement by the team. All team members stop what they are doing and participate in the briefing process. Team members show intent to engage, maintaining eye contact and engaging with the briefing leader (and other team members).

Wrap Up: Review Evaluations





**MEDICAL AND
HEALTH SCIENCES**

Thank you

Ian Civil icivil@adhb.govt.nz

Kaylene Henderson k.henderson@auckland.ac.nz