



Quality Improvement Division

#### QI TALK TIME

**Building an Irish Network of Quality Improvers** 

# Healthcare Audit for Understanding & Improving 5th June 2018

Connect Improve Innovate

#### Speaker

Speaker: Cora McCaughan MSc (Hons), BSc (Hons), Dip Project Management (With Distinction).

- Member of the Chartered Institute of Ergonomics and Human Factors (UK) and a Member of the Irish Ergonomics Society.
- Assistant National Director for Healthcare Audit within the Quality Assurance and Verification Division of the HSE.
- Chartered Physiotherapist, but she has worked in the area of human factors and system safety for the last 25 years in healthcare and other industries in Ireland, the UK, and in Africa.
- teaches in the areas of systems safety, human factors, and healthcare audit on the RCSI Masters in Human Factors and Patient Safety; and on the RCPI QI Module – "Essential Leadership Skills for New Consultants".
- recently submitted her PhD at the Centre for Innovative Human Systems within the School of Psychology at Trinity College Dublin.



# Healthcare Audit for understanding and improving

QI Talktime Webinar 5<sup>th</sup> of June 2018

Cora McCaughan
Assistant National Director
Healthcare Audit
Quality and Assurance and Verification Division



#### Overview

- 1. Introduction to Healthcare Audit
- 2. Healthcare Audit in the context of the overall healthcare system
- 3. Healthcare Audit for understanding system performance
- 4. Healthcare Audit for driving system improvement



# 1. Introduction to Healthcare Audit



- Established 2010
- Office of the CEO → QCCD → QPS →QID →
   QAVD
- 17 people
- Audit schedule informed by risk information



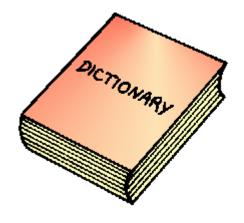
- 2018/19 operational plan include audits spanning acute and community services and relate to key safety issues
- Provides assurance/triggers quality improvement
- Key role in assurance framework



- Identifies good practice for sharing across system.
- Tests the effectiveness of internal controls.
- Provides evidence for signing the statement of internal control.



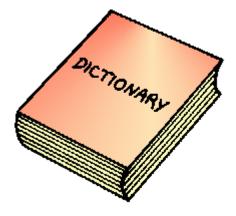
#### Assurance



Confidence that controls are in place based on sufficient evidence and are operating efficiently and that the objectives are being met.



#### **Assurance Audit**



An objective examination of evidence for the purpose of providing an independent assessment on governance, accountability, risk management and control processes within an organisation. Examples may include compliance with a national standard, policy or guideline.



#### What we do:

We audit compliance against clinical and nonclinical standards in both acute and community services.



#### What we DON'T do:

- We <u>do not</u> audit compliance against financial standards
- •We are not clinical audit





# 2. Healthcare Audit in the context of the overall healthcare system



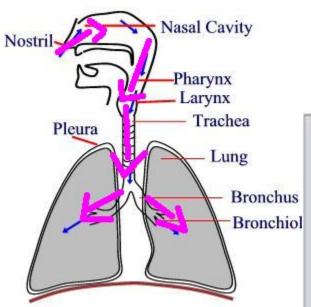


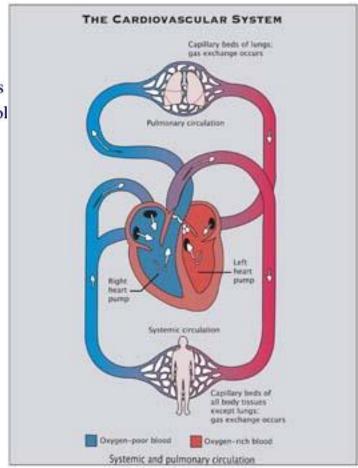
### A System

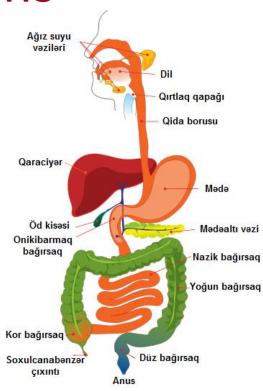
"A system is a perceived whole, whose elements hang together because they continuously affect each other over time, and they work towards a common purpose"

Senge et al., (1994)

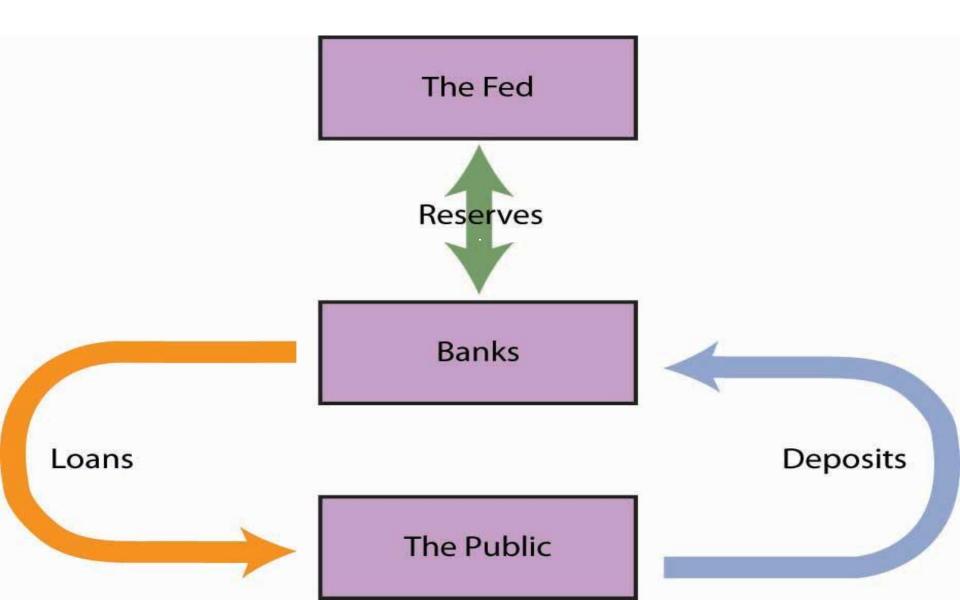
Building a Better Health Service

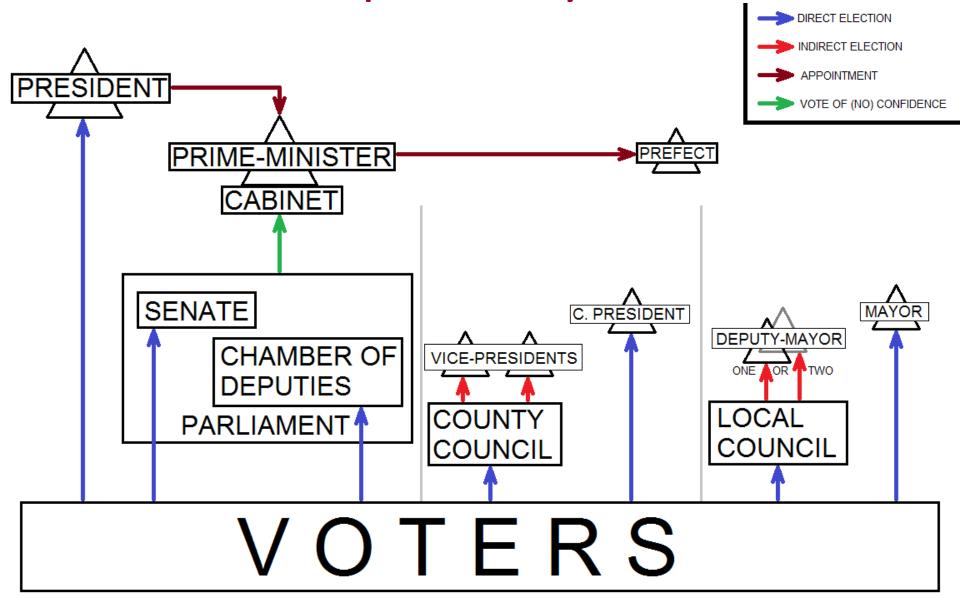


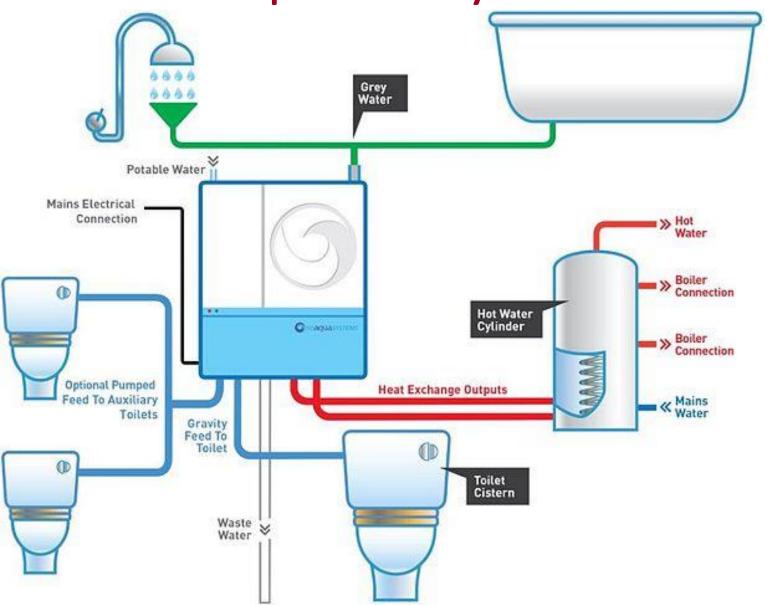












### Some characteristics of systems

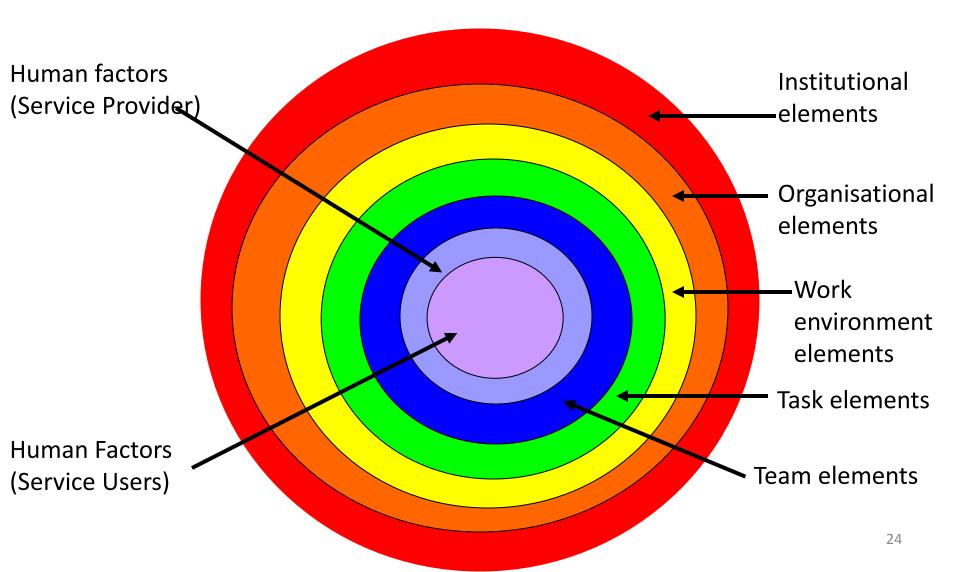
- A system is only as strong as its weakest link
- Elements are interconnected
- The relationship at the boundaries of elements is both challenging and important
- Variation is sometimes good and sometimes bad
- Has the knowledge to solve system problems
- The sum of the whole is greater than the sum of the parts

## Purpose of the HSE

"A healthier Ireland with a high quality health service valued by all" HSE (2018)



### The Health System



Set standard

In relation to each activity or area of interest, identify the

appropriate performance

Take action

measures

(indicators), then

follow these four

steps

performance

Measure

Assess gap

(If any)

# 3. Healthcare Audit for understanding system performance





https://www.hse.ie/eng/about/qavd/audit-service/healthcare-audit.html

	Audit no.	Audit description	Source of Intelligence informing that this is an audit priority				Potential	Service user for	Staff			
Theme			Controls assurance process	Theme from analysis of incident investigations	Theme from analysis of complaint data	Theme from National Patient Experience Survey	Themes from risk management /risk register process	goes to build on local audit services work	rep) voice input to audit possible	voice input to audit possible	Comment	
owns and processes	1	Audit of compliance with HSE National Framework for Developing Policies, Procedures, Protocols and Guidelines (PPPGs) (2016)		Yes				Yes	Yes	Yes	Yes	This will be a stand-alone audit.  A module related to compliance with this framework will be included in all other audits of compliance with HSS PPPGs which were developed from 2017 onwards.
safety structures and	2	Audit of compliance with HSE Open Disclosure Policy (2013)		Yes				Yes	Yes	Yes	Yes	This will be designed as a single audit with a small number of key questions related to each of the 4 key national policies/guidelines for local audit - followed by validation audit of a random sample of sites by the Healthcare Audit (HCA) Team.
		Audit of compliance with HSE integrated Risk Management Framework (2016)	Yes	Yes				Yes	Yes	Yes	Yes	
Corre quality in dipatent		Audit of compliance with HSE Quality and Safety Committees Guidance (2016)	Yes	Yes				Yes	Yes	Yes	Yes	
8		Audit of compliance with HSE incident Management Framework (2018)	Yes	Yes				Yes	Yes	Yes	Yes	
Detecting and ne pooding to publient detectionation	3	Audit of compliance with National Clinical Guideline (NCG) No. 1 - National Early Warning Score (2013), and NCG No. 4 - Irish Matemity Early Warning Score (2014)		Yes				Yes	Yes	Yes	Yes	The therne of detecting and responding to patient deterioration was covered in the HCA 2017/2018 schedule. Significant non-compliance was identified. This
	4	Audit of compliance with NCG No. 5 - Clinical Handover in Matemity Services (2014), and NCG No. 11 - Clinical Handover in Acute and Children's Hospital Services (2015)		Yes	Yes			Yes	Yes	Yes	Yes	continues to be a theme identified through analysis of serious incident investigations. Ongoing/repeat audits will be undertaken within this theme.

# Healthcare Audit for understanding system performance

- 1. Compliance/conformance → assurance
- Non-compliance/non-conformance → focus for quality improvement
- 3. Identify variation
- 4. Identify excellence



Strengths	Weaknesses
Can identify problems	
Can identify and acknowledge good performance	
Can significantly help management control	
Can improve management decision-making	
Makes explicit what is often left implicit	

\*Source: Lime Tree Management Consulting – <u>www.limetreeconsulting.ie</u>

Strengths	Weaknesses
Can identify problems	Doesn't explain their cause
Can identify and acknowledge good performance	
Can significantly help management control	
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Makes explicit what is often left implicit	

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<sup>\*</sup>Source: Lime Tree Management Consulting – <u>www.limetreeconsulting.ie</u>

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Can improve management decision-making	Measurement becomes an end in itself
Makes explicit what is often left implicit	Risk of confusion of science with reality

<sup>\*</sup>Source: Lime Tree Management Consulting – <u>www.limetreeconsulting.ie</u>

#### Set standard

In relation to each activity or area of interest, identify the appropriate performance measures (indicators), then follow these four

Take action

Measure performance

(If any)

Assess gap

steps

# 4. Healthcare Audit for driving system improvement





#### Quality Assurance and Verification Division Healthcare Audit Summary Report

Audit of compliance with the National Ambulance Service (NAS) procedure on appropriate hospital access for suspected stroke

Audit Reference Number: QAV001/2017



SUMMARY REPORT

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Quality Assurance and Verification Division

Healthcare Audit Summary Report

Audit of the Integrated Risk Management Process based on the HSE Integrated Risk Management Policy Audit Reference Number: QAV003/2017

Healthcare Audit Summary Report

Quality Assurance and Verification Division Audit of compliance with reported for the serious of the serious serious the serious serious and serious serio

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(If any)

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# Healthcare Audit for driving system improvement

- 1. Re-audit/repeat audit
- 2. Follow up on implementation of recommendations



#### References

- Health Service Executive. (2018). HSE National Service Plan 2018 (pp. 136): Health Service Executive.
- Morrison, R., BGrommes, P., & McDonald, N. (2009). Knowledge Transformation process: between current and future oprational systems. In N. McDonald & R. Zon (Eds.), HILAS book 6: Innovation: Unpublished.
- Senge, P., Kleiner, A., Roberts, C., Ross, R., & Bryan, S. (1994). *The Fifth Discipline Fieldbook. Great Britain: Nicholas Brealey Publishing*



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Wednesday 20th June: Dr Mark Roberts (Clinical Director N. Ireland's Safety Forum)

**Tuesday 3rd July: Professor Lloyd Provost** (Measurement for improvement)

Thank you from all the team @QITalktime Roisin.breen@hse.ie Noemi.palacios@hse.ie

