



Catalan Clinical Audit
Network for Quality Improvement
in Radiotherapy

Writing the final report: dos & don'ts

Primož Strojan

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Components of the clinical audit

REQUEST
FOR THE AUDIT

REPARATION
FOR THE AUDIT

SITE VISIT:

ENTRANCE BRIEFING

INFRASTRUCTURE (QMS, RS)

PATIENT RELATED PROCEDURES

EQUIPMENT RELATED PROCEDURES

TRAINING PROGRAMMES & RESEARCH

EXIT BRIEFING

REPORT





Reporting on audit findings

- Exit briefing
- Final report
 - full report
 - summary report





Reporting on audit findings

It is essential to take into consideration who the **RECEPIENTS** of the report are.

- The **exit briefing** is for **professionals** who are very familiar with the local situation, have a strong interest in the findings and are acutely aware of what was done
- The **detailed report** is for the **same people** and additional stake holders such as **IAEA staff** and persons who may be able to support recommendations
- The **summary report** is for **national authorities**, administrators and politicians who require a broad picture





Exit briefing

- Essential – typically early afternoon of last audit day
- Audience similar to entrance briefing
 - Staff
 - People who were involved in the audit
 - Representation from senior management
- **First = preliminary feedback to the department**
- Allow at least 90 minutes (if everything is ok this can be shorter...)
- Power point presentation





Exit briefing

- Include feedback from all members of the team
- Include positive and negative findings - detailed and open discussion of ALL the findings
- Be constructive
- Focus on facts
- Avoid value judgments
- Consider local culture
- If measurements have been performed as part of the audit, completed forms (and calculations should be left with the institution)





Exit briefing

USEFUL HEADINGS

- Thanks
- Objective/scope of audit
- Reporting system
- Limitations
- **Presentation of all findings**
- **Benchmarking**
- **Summary – Conclusions – Recommendations**
- Clarification





Exit briefing

SUMMARY

- Need to address any stated purpose of the audit (e.g. if the department would like to expand to new areas of expertise)
- How well does the institution perform?
- Comments on workload and staffing
- Comments on equipment type, quantity and quality





Exit briefing

CONCLUSIONS OF THE AUDIT

- A. The institution is suitable to perform the functions that **comply with the PREDEFINED/INTERNATIONAL/IAEA criteria** for a centre of competence in radiotherapy
- B. The audit team has identified **areas for improvement**, resolvable by the institution
- C. There are underlying **major problems** that cannot be resolved by the institution or without significant resources

B, C



follow-up audits





Exit briefing

A note on Corrective Actions that may be required:

- Determine extent of problem
- Find true causes
- Identify and select solution(s)
- Decide on team for action
- Agree on sequence of implementation





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Exit briefing

RECOMMENDATIONS

MUST BE THE SAME AS IN THE FINAL REPORT!



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Audit report

- **One** report combining findings from all team members
- Two parts:
 - Detailed report
 - Summary report





Audit report

DETAILED REPORT: STRUCTURE

- Well structured
- Clear
- Explicit
- Comprehensive
- Practical recommendations
- Concise



Useful for the participants





Audit report

DETAILED REPORT: STRUCTURE

- Objectives of the audit
- A brief description of audit activities
- Description of the facility (infrastructure, workload)
- Findings and results of the visit
- Benchmarking, if appropriate
- **Conclusions**
- **Recommendations**
- Annexes





Audit report

DETAILED REPORT: OBJECTIVES

- This is the starting point for the report
- Should refer to the QUATRO document
- Needs to include any specific objectives the department or the participants have raised





Audit report

DETAILED REPORT: DESCRIPTION OF AUDIT ACTIVITIES

- Who? (both the auditors and the auditees)
 - When?
 - What?
 - How?
-
- You may want to include any pre-audit activities

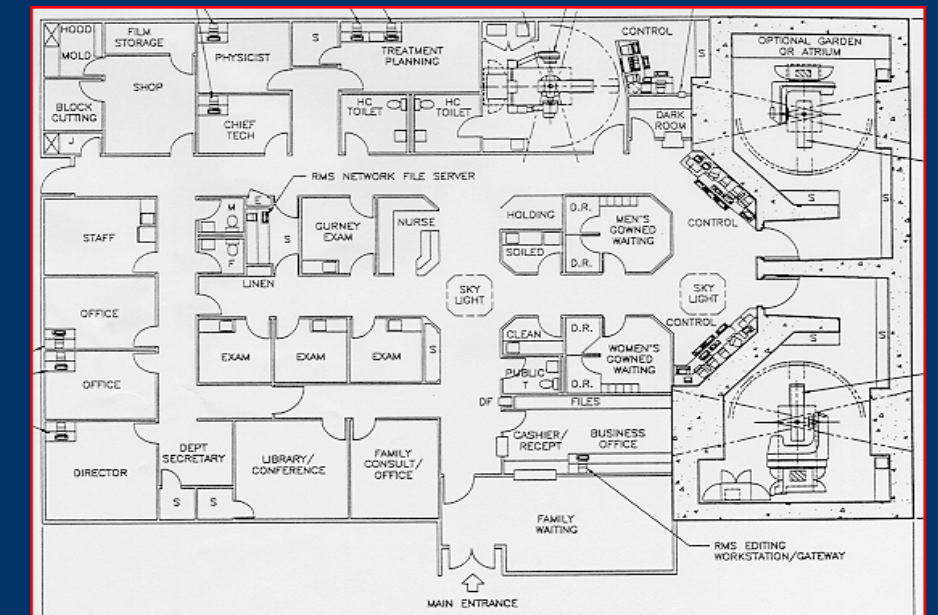




Audit report

DETAILED REPORT: DESCRIPTION OF THE DEPARTMENT

- Location within facility
- Size and layout – a plan is very useful
- What was accessible for the audit
- Major equipment
- Workload
- Staffing





Audit report

DETAILED REPORT: FINDINGS AND RESULTS

- Comments by the auditors:
 - Quality of practice (based on checklists)
 - Appropriateness of staffing (in relation to patient throughput)
 - Type, quality and amount of equipment
 - Quality of patient care
 - Training and education
 - Research activities
- Broader perspective of local radiotherapy organization and culture





Audit report

DETAILED REPORT: FINDINGS AND RESULTS

- Includes both positive and negative findings
- Should be substantiated where ever possible
- Should be put into context





Audit report

DETAILED REPORT: FINDINGS AND RESULTS

- Checklists are useful for this section

CHECKLIST 1. Patient Assessment

Items to be reviewed by the auditor	YES	In progress	NO	N/A
Does the hospital possess an electronic medical record (EMR) system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes, is the radiotherapy department integrated within this system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, does the radiotherapy department have access to all relevant clinical data/records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there an ease of access to patient imaging data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the pathology report included in all patients' files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are patients staged?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Overall Score	Compliant	Partially compliant	Non-compliant
Are the department's premises adequate in the context of the department's objectives and operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commendations/Recommendations			

but extensive data should be Relegated to an appendix





Audit report

DETAILED REPORT: BANCHMARKING (IF APPROPRIATE)

- The auditors may want to provide comparitative data to indicate where a department stands
- This must be in relation to
 - Socio-economic environment
 - Scope of the department
 - Any particular objectives the department may have





Audit report

DETAILED REPORT

The really tricky bit:

- Problems
- Non-compliance/nonconformity
- Safety risks

Must be communicated clearly and without laying blame

The objective is to fix it!





Audit report

CONCLUSIONS OF THE AUDIT

- A. The institution is suitable to perform the functions that **comply with the PREDEFINED/INTERNATIONAL/IAEA criteria** for a centre of competence in radiotherapy
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- C. There are underlying **major problems** that cannot be resolved by the institution or without significant resources

B, C



follow-up audits





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Audit report

RECOMMENDATIONS

QUATRO is not just an **ASSESSMENT** but also an identification of a **WAY FOR IMPROVEMENT**: the centre embarks on a quality improvement cycle



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Audit report

RECOMMENDATIONS

- **As discussed in exit briefing**
- The recommendations should be **realistic** and where ever possible include a **time frame for their implementation**
- The report should identify essential and desirable items





Audit report

RECOMMENDATIONS

- It needs to be clear whom the recommendations are for:
 - Many would be for the **department**
 - Some may be for the **facility administration**
 - There could be recommendations to the **regulatory authority or the local government (IAEA)**
 - There could be recommendations to **professional organisations**
 - There could be recommendations to **contractors** (eg company representatives, maintenance and service staff...)





Audit report

RECOMMENDATIONS

... and there usually are recommendations to the IAEA such as:

- Repeat IAEA TLD audit for such and such a unit
- Sent a brachytherapy expert
- Sent the local medical physicist on a training course for such and such reason
- Consider provision of resources such as a calibrated ionisation chamber
- Follow-up visit ...



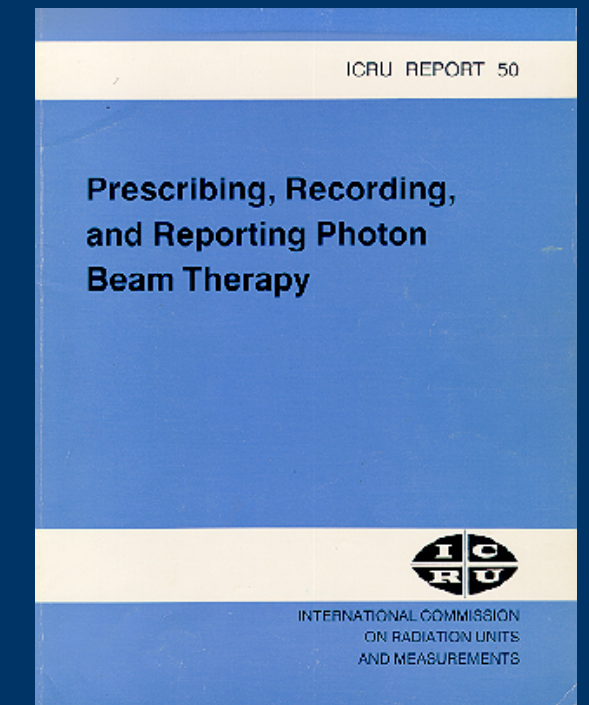


Audit report

DETAILED REPORT

Consider an EXECUTIVE SUMMARY (as a part of full report)

- It is helpful to **summarize** all key findings:
 - Executive people will read at least the summary
 - An executive summary allows to introduce the report quickly





Audit report

SUMMARY REPORT

- Aimed at National Authority of the host country
- Summarizes key findings and recommendations
- Uses language appropriate for the "intelligent lay person"





Audit report

SUMMARY REPORT

- Is a **separate document** with a separate purpose to a different audience
 - Needs to be written with great care
 - Consideration must be given to:
 - benefit to the audited department
 - benefit to the host country
- ➔ possibility that the summary report may form the basis for media releases and/or political actions





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Audit report

SUMMARY REPORT

...is **NOT** the executive summary of the detailed report...



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Audit report

Acknowledgements:

It is good practice to acknowledge **everyone** who contributed to the report or who helped getting the audit on the way





Audit report

- Size depends on complexity of the findings but should not exceed 30 pages (plus appendices if required)
- Draft should be available within 3 weeks after the site visit
- Findings which may require confirmation could be clarified with the department





Audit report

- **Full audit report** - confidential except for clearly designated recipients in the audited institution and the IAEA staff involved
- **Summary report** - national authorities
Essential verifiable facts
Exclude value judgments





Conclusion

- **Audit must be:**
 - Positive
 - Constructive

A well written report is essential step!

