



Catalan Clinical Audit  
Network for Quality Improvement  
in Radiotherapy

# Writing the final report: dos & don'ts

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**CAT·ClinART**



# Components of the clinical audit

REQUEST  
FOR THE AUDIT

REPARATION  
FOR THE AUDIT

## SITE VISIT:

ENTERANCE 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 **RECIPIENTS** 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 stakeholders 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





# Exit briefing RECOMMENDATIONS

**MUST BE THE SAME AS IN THE FINAL REPORT!**





# 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

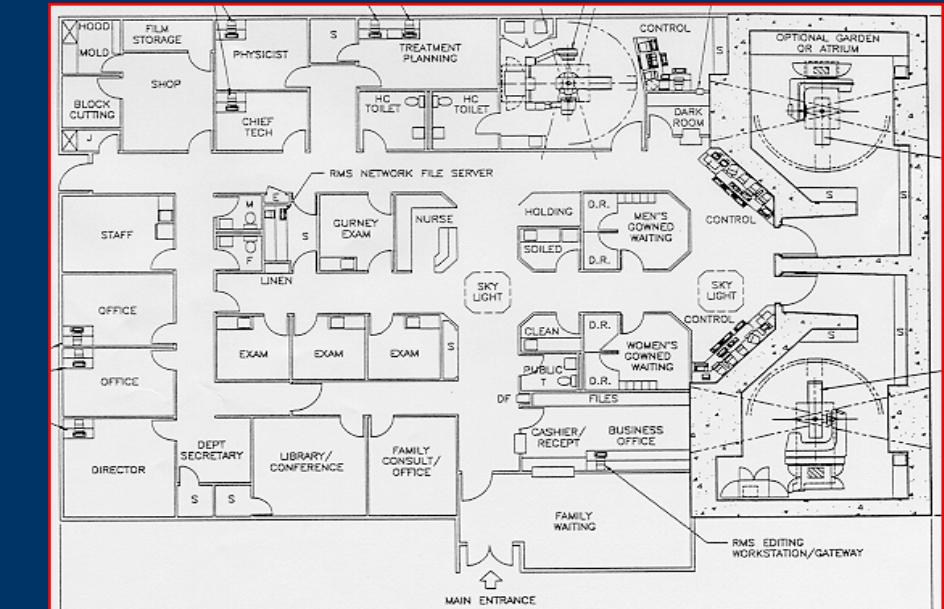




# Audit report

## 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"/>
Comments/Recommendations			

**but extensive data should be  
Relegated to an appendix**





# Audit report

## DETAILED REPORT: BANCHMARKING (IF APPROPRIATE)

- The auditors may want to provide comparative 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
- 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**





# 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





# 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 ...





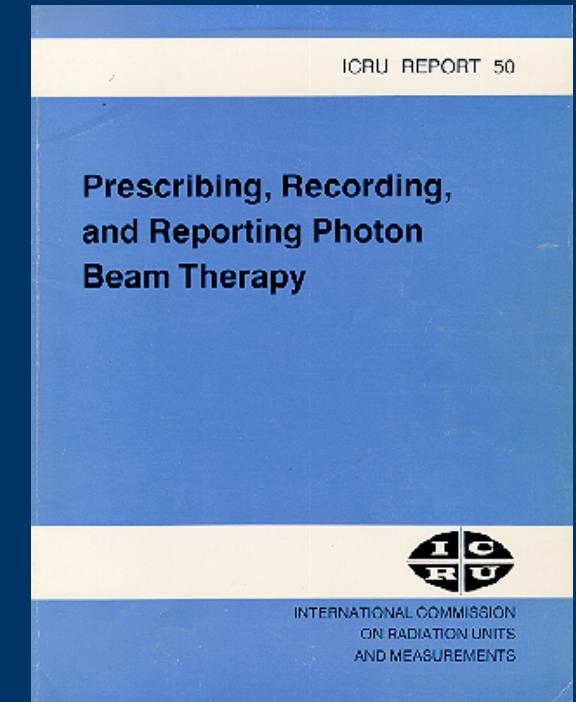
# Audit report

## 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





# Audit report

## SUMMARY REPORT

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





# 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!**

