



Quality Auditing

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Outlines

- + Introduction
- + Definition of an audit
- + Definition of quality audit
- + Definition of nursing audit
- + Quality auditor definition
- + Purpose of an auditing
- + Type of auditing
- + Advantages and disadvantages of auditing and nursing audit
- + Characteristics of an auditing
- + Audit cycle
- + Audit as a tool for quality care
- + Criteria of an auditor & lead auditor
- + Discuss roles and functions of nurse manager for hospital audit
- + Application
- + Reference

Objectives

At the end of this lecture the post graduate students will be able to know:

General objectives

The post graduate student will have knowledge and skills about quality audit

Specific objectives

Define the term of an audit.

- + Define the term of quality audit
- + Define the term of nursing audit
- + Define quality auditor
- + List the purpose of auditing
- + List type of auditing
- + List method of nursing auditing
- + List advantages and disadvantages of auditing and nursing audit
- + Explain characteristics of an auditing
- + Audit cycle
- + Identify audit as a tool for quality care
- + Enumerate criteria of an auditor and lead auditor

✚ Discuss roles and functions of nurse manager for hospital audit

Introduction

Nursing is a service profession rendered by nurses is essential to life and welfare of clients. Therefore the profession as whole should be accountable for the quality care delivered by individual practitioners. Nursing concern for quality of service constitutes the heart of its responsibility to the public. Concern for measurement of quality care provided to patients is not new but acknowledgement that quantitative measurement of quality is possible is relatively recent. There are instrument or tools which have been demonstrated effective for quantitative measurement.

Brief History of Nursing Audit:

Nursing audit is an evaluation of nursing service. Before 1955 very little was known about the concept. It was introduced by the industrial concern and the year 1918 was the beginning of medical audit. **George Groword**, pronounced the term physician for the first time medical audit. Ten years later **Thomas R Pondon MD** established a method of medical audit based on procedures used by financial account. He evaluated the medical care by reviewing the medical records. First report of

nursing audit of the hospital published in 1955. For the next 15 years, nursing audit is reported from study or record on the last decade. The program is reviewed from record nursing plan, nurses' notes, patient condition and nursing care.

Definition

Quality:

Judgment of what constitutes good or bad

Audit

Systematic review and evaluation of records and other data to determine the quality of the services or products provided in a given situation. Audit is the examination or inspection of various books of accounts by an auditor followed by physical checking of inventory to make sure that all departments are following documented system of recording transactions. It is done to ascertain the accuracy of financial statements provided by the organization.

Nursing audit

Nursing audit is defined as the evaluation of nursing care in retrospect through analysis of nursing record. It is a systemic format and written appraisal by nurses of the quality of content and the process of nursing service from the nursing records of the discharged patient.

Quality Audit

Periodic, independent and documented examination and verification of activates records, process and other elements of

quality system to determine conformity with the requirements of a quality standard. A process of systematic examination of a quality system carried out by an external or internal quality auditor or an audit team. It's an important part of an organization's quality management system and is a key element of ISO quality system standards.

Auditor

Is the person who inspects services or product created or delivered by organization to ensure all requirements and standard. Quality auditor usually a part of quality control team, may be a senior of team and tasked with supervised subordinates.

Purposes of Nursing Audit :

- + Evaluating Nursing care given.
- + Achieves deserved and feasible quality of nursing care.
- + Stimulant to better records.
- + Focuses on care provided and not on care provider.
- + Contributes to research.
- + Review of professional work or in other words the quality of nursing care
- + It encourages followers to be actively involved in the quality control process and better records.
- + It clearly communicates standards of care to subordinates.
- + Facilitates more efficient use of health resources

- ✚ Helps in designing response orientation and in services education program.

Types of quality audits

Process audit: This type of audit verifies that processes are working within established limits.

- ✚ It evaluates an operation or method against predetermined instructions or standards to measure conformance to these standards and the effectiveness of the instructions.
- ✚ A process audit may: Check conformance to defined requirements such as time, accuracy, temperature, pressure, composition, responsiveness, amperage, and component mixture.
- ✚ Examine the resources (equipment, materials, people) applied to transform the inputs into outputs, the environment, the methods (procedures, instructions) followed, and the measures collected to determine process performance. Check the adequacy and effectiveness of the process controls established by procedures, work instructions, [flowcharts](#), and training and process specifications.

Product audit: This type of audit is an examination of a particular product or service, such as hardware, processed material, or software, to evaluate whether it conforms to

requirements (i.e., specifications, performance standards, and customer requirements).

System audit: An audit conducted on a management system. It can be described as a documented activity performed to verify, by examination and evaluation of objective evidence, that applicable elements of the system are appropriate and effective and have been developed, documented, and implemented in accordance and in conjunction with specified requirements.

Methods of Nursing Audit:

There are two methods:

- ❖ **Retrospective review:** this refers to an in-depth assessment of the quality after the patient has been discharged, have the patients chart to the source of data. Retrospective audit is a method for evaluating the quality of nursing care by examining the nursing care as it is reflected in the patient care records for discharged patients. In this type of audit specific behaviors are described then they are converted into questions and the examiner looks for answers in the record.
- ❖ **The concurrent review:** this refers to the evaluations conducted on behalf of patients who are still undergoing care. It includes assessing the patient at the bedside in relation to pre-determined criteria; interviewing the staff responsible for this care and reviewing the patient's record and care plan.

Advantages of Nursing Audit:

1. Can be used as a method of measurement in all areas of nursing
2. Seven functions are easily understood.
3. Scoring system is fairly simple.
4. Results easily understood.
5. Assesses the work of all those involved in recording care.
6. May be a useful tool as part of a quality assurance programme in areas where accurate records of care are kept.

Disadvantages of the Nursing Audit:

- + Appraises the outcomes of the nursing process, so it is not so useful in areas where the nursing process has not been implemented.
- + Many of the components overlap making analysis difficult.
- + Require a team of trained auditors.
- + Deals with a large amount of information.
- + Only evaluates record keeping. It only serves to improve documentation, not nursing care.
- + Is time consuming.

Characteristics of Quality Audit

There should be:

- + Written standards of care against which to evaluate nursing care.
- + Evidence that actual practice was measured against such standards, sharing a percent conformance rate.

- ✚ Examination & analysis of findings.
- ✚ Evidence of corrective action being taken.
- ✚ Evidence of effectiveness of corrective action.
- ✚ Appropriate reporting of the audit program.

Process of an Auditing:

❖ Requesting Financial Documents

After notifying the organization of the upcoming audit, the auditor typically requests documents listed on an audit preliminary checklist. These documents may include a copy of the previous audit report, original bank statements, receipts and ledgers. In addition, the auditor may request organizational charts, along with copies of board and committee minutes and copies of bylaws and standing rules.

❖ Preparing an Audit Plan

The auditor looks over the information contained in the documents and plans out how the audit will be conducted. A risk workshop may be conducted to identify possible problems. An audit plan is then drafted.

❖ Scheduling an Open Meeting

Senior management and key administrative staff are then invited to an open meeting during which the scope of the audit is presented by the auditor. A time frame for the audit is determined, and any timing issues

such as scheduled vacations are discussed and handled. Department heads may be asked to inform staff of possible interviews with the auditor.

❖ **Conducting Onsite Fieldwork**

The auditor takes information gathered from the open meeting and uses it to finalize the audit plan. Fieldwork is then conducted by speaking to staff members and reviewing procedures and processes. The auditor tests for compliance with policies and procedures. Internal controls are evaluated to make sure they're adequate. The auditor may discuss problems as they arise to give the organization an opportunity to respond.

❖ **Drafting a Report**

The auditor prepares a report detailing the findings of the audit. Included in the report are mathematical errors, posting problems, payments authorized but not paid and other discrepancies; other audit concerns are also listed. The auditor then writes up a commentary describing the findings of the audit and recommended solutions to any problems.

❖ **Setting Up a Closing Meeting**

The auditor solicits a response from management that indicates whether it agrees or disagrees with problems in the report, a description of management's action plan to address the problem and a projected completion date. At the closing meeting, all parties involved discuss the report and management responses. If there are any remaining issues, they're resolved at this point.

Process of nursing auditing

1-Set the key criteria (item):

It should be measurable against identified value, set standard & in terms of desired patient outcome.

Methods to develop criteria are:

- define patient population.
- identify a time frame work for measuring outcomes of care.
- identify commonly recurring problems presented by the defined patient population.
- State acceptable degree of goal achievement.
- specify the source of information.

2-prepare audit protocol:

Keeping in mind audit objectives, target groups, method of information gathering (by asking, observing or checking records), criterion you are measuring, identify the time framework for measuring outcome of care, identify commonly recurring nursing problems, state acceptable of goal.

3- Design the type of tool:

Quality assurance must be a priority. Those responsible must implement a program not only a tool. A co-coordinator should develop and evaluate quality assurance activities. Roles and responsibilities must be delivered informed about the process and the results of the program. Data must be reliable. Adequate orientation of data collection is essential. Quality data should be analyze and used by nursing personnel at all level.

4- Plan & implement the tool:

What's to be evaluated? Who is going to collect the information? How many sample in the target group? Time period.

5-Recording\Analysis, concluding:

Record the information, analysis the information, makes a summary, compare with set standard, conclusion.

6-Using result:

The results aid to modify nursing care process, including discharge planning, for selected patient outcome, implementing a program for improving documentation of nursing care through improved charting polices, methodologies & forms, focusing of nursing rounds & team conferences. Focusing supervisory attention upon areas of weakness identified, such as one particular nursing unit or specific employees. Designing responsive orientation & in-service education program. Gaining administrative support for making changes in resources, including personnel.

The audit cycle

Stage 1 – preparation:

•Choose a topic: Preferably one which is a high priority for your organization, this may involve areas in which there is a high volume of work, high risks or high costs of care, or an area identified as a priority by patients.

Stage 2 - select criteria: Define the criteria, this should be in the form of a statement – eg , 'All patients with hypertension who smoke should be offered smoking cessation advice'. Define the standard - usually a target (percent optimal one, depending on the clinical scenario).

Stage 3 - measuring level of performance:

- Collect the data:
 - May be from computerized records, manual collection, or both.
 - May be retrospective or prospective.
- Analyze the data collected:
 - Compare actual performance with the set standard.
 - Discuss how well the standards were met:
- If the standards were not met, note the reasons for this (if known).

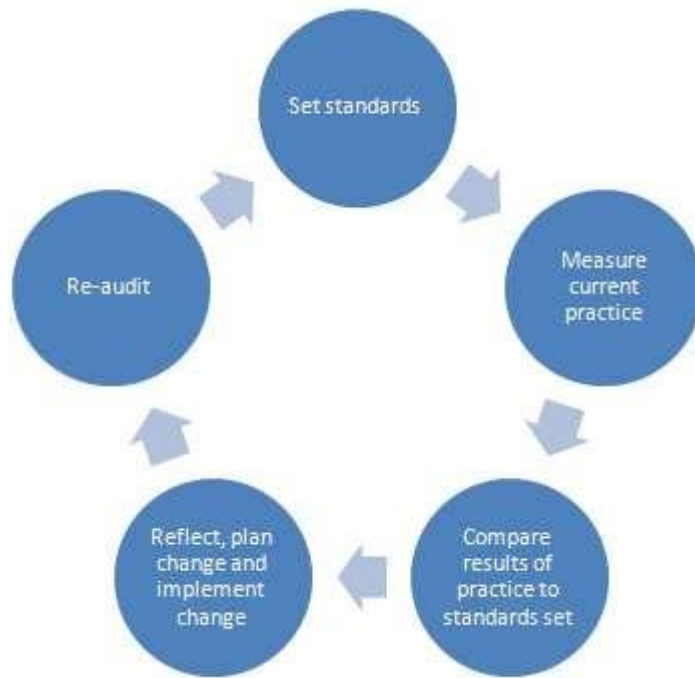
Stage 4 - making improvements:

- Present the results and discuss them with the relevant teams in your organization.
- The results should be used to develop an action plan, specifying what needs to be done, how it will be done, who is going to do it and by when.

Stage 5 - maintaining improvements

- This follows up the previous stages of the audit, to determine whether the actions taken have been effective, or whether further improvements are needed.
- It involves repeating the audit (ie targets, results, discussion); hence the terms 'audit cycle' or 'audit spiral.'

The audit cycle:



Making an Audit schedule

- + List main activities (process).
- + List departments involved with the QMS.
- + Decide what activities to audit in what department.
- + Be sure to include quality relevant supporting activities.
- + Be sure to include ISO system level activities.
- + Check to ensure to coverage of all pertinent activities.
- + Assign individuals or team to perform audit.

Audit as a Tool for Quality Control :

An audit is a systematic and official examination of a record, process or account to evaluate performance. Auditing in health care organization provide managers with a means of applying control process to determine the quality of service rendered. Nursing audit is the process of analyzing data about the nursing process of patient outcomes to evaluate the

effectiveness of nursing interventions. The audits most frequently used in quality control include outcome, process and structure audits.

Outcome audit:

- ✚ Outcomes are the end results of care; the changes in the patient's health status and can be attributed to delivery of health care services.
- ✚ -Outcome audits determine what results if any occurred as result of specific nursing intervention for clients.
- ✚ -These audits assume the outcome accurately and demonstrate the quality of care that was provided.
 - Example of outcomes traditionally used to measure quality of hospital care include mortality, its morbidity, and length of hospital stay

Process audit:

process audits are used to measure the process of care or how the care was carried out.

-Process audit is task oriented and focuses on whether or not practice standards are being fulfilled.

-These audits assumed that a relationship exists between the quality of the nurse and quality of care provided.

3. Structure audit:

Structure audit monitors the structure or setting in which patient care occurs, such as the finances, nursing service, medical records and environment. This audit assumes that a relationship exists between quality care and appropriate structure. These above audits can occur retrospectively, concurrently and prospectively. For the effective quality

control, the nurse manager has to play following roles and functions. The audits most frequently used in quality control include outcome process and structure audits.

Audit as a tool for quality control:

A. Collects patient data in a systematic manner,

1. includes description of patient's pre-hospital routines,
2. has information about the severity of illness,
3. has information regarding lab tests,
4. has information regarding vital signs,
5. Has information from physical assessment etc.

B. States nurses diagnosis,

C. Writes nursing orders,

D. Suggests immediate and long term goals,

E. Implements the nursing care plan,

F. Plans health teaching for patients,

G. Evaluates the plan of care,

Quality auditor

Auditor criteria

Need knowledge and skills in

- Audit principles, procedures and techniques
- Management system includes quality management
- Organizational understanding
- Specific process and product knowledge
- Social interaction

Lead Auditor criteria

Auditor team leader should be able to

- Plan audit
- Effectively communicates with auditor
- Organize and direct audit team
- Lead team in reaching conclusions
- Prevent and resolve conflict
- "Coach" auditors in training
- Consolidate team input and prepares great report

Role and function of nurse manager for hospital audit

- Encourage followers to actively involve in the quality control process.
- Clearly communicates standers of care to subordinates.
- Encourages the setting of high standers to maximize quality instead of setting minimum safety standards.
- Implement quality control proactively instead reactively.
- Uses control as a method of detrainning why goals were not met.
- Is positively active in communicating quality control finding.
- Acts as a role model for followers in accepting responsibility and accountability for nursing action.

Application

1-Stage I: Preparation:

- Involve selection of an auditor team (auditor program manager, the lead auditor, auditor and the client).

- An audit instrument was developed for electronic nursing documentation.

2-StageII: Select criteria:

- conducted at University Hospital, special unit of the coronary care unit (CCU).
- An evaluation form was used in the audit containing entries for 20 patients of one unit for one day's treatment/ visit.
- The form includes evaluation according to the stages of the treatment process.

3-StageIII: Performance:

- patient documentation was evaluated from the nursing perspective, weather the patient's care needs were documented in the care record, the objective, intended helping methods, implementation of nursing care and evaluation.
- assessment was made of weather the patient's need for care and objectives were patient-centered and weather the need, objective and nursing implementation were in relation to each other.
- weather nursing implementation was part of nursing care plan and if the outcome was evaluated in relation to the patient's individual objective.

4-StageIV: Making improvements:

- Present the results and discuss them with the relevant teams in your organization.
- The results should be used to develop an action plan, specifying what - needs to be done, how it will be done, who is going to do it and by when.

5-StageV: Maintaing of improvement:

- This follows up the previous stages of the audit, to determine whether the actions taken have been effective, or whether further improvements are needed.
- It involves repeating the audit (I e targets, results, discussion).

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