



LATVIJAS
UNIVERSITĀTE
ANNO 1919

MF

Medicīnas
fakultāte

Economic, social, cultural and organizational aspects of healthcare

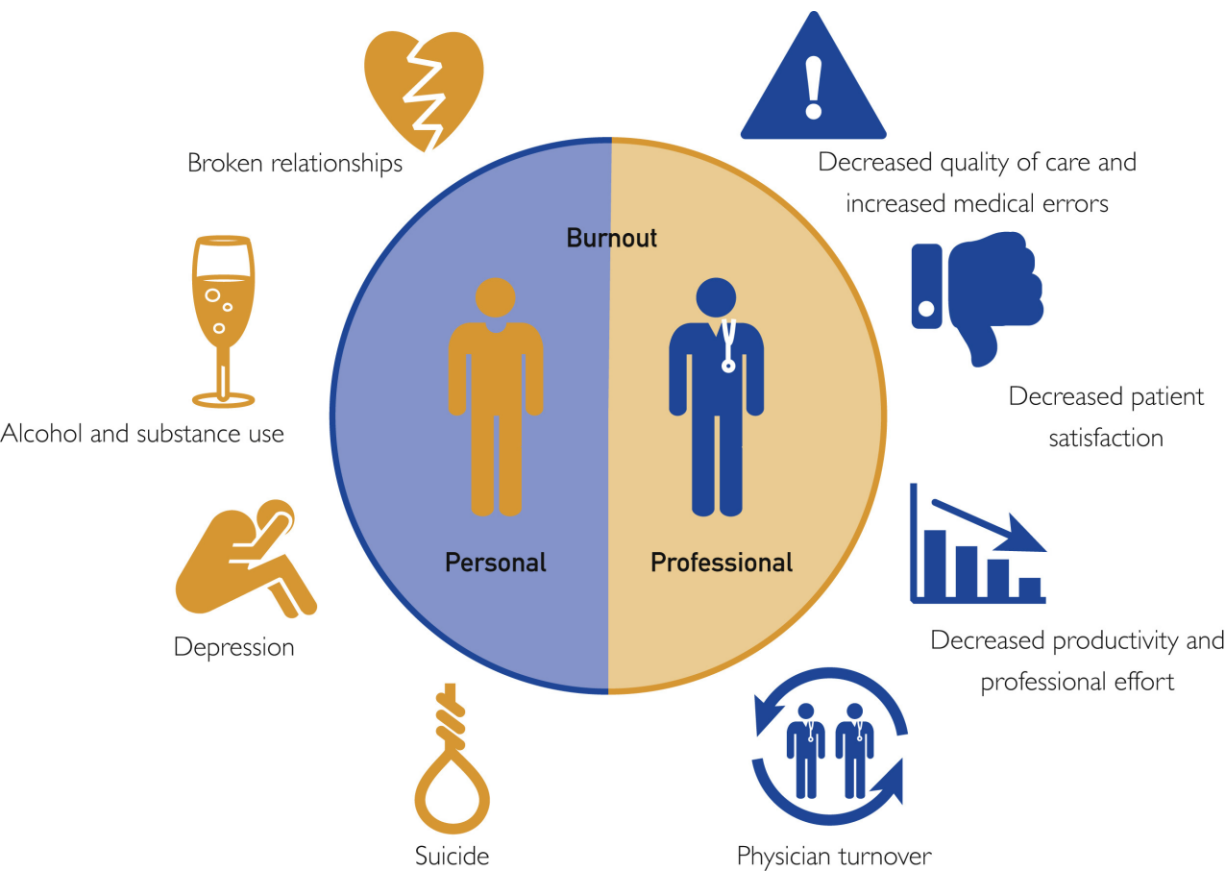
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University of Latvia

Master of Public Health (MPH)

Master of Business Administration

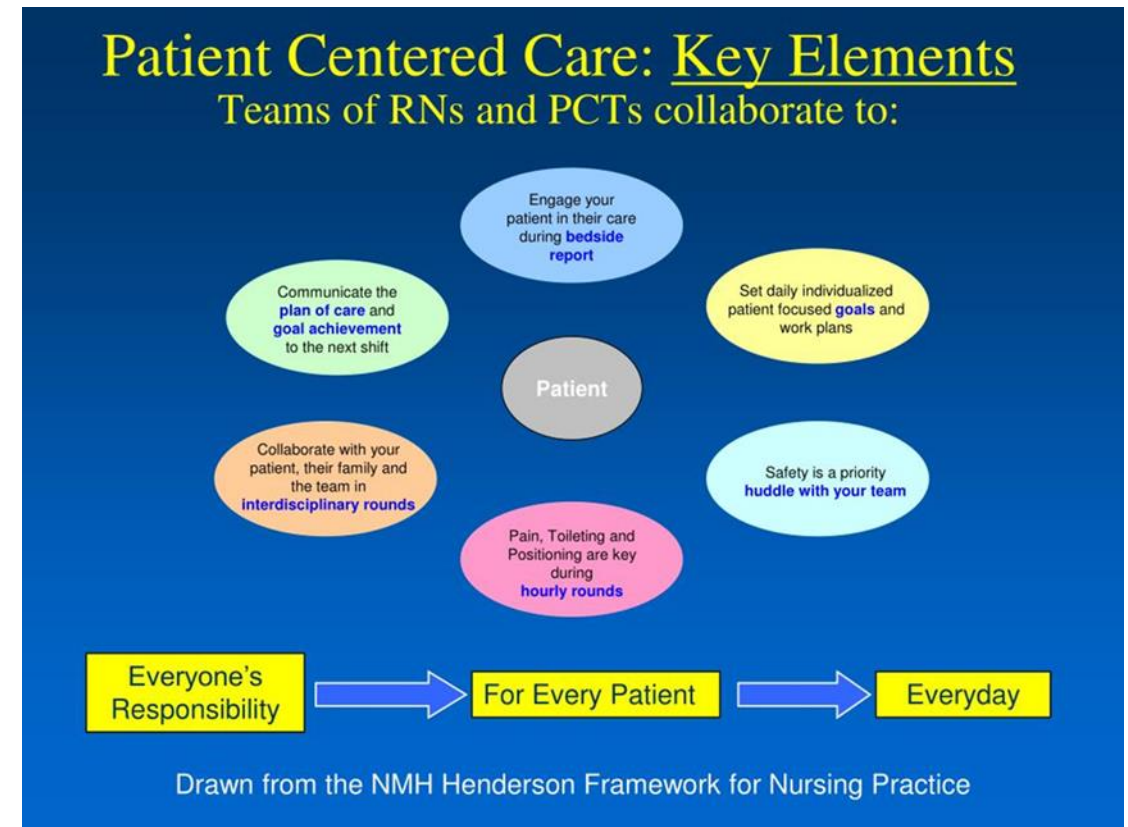
Certified Health Care Management Physician

THE ROLE OF THE PHYSICIANS IN THE ANALYSIS OF ACCIDENTS AND ERRORS



Content of the lecture

- Patient safety culture
- Safe reporting-learning system
- Analysis of various human factors



What happens on the patients' journey...

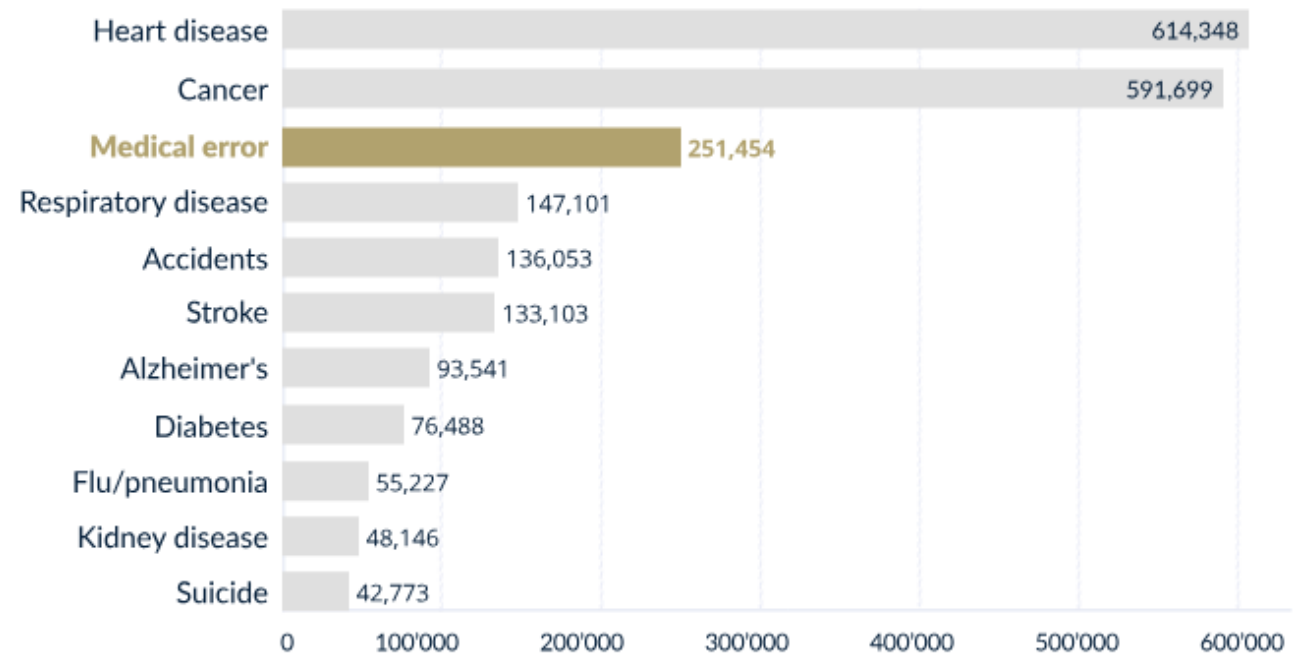
- Injury occurs during treatment in 8-12% of patients
- Inadvertent accidents occur in 3-4% of hospitalizations
- 15% of disease expenditure in OECD countries
- The leading cause of the global disease burden
- 30% increase in “Medical risk fund” expenditures” in Latvia in the last 3 years

L.Slawonski et al “Strengthening a value-based approach to reducing patient harm at the national level.OECD.2017”

Source: <https://www.washingtonpost.com/news/to-your-health/wp/2016/05/03/researchers-medical-errors-now-third-leading-cause-of-death-in-united-states>

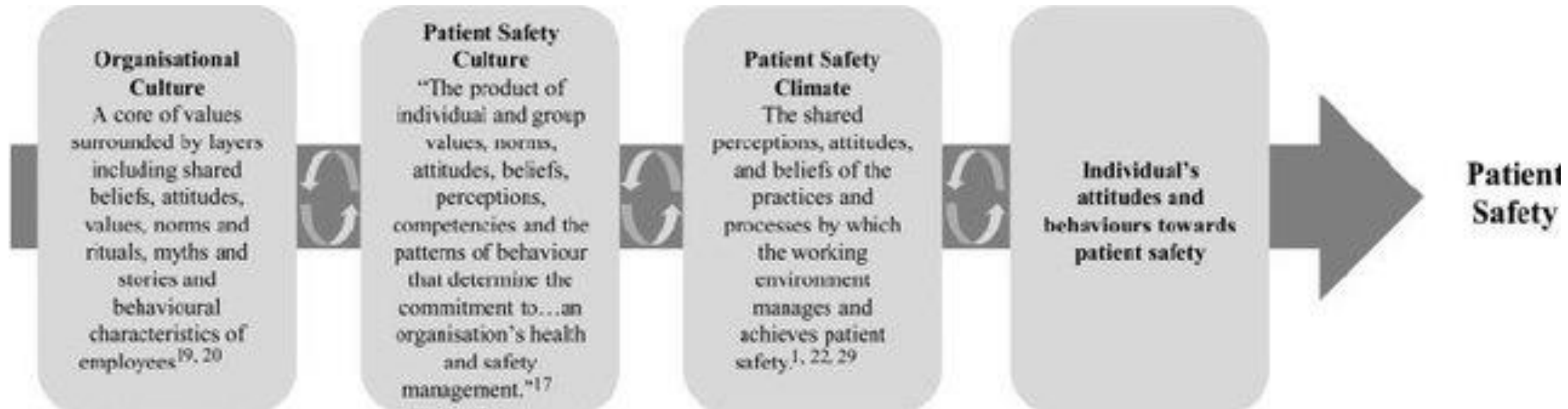
Death in the United States

Johns Hopkins University researchers estimate that medical error is now the third leading cause of death. Here's a ranking by yearly



Culture of patient safety

Morello RT, Lowthian JA, Barker AL, et al Strategies for improving patient safety culture in hospitals: a systematic review BMJ Qual Saf 2013;22:11-18



Basic principles of safe patient care and Elements of safety culture



Basic principles of safe patient care

- 1) revitalization of safe patient care in medical culture
- 2) effective communication and teamwork
- 4) the transition from a culture of blame to a culture of responsibility
- 5) management of different behaviors and behaviors in clinical practice
- 6) informing patients about unforeseen results

Victor J. Dzau

- 7) measuring performance and evaluating progress

E.Palčeja

Elements of safety culture

- **Open culture** - employees feel “comfortable” when discussing security incidents and risks with both colleagues and managers
- Fairness - **honesty** - in case of incidents or listening to problems, treats employees, patients, caregivers honestly, openly, with empathy and tact
 - **Reporting culture** - Employees trust the local reporting system and report to draw managers' attention to adverse events that occur
 - **Learning culture** - the organization is ready to learn from problems, communicate about them with colleagues
 - **Informed culture** - the organization has learned from experience and can identify and mitigate future incidents as it learns from incidents that have occurred

Challenges for patient safety

Visibility - a problem recognized at the individual patient level, often interpreted as a "strange phenomenon" and not related to everyday

Ambiguity

- is the patient dying from a malfunction or a serious medical condition?
- System error or individual error?
- Which side to take?

Complexity

In a hospital as a complex system, anything has an impact on patient safety
It can create a feeling of "tremendous force majeure"

Which aspect of security is more important?

Legislation or equipment, number of employees?

- **Professional autonomy**
- responsibility for the patient

The negative aspect of the positive feature is the unconditional requirement to provide good care



Safety Competencies Framework Domains

“The Safety Competencies” Canadian Patient Safety Institute 2020



- **Patient safety culture** improvement involves recognizing the importance of ongoing collaboration and the commitment to advocate for change
- High-performing **interprofessional teams** demonstrate capabilities and competencies that are essential to efficient, effective, and safe collaborative practice
- **Effective communication** is beneficial to patients and healthcare providers, builds trust, and is a precondition of obtaining patient consent
- Healthcare providers **collect and monitor** performance data to assess risk and improve outcomes
- **Optimizing** the human and environmental factors that support the achievement of best human performance is an essential safety competency for all healthcare providers
- **Open, honest, and empathetic disclosure** and appropriate apologies benefit patients and families, health providers, and their organizations.

What happens on the patients' journey...

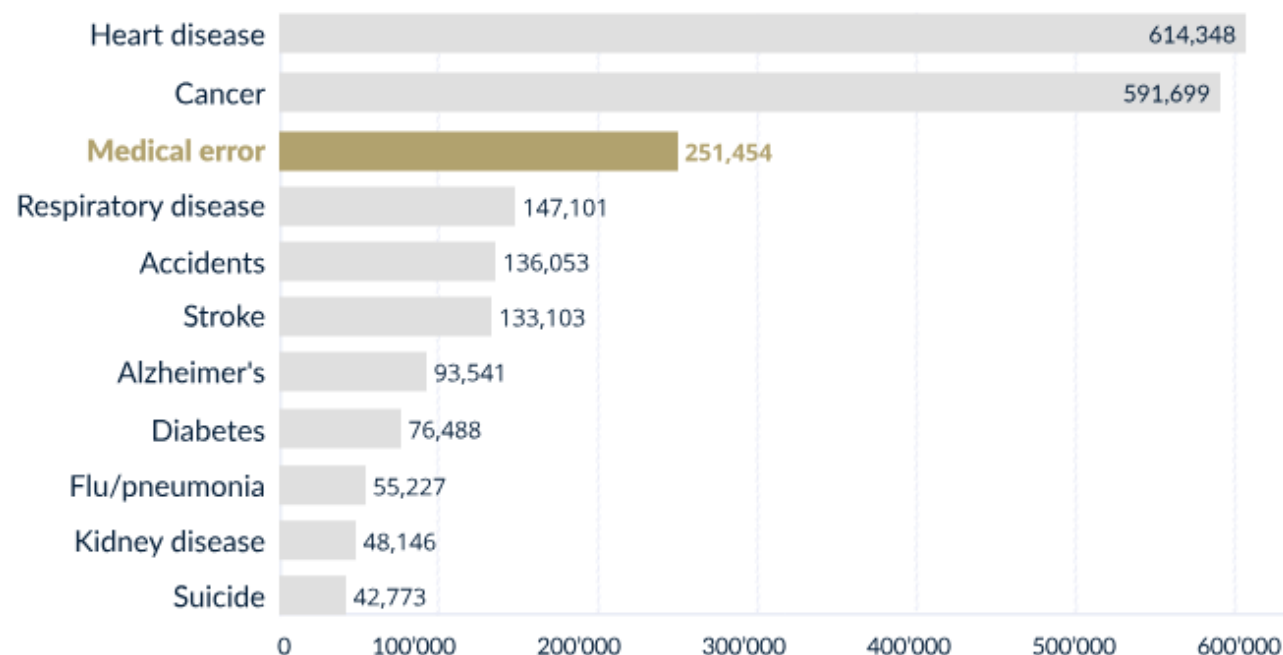
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Death in the United States

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Types of health care mistakes

- Healthcare errors
 - Failure to diagnose / incorrect diagnosis
 - Failure to utilize or act on diagnostic tests
 - Inappropriate use or outmoded diagnostic tests / treatments
 - Failure to monitor or provide follow-up
 - Wrong site surgery, medication errors
 - Transfusion mistakes
 - Nosocomial infections
 - Patients falls
 - Pressure sores
 - Phlebitis associated with intravenous lines
 - Restraint related strangulation
 - Preventable suicides
 - Failure to provide prophylaxis
 - Prescribing errors
 - Administration errors
 - includes failure to monitor drug levels and side effects of treatment



Reasons why clinicians do not report and disclose errors and near misses (Reporting Barriers)



Fear and understanding

Fear

of being blamed for negative patient outcome
other providers will consider provider who made the error incompetent
patients will develop negative attitudes of “telling” on someone else
of adverse consequences from reporting

Understanding

Disagreement with the organizations’ definition of error
Some incidents, i.e., near misses, thought too trivial/unimportant to report
No perceived benefit

Administrative/Management/Organizational

Lack of feedback on reported errors
Persistence of the culture of blame/shame, blaming the individual
Poor match of administrative response to errors with severity of errors
Providers forget to make a report, too busy
Extra work involved in reporting

Secure reporting-learning system

The main elements

Secure reporting means that the employee will not be tricked or punished as a result of reporting and case analysis

non-punitive
confidential
independent
expert analysis
timely
systems-oriented
! responsive





Human factors or ergonomics

- **Clinical human factors** in clinical practice is the improvement of clinical performance by understanding the results of teamwork, tasks, equipment, workplace, culture, organization and human behavior and opportunities, and the application of this knowledge in clinical practice (Catchpole, 2017)
- **Human factors or ergonomics - the interaction between humans and the technical components of a complex system**

Human factor analysis and classification system

- The use of human factor analysis and classification system in practice helps **to see the real causes** that can be influenced
- It is a **way to move away from blaming** people with a systemic approach and responsibility
- Corrective actions **to reduce the recurrence of the accident** in the future can be directed at the employee level
- **Both** at the organizational level - the management of the “human element”, e.g., employee evaluation and training process (including situation simulation in the practical environment)
communication structuring
safe process
provision of human-friendly equipment
room design etc.

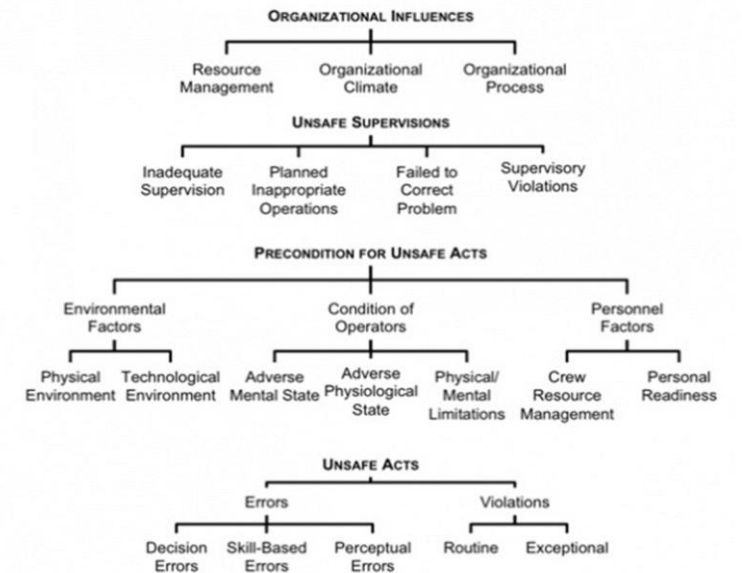
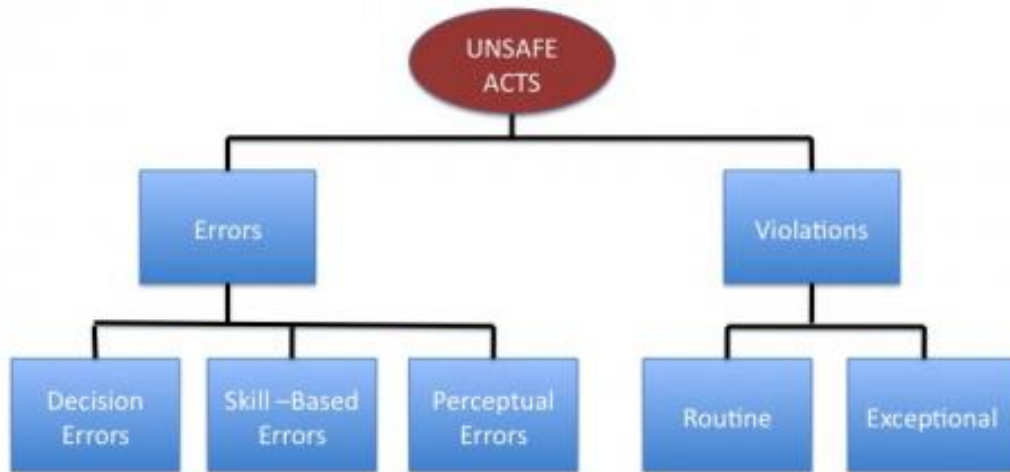
Human factor analysis and classification system



Unsafe acts

Unsafe acts

- Errors
- Violations



Errors

Skill-Based Errors

- Errors which occur in the doctor's execution of a routine, highly practiced task relating to procedure, training or proficiency and result in an unsafe situation (e.g., fail to prioritize attention, checklist error, negative habit)

- **Decision Errors**

Errors which occur when the behaviors or actions of the doctors proceed as intended yet the chosen plan proves inadequate to achieve the desired end-state and results in an unsafe situation (e.g, Faulty assessment of pre-test probability ,overestimating or underestimating disease likelihood)

Both types of error can easily lead to improper testing (too much or too little) and missed diagnoses

- **Perceptual Errors** Errors which occur when an operator's sensory input is degraded, and a decision is made based upon faulty information

Errors

- **The error of decision** occurs when there is a lack of information, knowledge or experience

In essence, information, together with knowledge, skills and experience, is the basis for identifying a situation or what is happening in a particular moment, which may happen in the near future, which also includes the time and environment context in which the situation needs to be understood (situation awareness)

Clinical Decision Making. MSD manual for professionals
<https://www.msdmanuals.com/professional/>

- **Skills-based mistakes**

Skills-based errors occur when a physician misses out on a task that is familiar to him or her

- **Perception error**

Quite often, these mistakes occur when you misread a doctor's prescription or mix a medicine with a similar look or name (sound)

The confusion of the right and the left is also often a mistake of human perception

Errors

Violations

- **Routine Violations:** are often manifested in the fact that certain activities are not performed, even though they are set out in internal guidelines, regulations, etc. c. types of regulations

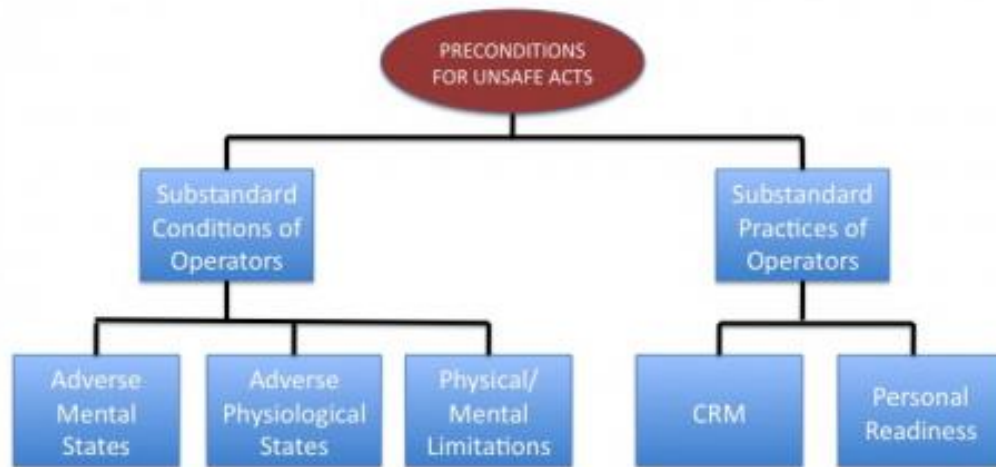
For example, ignoring the principles of hand hygiene in connection with wearing rings or other safety procedures (for example, clinicians do not perform the activities specified in the surgical checklist or do not mark the operation site)

- **Exceptional Violations:** Violations which are an isolated departure from authority, neither typical of the individual nor condoned by management

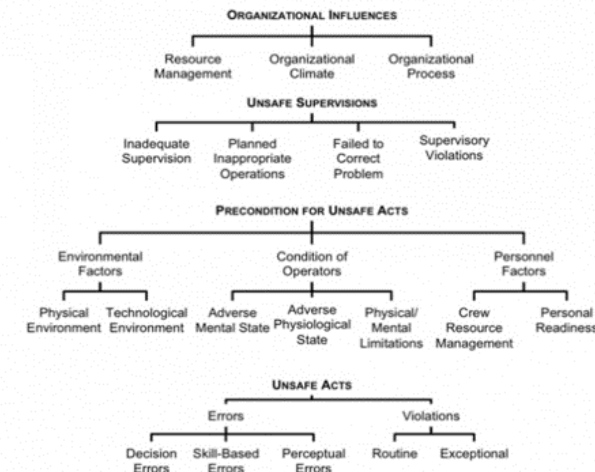
They may be caused by a situation or circumstance (for example, if a doctor starts a transfusion of a whole blood from a colleague in a patient with severe trauma and massive bleeding who cannot expect a blood supply)

Preconditions for Unsafe Acts

- Environmental factors
- Condition of staff
- Personnel factors



Human factor analysis and classification system

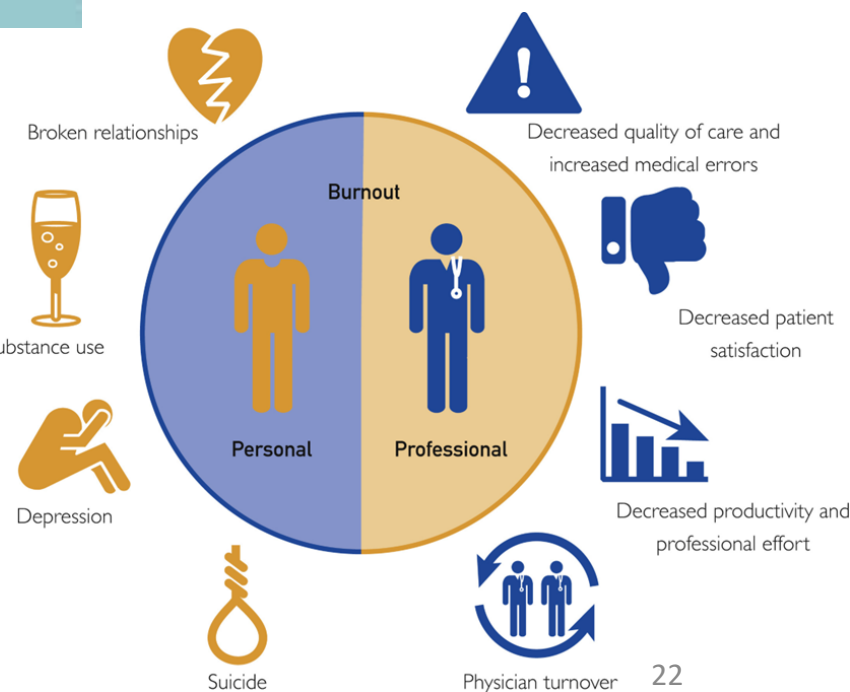




Environmental Factors and Condition of The Medical staff



Pierādīts, ka vairāku uzdevumu vienlaicīga veikšana samazina efektivitāti un veikspēju, jo smadzenes vienlaicīgi spēj koncentrēties tikai uz vienu lietu.



Visi iegūst, atrodoties biroja un koridora vidē, kurā nav trokšņa
Akustikas dēļ par 67% samazināts medikamentu patēriņš

Environmental Factors and Conditions of The Medical staff

Physical Environment

Factors that include both the medical staff setting (e.g., weather, noise, light) and the ambient environment (e.g., heat, vibration, lighting, toxins)

Technological Environment

Factors that include a variety of design and automation issues including the design of equipment and controls, display/interface characteristics, checklist layouts, task factors

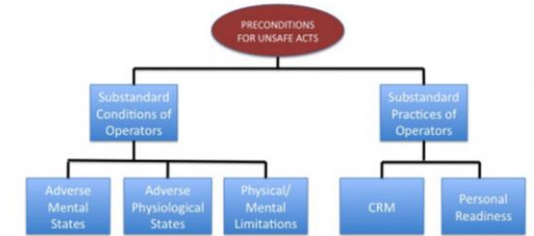
Examples

The level of silence in hospitals should be the same as, for example, in libraries

Not only noise from nearby people or device alarms (especially in intensive care and emergency departments) but also phone calls, text messages or e-mails are noted as interference (Beyea, 2014)

Disruption of work, disruptive behavior is a recognized risk that increases the risk of possible injury or even death to the patient

Multitasking, when several tasks are combined at the same time, significantly increases the number of incidents



Adverse Mental State

Factors that include those mental conditions that affect performance (e.g., stress, mental fatigue, motivation)

Adverse Physiological State

Factors that include those medical or physiological conditions that affect performance (e.g., medical illness, physical fatigue, hypoxia)

Physical/Mental Limitation

The medical staff lacks the physical or mental capabilities (e.g., visual limitations, insufficient reaction time)

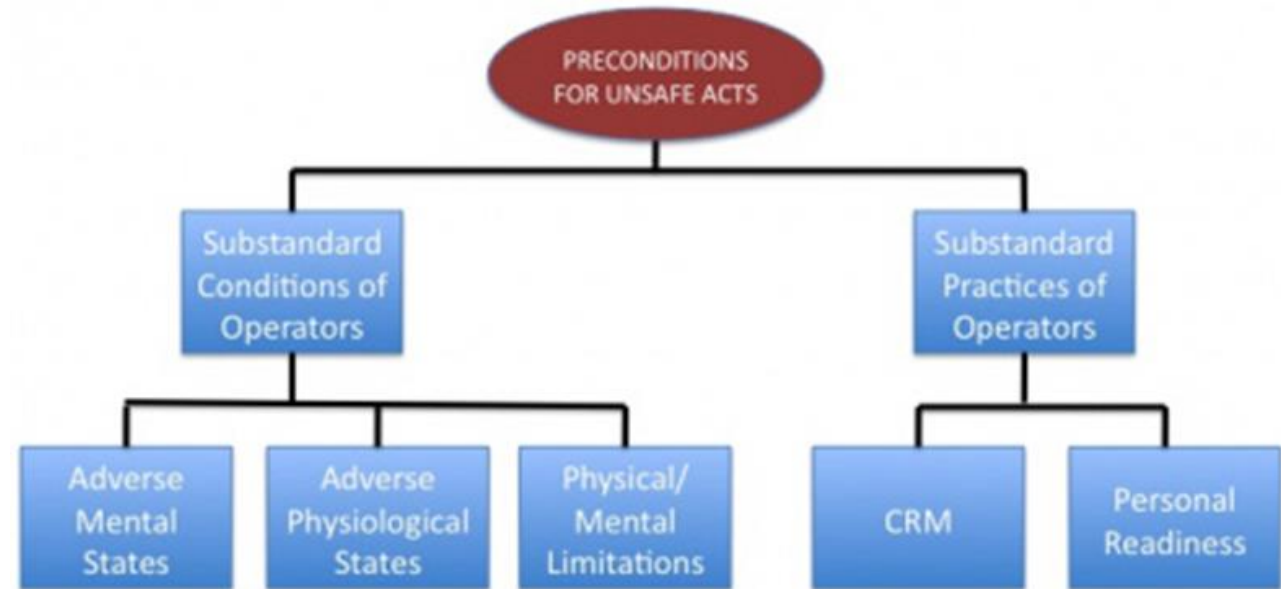
Personnel Factors

- **Crew Resource Management**

Factors that include communication, coordination, planning, and teamwork issues

- **Personal Readiness**

Refers to off-duty activities required to perform optimally on the job such as adhering to crew rest requirements, alcohol restrictions, and other off-duty mandates

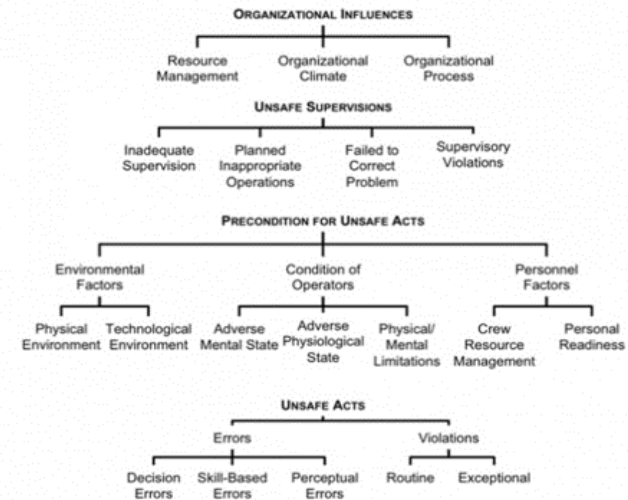


Unsafe Supervision

- Inadequate Supervision
- Plan Inappropriate Operation
- Fail to Correct Known Problem
- Supervisory Violation

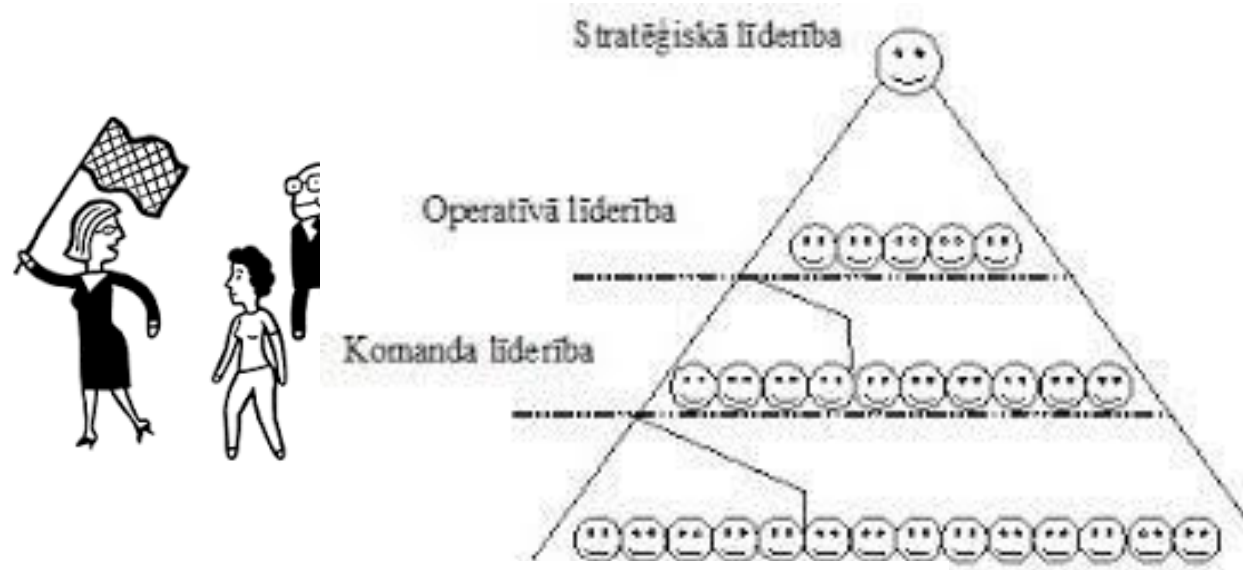


Human factor analysis and classification system



Pārraudzības faktori Līderība Operacionālā plānošana

Neveiksme zināmu eksistējošu problēmu korigēšanā Uzraudzības ētika



Vadības stils

Autoritatīvs

Vadītājs izmanto savu **varu**

Demokrātisks

Darbiniekam tiek uzticētas lielākas **pilnvaras**

<ul style="list-style-type: none"> Tiešs Saka, kas jādara, dod pavēles Nevēlas uz klausīt un saņemt atgriezenisko saiti no citiem 	Kā vada padotos	<ul style="list-style-type: none"> Darbiniekus atbalstošs Dod darbiniekam iespējas Citus rosinošs
Vadītājs pieņem lēmumus pats un paziņo darbiniekiem	Lēmumu pieņemšanas veids	Darbinieki paši tiek iesaistīti pieņemšanā
<ul style="list-style-type: none"> Orientēta uz uzdevumu izpildi Bezpersoniska Vadītājs reizēm iedveš bailes 	Radītā vide, atmosfēra darbā	<ul style="list-style-type: none"> Atvērta, radoša Darbiniekus iedvesmojoša Jūtams komandas gars
<ul style="list-style-type: none"> Piekāpīgs Bez pašiniciatīvas Izpilda to, kas tiek likts 	Vadības stilam atbilstošākais darbinieka tips	<ul style="list-style-type: none"> Ar atbildības sajūtu Aktīvs, pašmotivēts Atvērts jauninājumiem, izmaiņām Ir gatavs uzņemties risku

Cilvēkresursu vadības līmeņi

Cilvēkresursu vadība

Tradicionālā personāla vadība



Uzraudzības ētika pārkāpumi

- Neētiska uzraudzība
- Nerespektē darbiniekus
- Nerespektē kompetences
- Pieņem uz īsu laiku
- Dažiem darbiniekiem privilēģijas

Unsafe Supervision

Leadership is the act of influencing a group of people to work as a team and around a goal

The main pillars of leadership

Personal empowerment

Technical capabilities Knowledge related to the company's field of activity

Poor supervision occurs when department managers, supervisors, nurses, senior specialists do not provide adequate on-the-job training, professional guidance or supervision of staff

Scheduling involves planning work shifts and assigning work tasks to specialists who are not adequately prepared to perform the tasks successfully, e.g. a certified specialist who has just started

Supervisory ethics violations

Unethical supervision

Disrespect for staff

Does not respect competencies

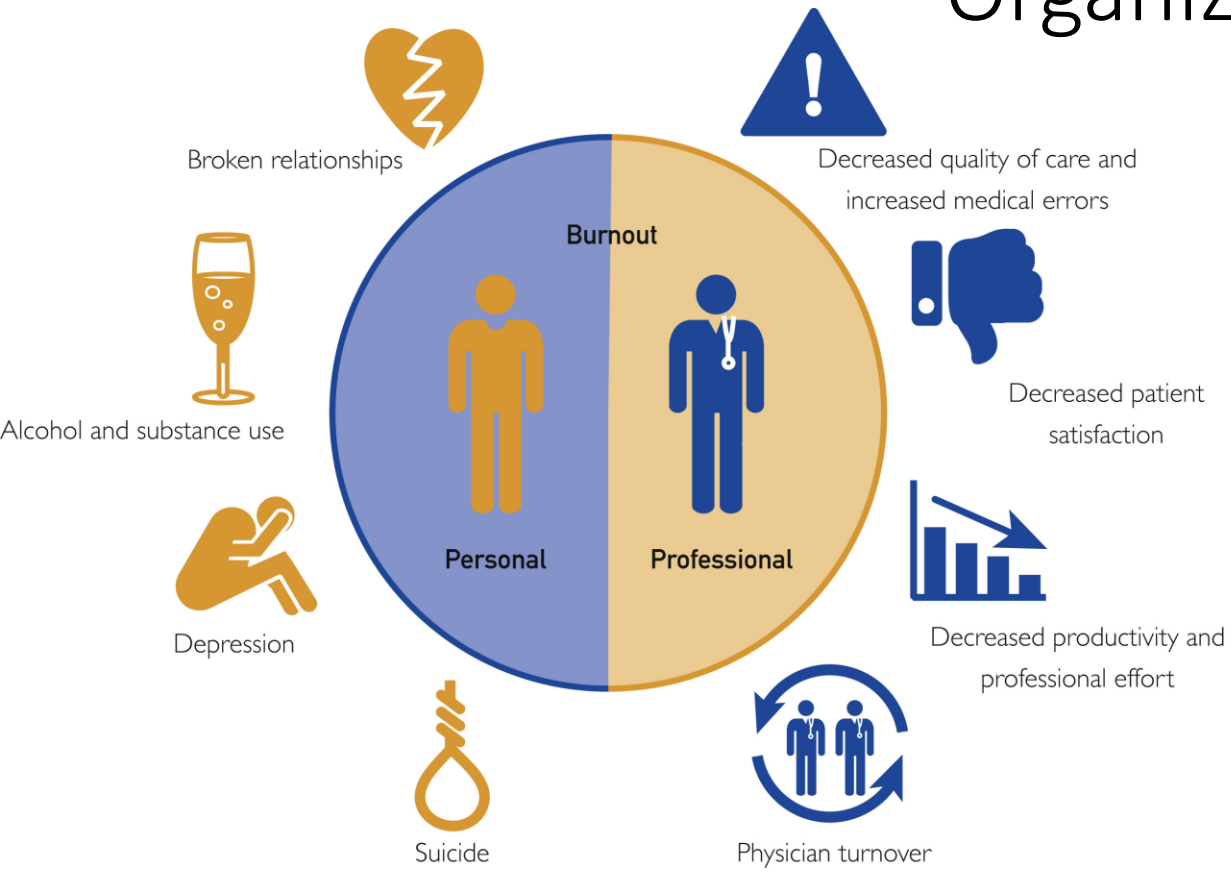
Short-term of employing

Privileges some staff

Without adequate supervision or motivation, staff may continue to 'do things the old way' or follow intuition rather than established treatment and care algorithms or guidelines



Organizational influences



Organizational influences

Human factor analysis and classification system



- **Resource Management**

The organizational-level decision-making regarding the allocation resources (e.g., human resources, monetary/budget resources, equipment/facility recourse)

- **Organizational Climate:**

The working atmosphere within the organization (e.g., structure, policies, culture)

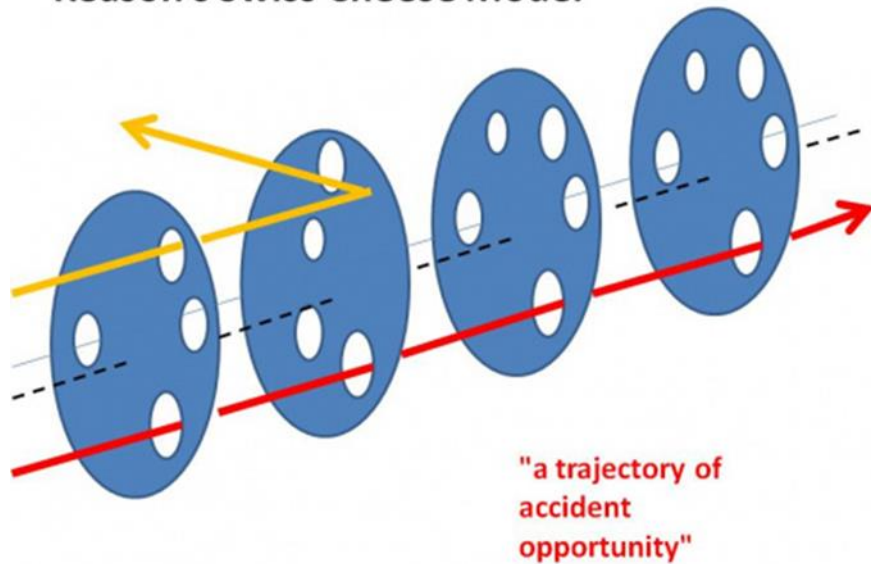
- **Operational Process:**

Organizational decisions and rules that govern the everyday activities within an organization (e.g., operations, procedures, oversight)

The root cause analysis

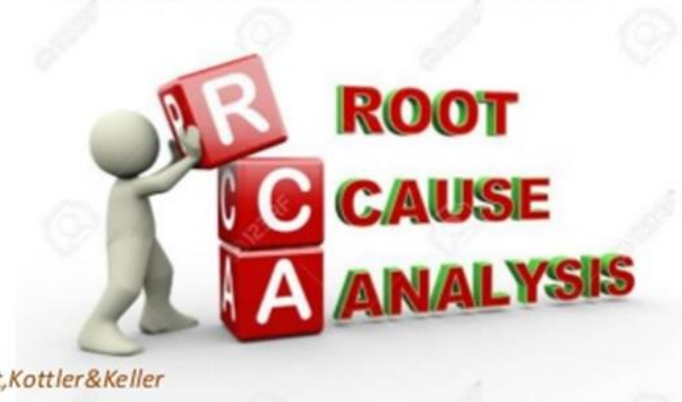
The root cause analysis

Reason's Swiss Cheese Model



ROOT CAUSE ANALYSIS

“ Root cause analysis is a structured team process that assists in identifying underlying factors or causes of an adverse event or near-miss ”



The goals and instruments of a root cause analysis

To determine

- what happened
- why it happened
- what can be done to reduce the likelihood of a recurrence

The steps

1. is inter-disciplinary, involving experts from the frontline services
2. involves those who are the most familiar with the situation
3. continually digs deeper by asking why, why, why at each level of cause and effect
4. identifies changes that need to be made to systems
5. to make clear the need to be aware of and sensitive to potential conflicts of interest

ROOT CAUSE ANALYSIS

“ Root cause analysis is a **structured team process** that assists in **identifying underlying factors or causes** of an **adverse event or near-miss** ”



*Marketing management, Kottler & Keller

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Instruments

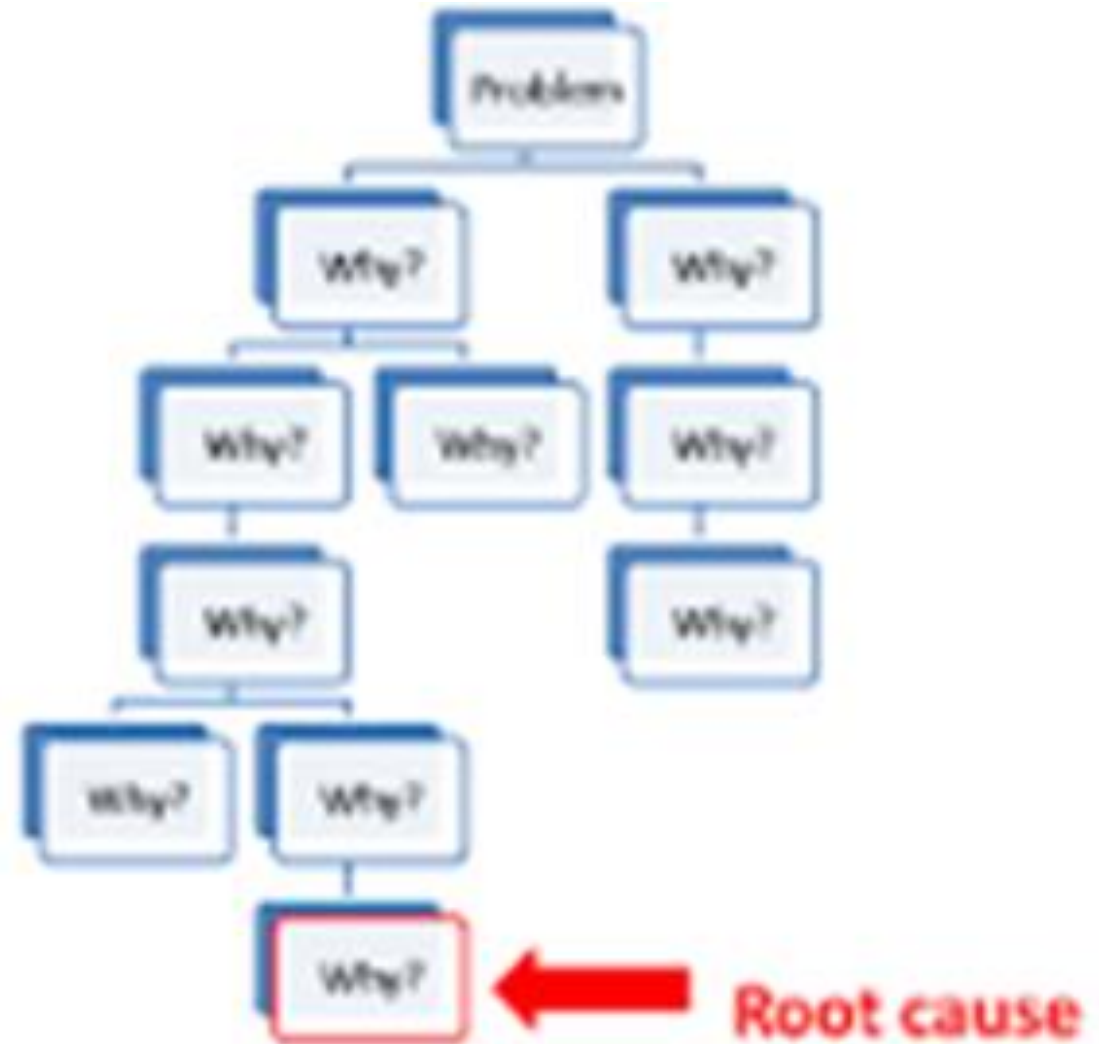
5 Whys

The Fishbone Cause-and-Effect Diagram

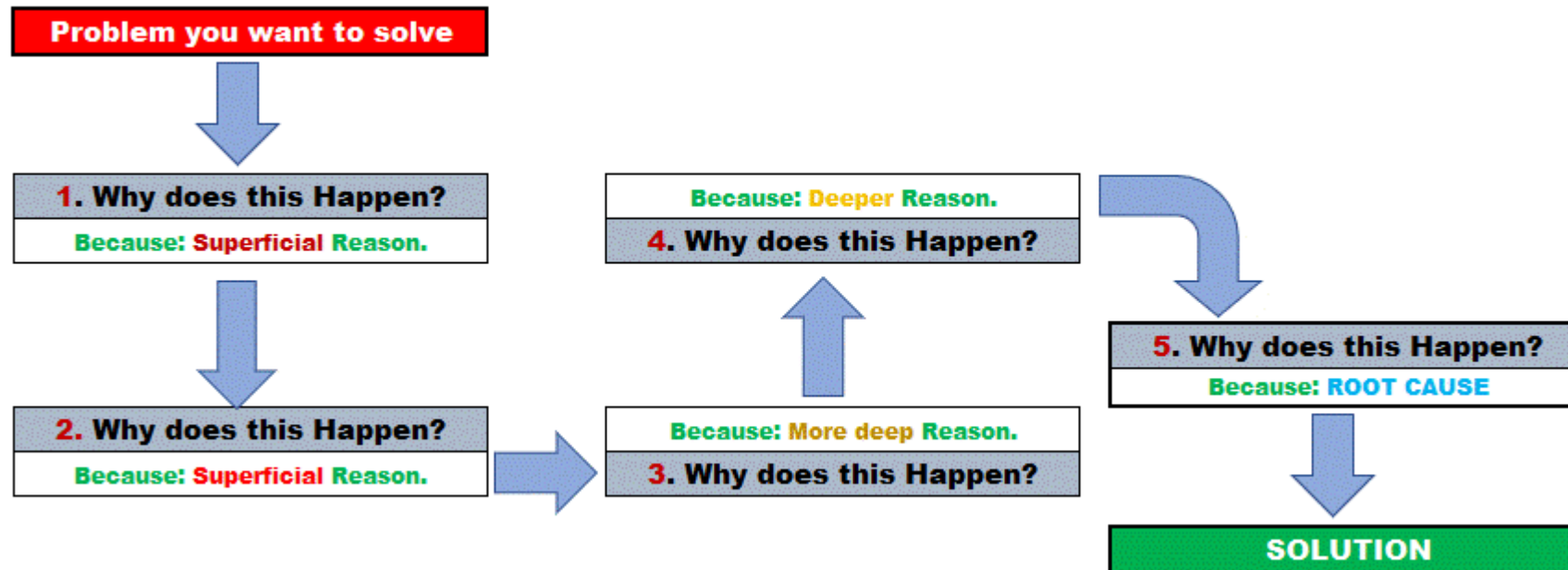
The Swiss Cheese Model

The origin of the 5 Whys

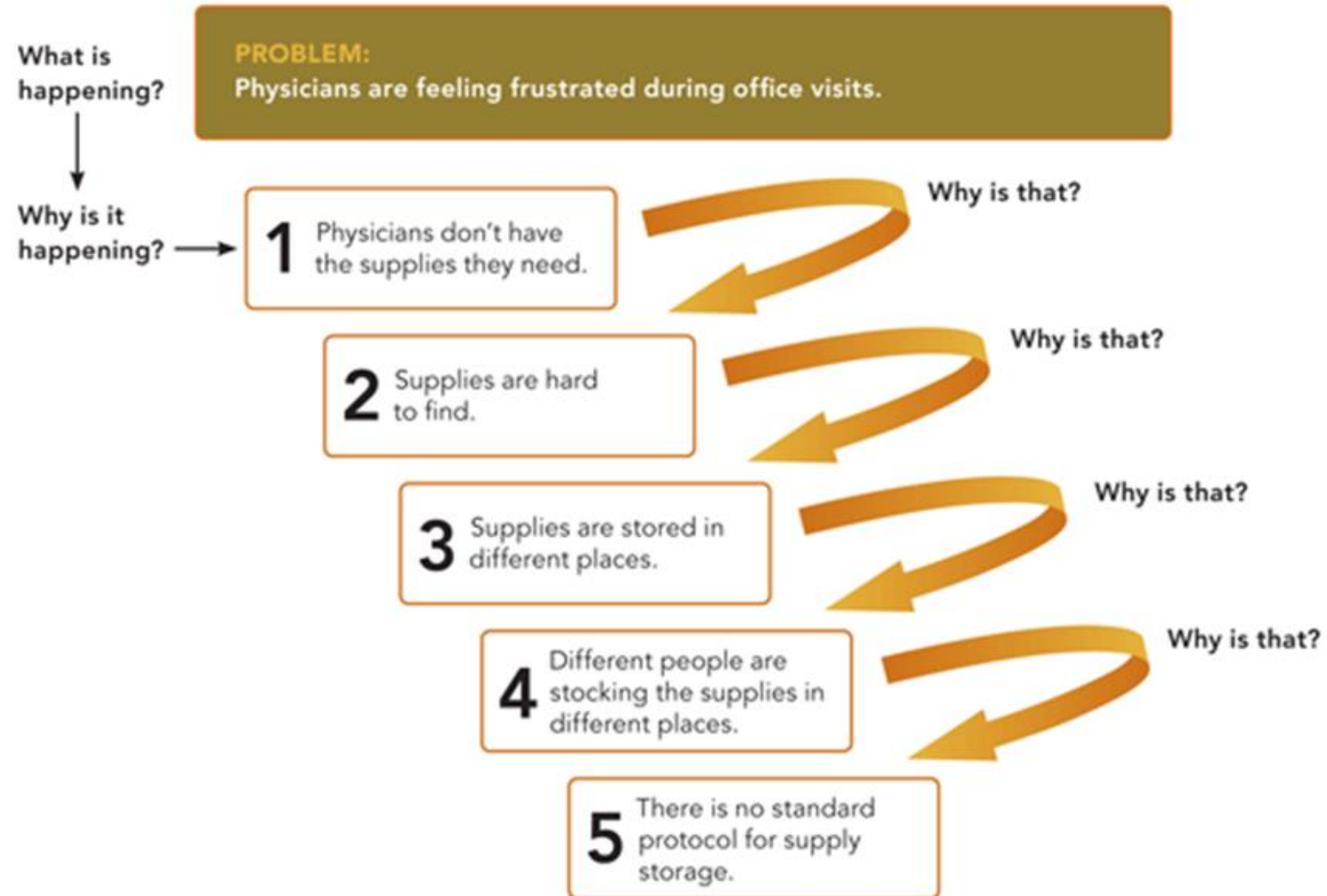
- The 5 Whys technique was developed within the Toyota Motor Corporation as a critical component of its problem-solving training
- "... by repeating why five times, the nature of the problem as well as its solution becomes clear"
- What is the 5 why approach?
- The primary goal of the technique is to determine the root cause of a defect or problem by repeating the question "Why?" five times. The answer to the fifth why should reveal the root cause of the problem



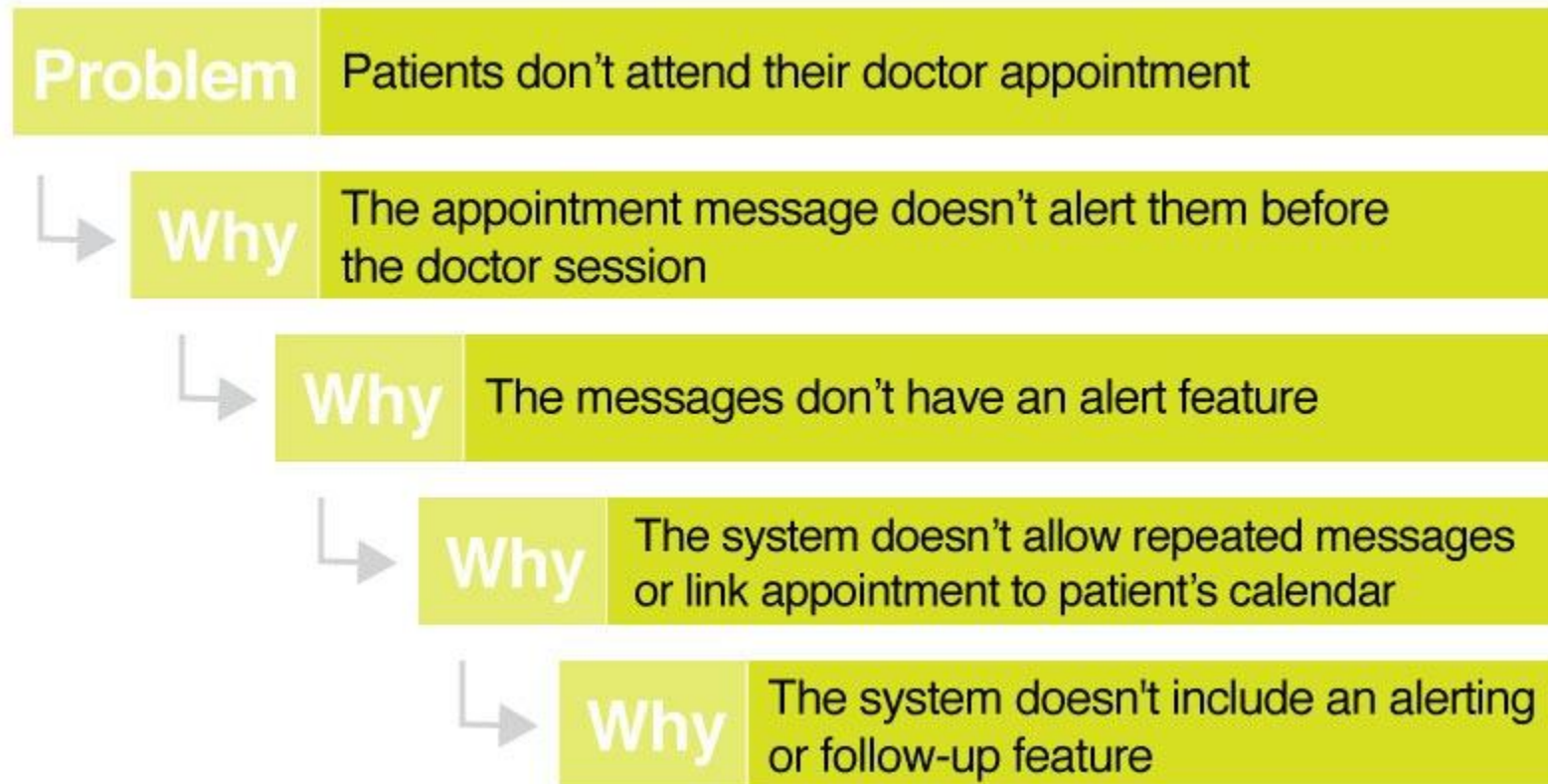
The “5 Whys” is a **Problem-solving method for identifying root causes of problems** by asking five consecutive times “Why this happened?”



An example



An example



An example

The patient was late in theatre, it caused a delay.

WHY?

There was a long wait for a trolley.

WHY?

A replacement trolley had to be found.

WHY?

The original trolley's safety rail was worn and had eventually broken.

WHY?

It had not been regularly checked for wear.

WHY?

Root-cause

Now start to
think of solutions

An Example

A patient had the wrong leg amputated

1. Why was the wrong leg was amputated?

The Doctor could not see the marking and thought it was the wrong leg that was marked

2. Why?

The patient gave consent the night before the surgery to a registrar who does not perform the surgery and was not familiar with the patient. They marked the leg a washable marking in the wrong place.

3. Why?

They didn't know about using a waterproof making tool and they were unaware of how the marking was to be completed

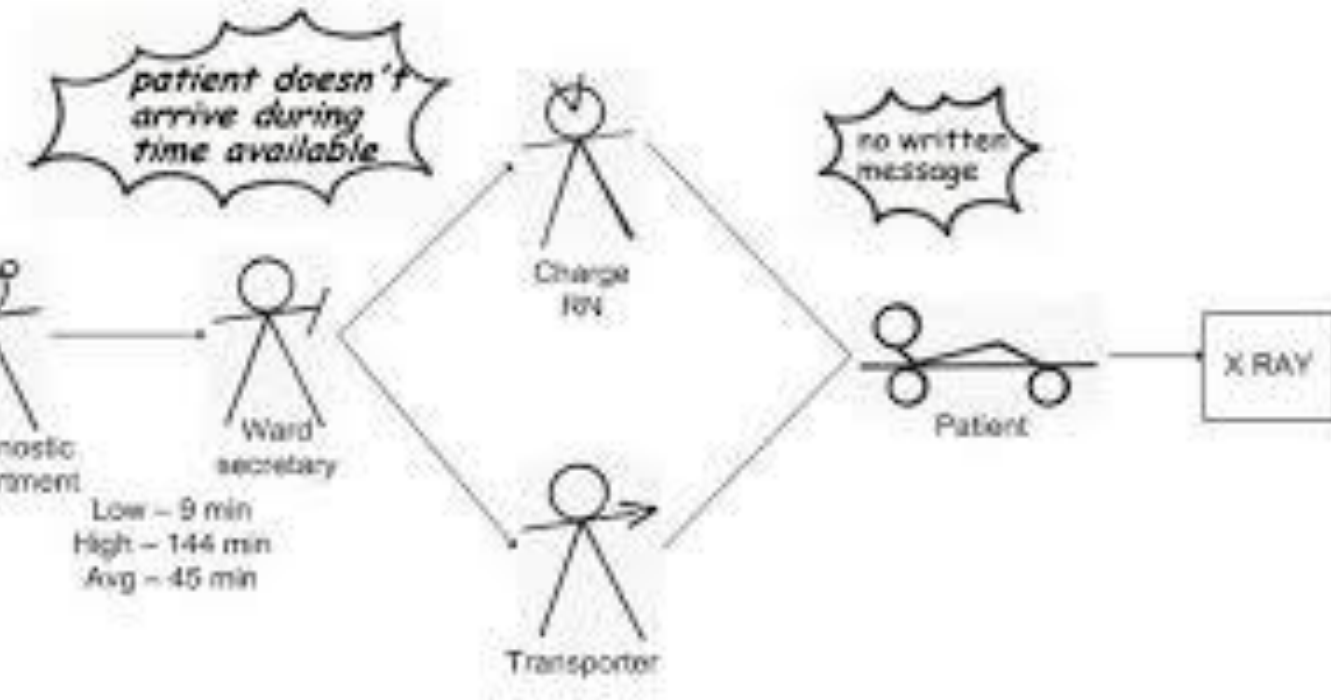
4. Why?

They were new and the department didn't have a formal induction process for new registrars

5. Why

No one ever said they should have an induction process

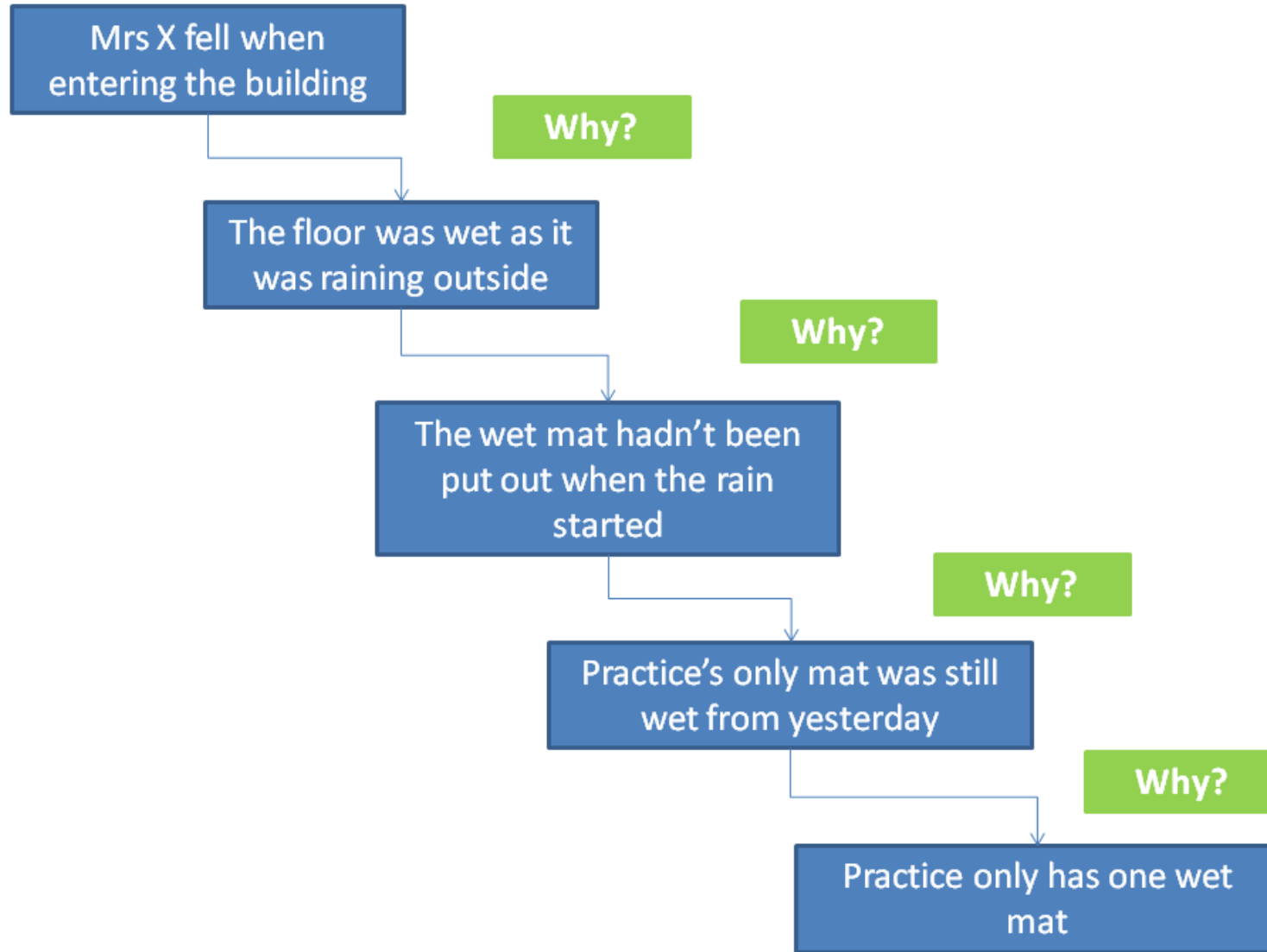
An example



Problem: Backups in diagnostic departments

- Why? Patients arriving late
- Why? Transporter not called on time
- Why? Ward secretaries are busy and often forget
- Why? No written message
- Why? No protocol
- Why? Transport unable to locate patient
- Why? Page does not include patient location (name only)
- Why? No standard protocol for transport paging
- Why? Patient not ready for transport
- Why? Nurses unaware of prescribed test
- Why? No mechanism to inform RN of scheduled procedure

An example



Piemērs

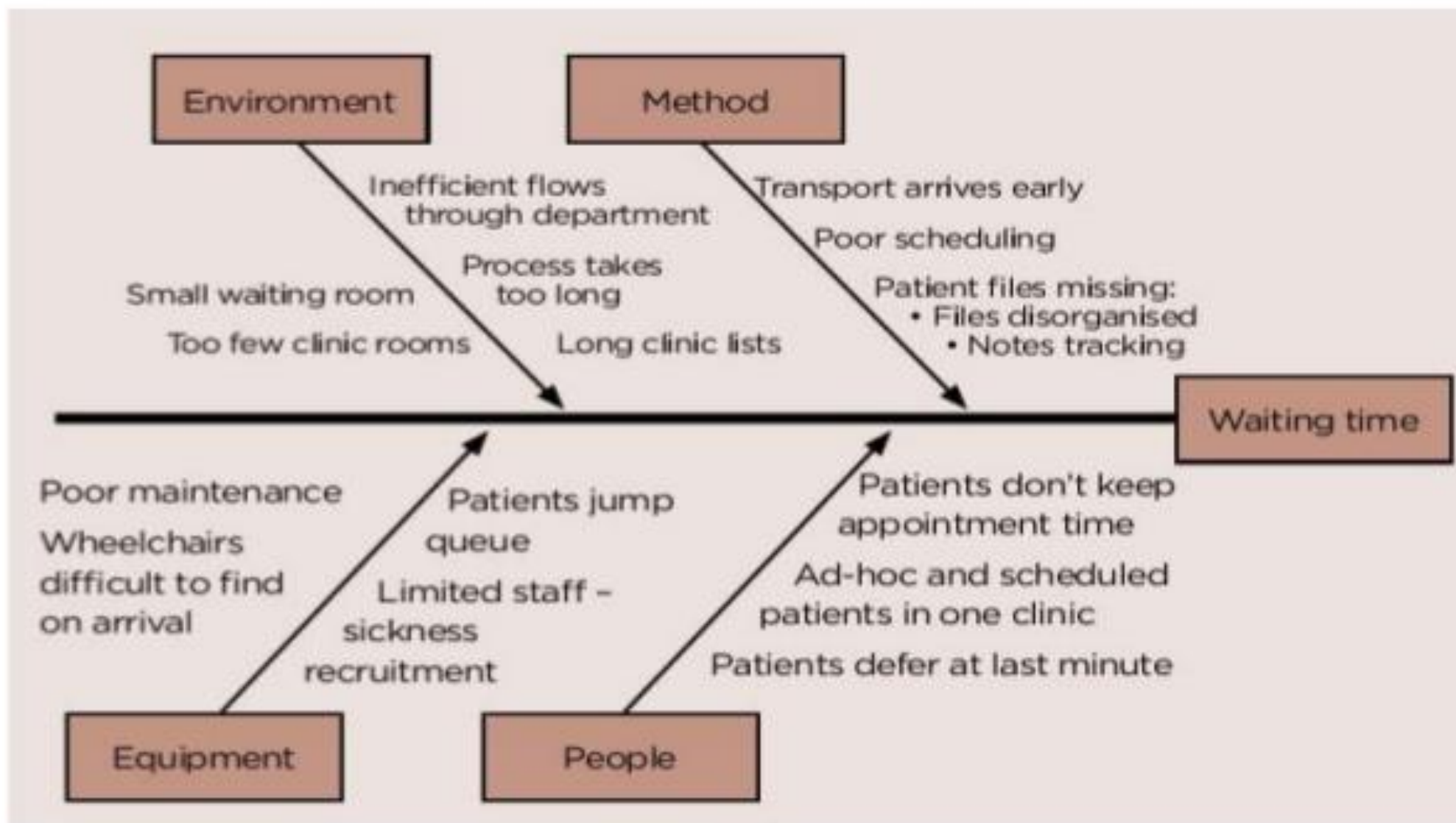
Five whys analysis example / ONLINE FIGURE 1

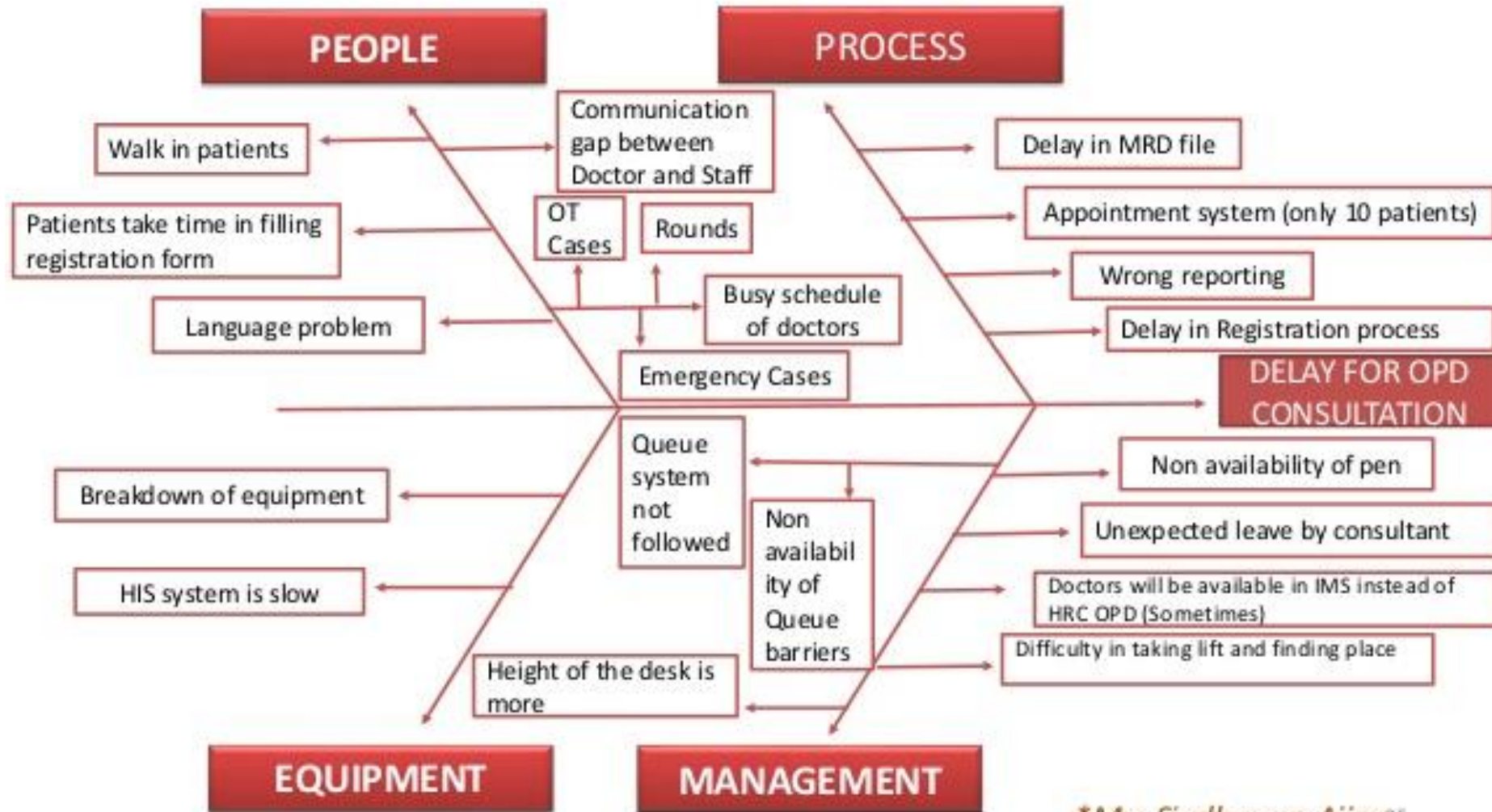


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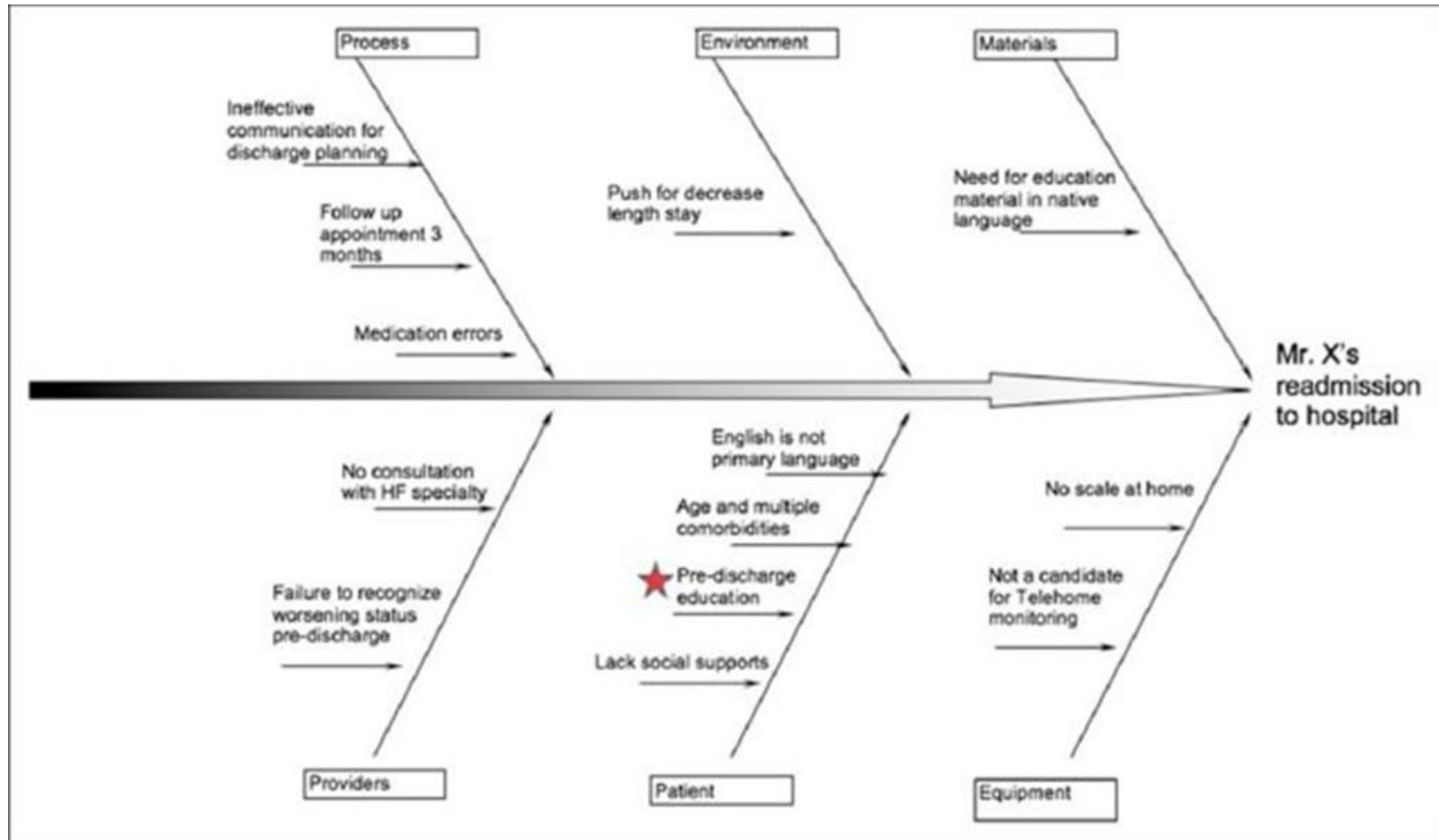
- ## The major categories of causes of the problem(Methods

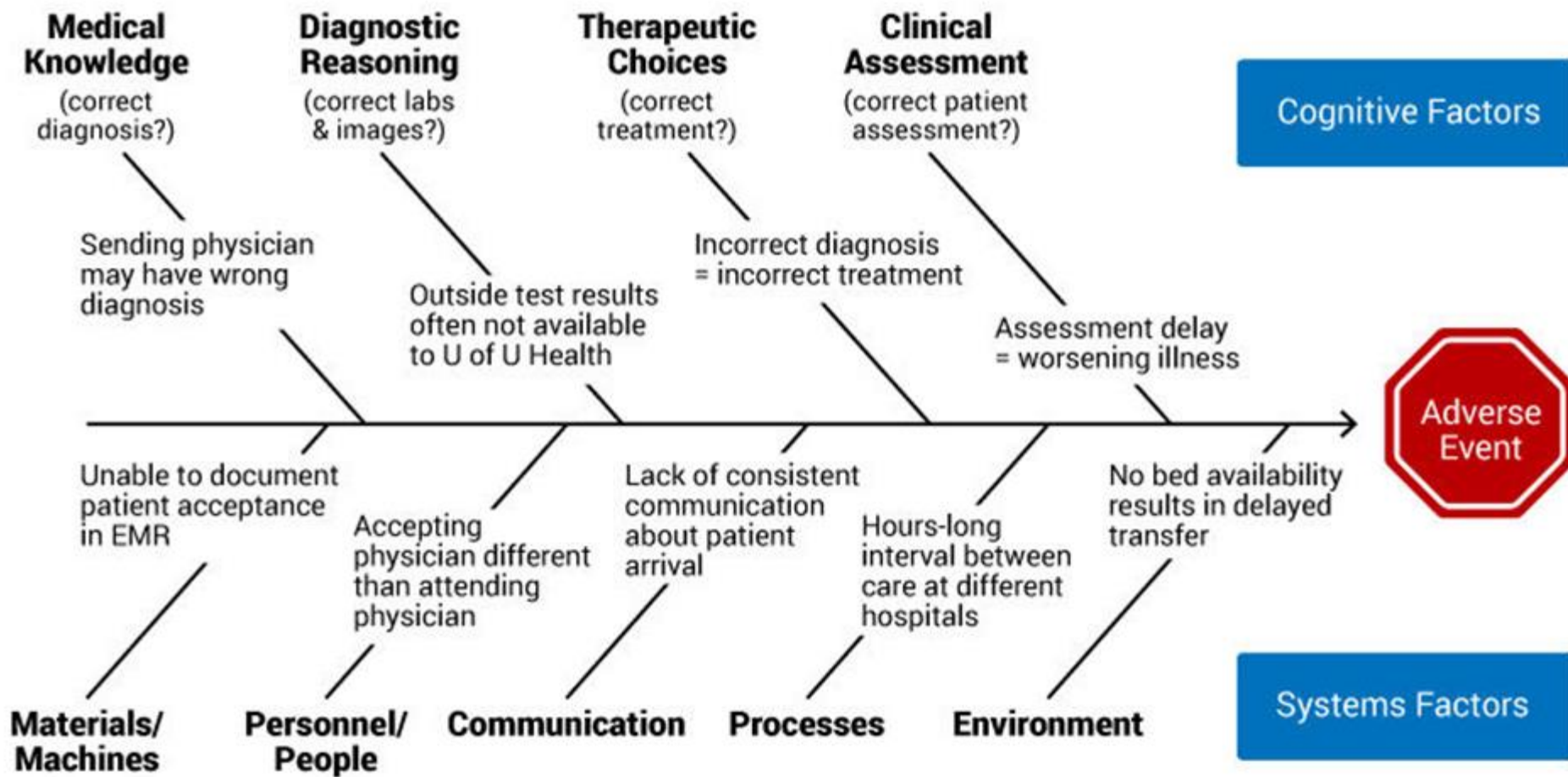
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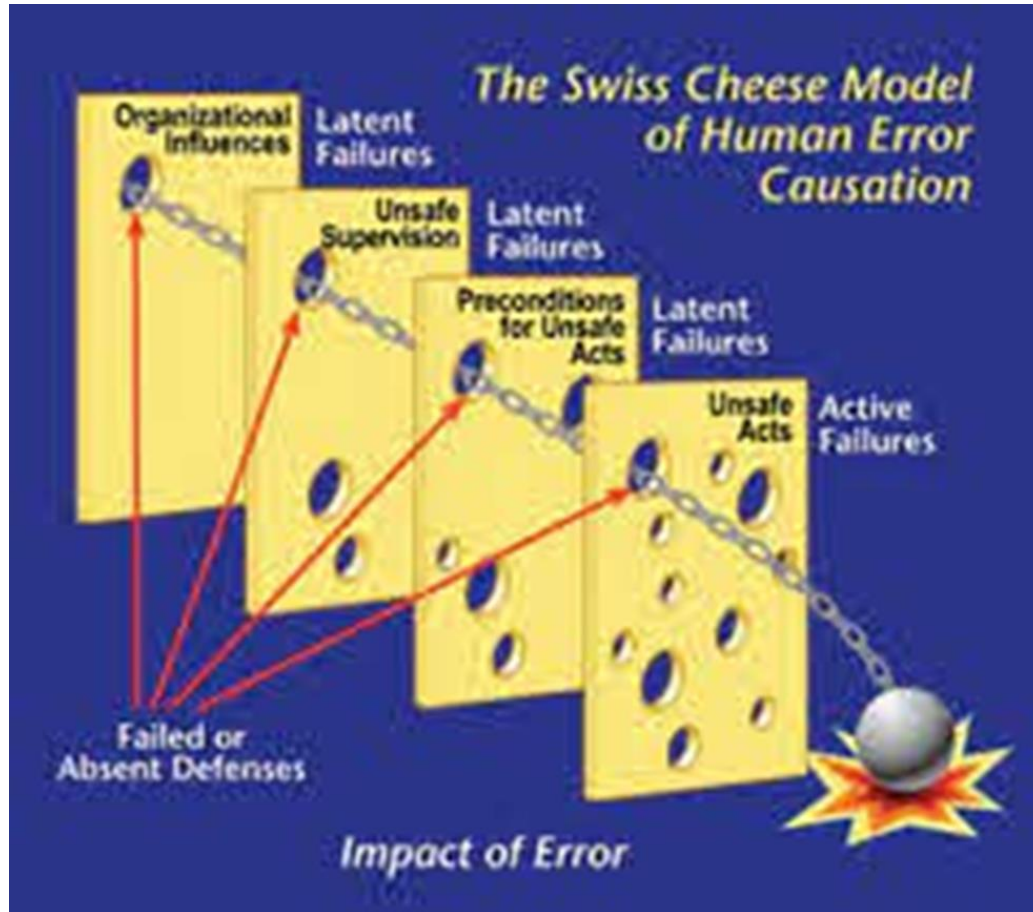


*Mrs.Sindhusree,Ajims⁵





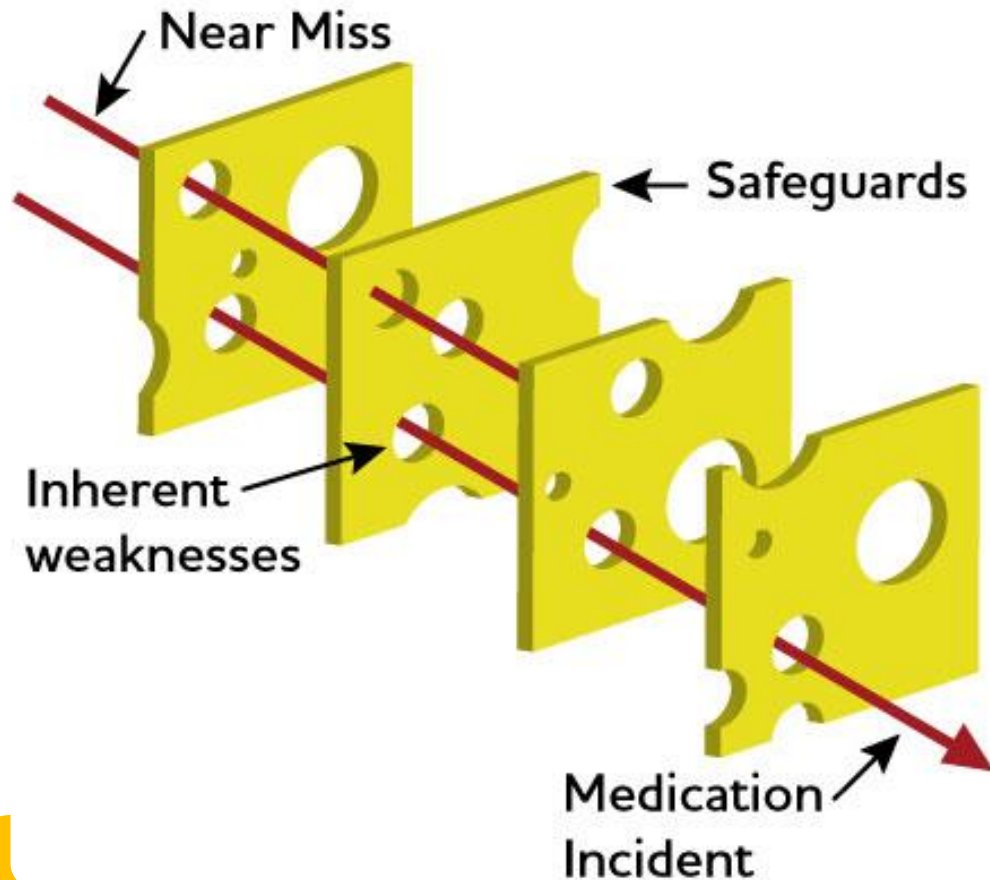
The Swiss Cheese Model



James Reasons Swiss Cheese Model is a simple metaphor to **visualize how patient harm happens, based on a systems approach**

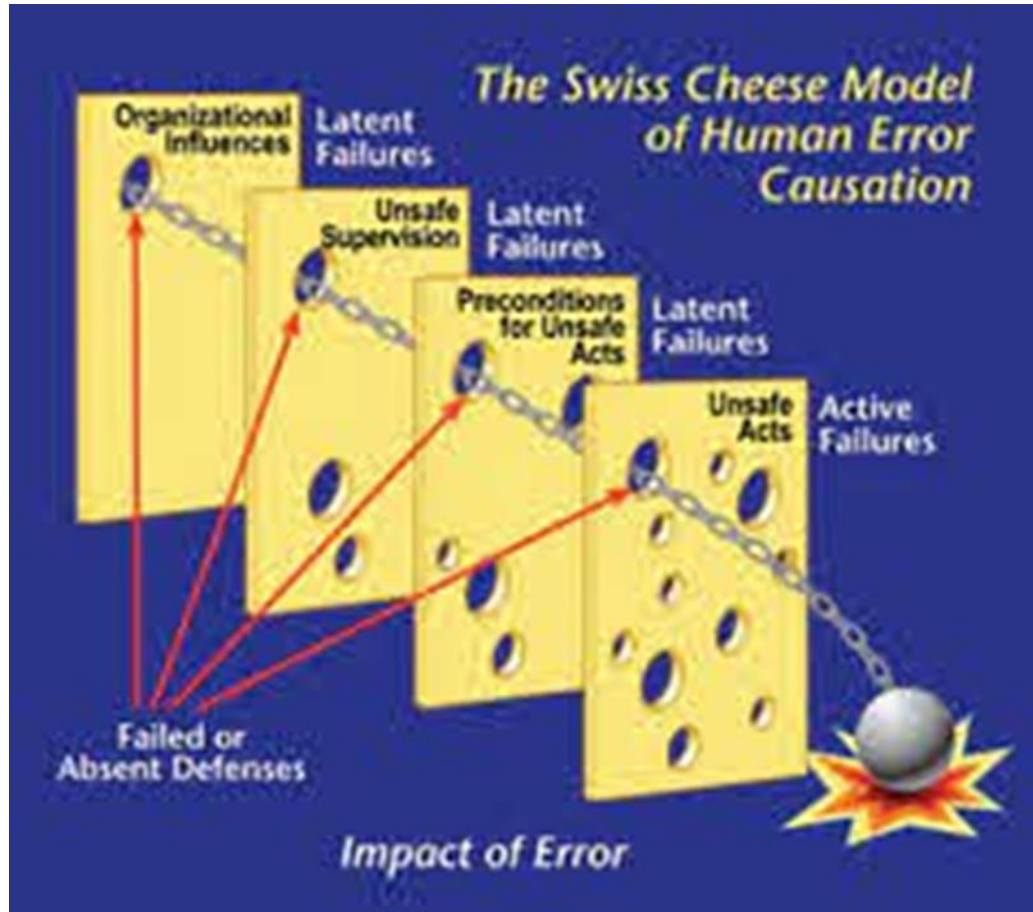
<https://www.youtube.com/watch?v=MfWpMrEOIJ8&t=59s>

SWISS CHEESE MODEL



- In the Swiss Cheese Model, each slice represents a safeguard, while the holes represent inherent weaknesses.
- Normally, a second or third slice would stop an error from fully penetrating, resulting in a near miss
- If the holes line up, however, a medication incident may occur

The Swiss Cheese Model

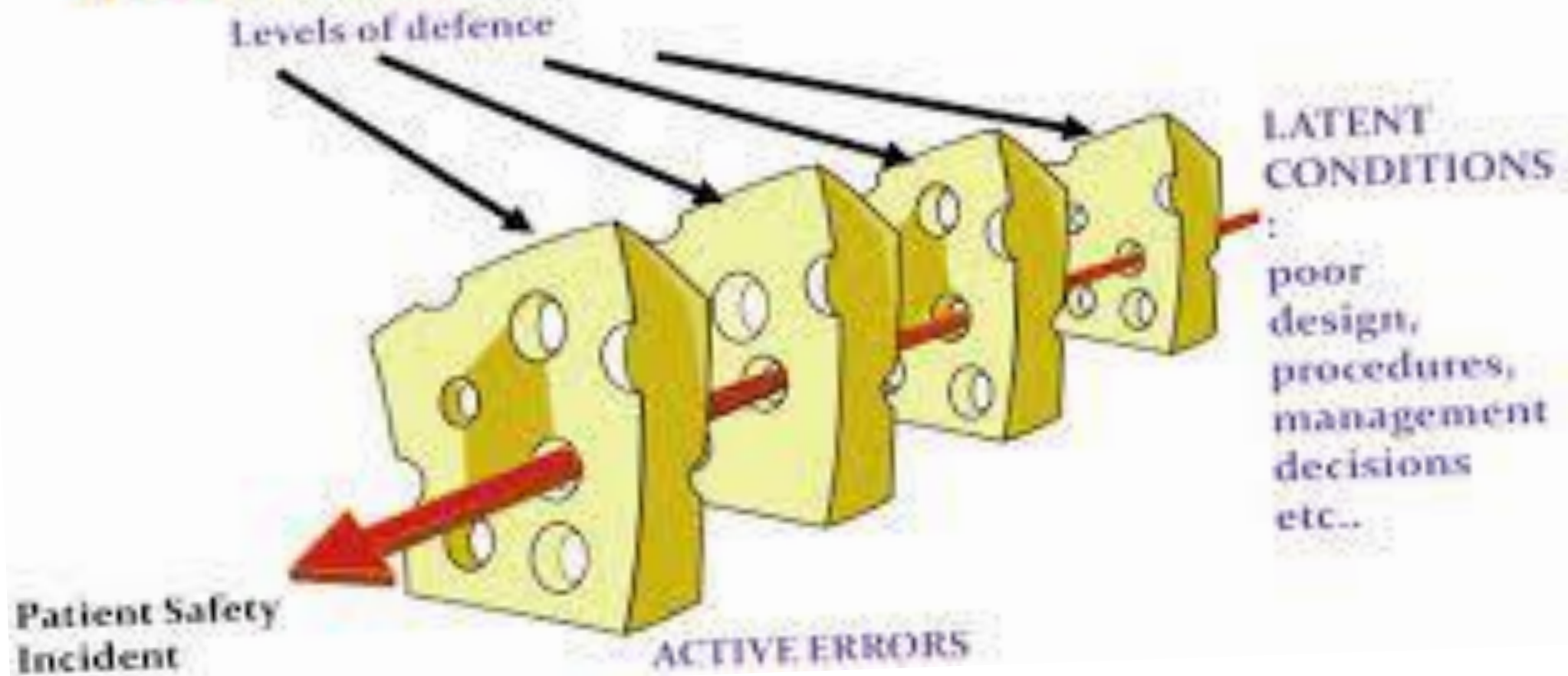


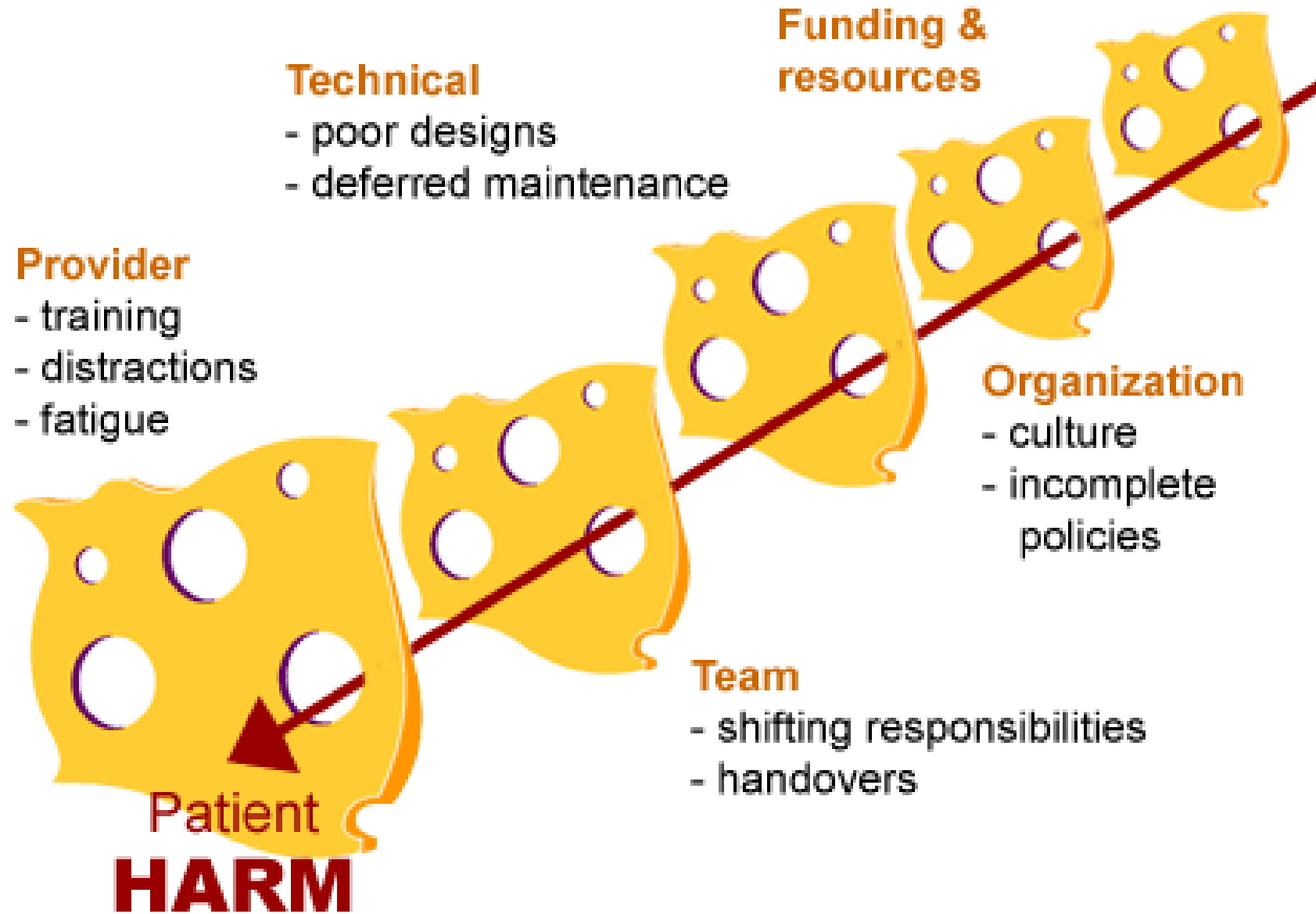
When such an event does occur, it happens because of a breakdown within each of the defenses, visually represented when the holes align

From a problem-solving approach, by revealing these gaps or breaches, **the model highlights that there are many ways (potential solutions) to prevent recurrence**

The more opportunities that are revealed, the more effective the organization becomes at preventing problems

Reason's Swiss cheese model

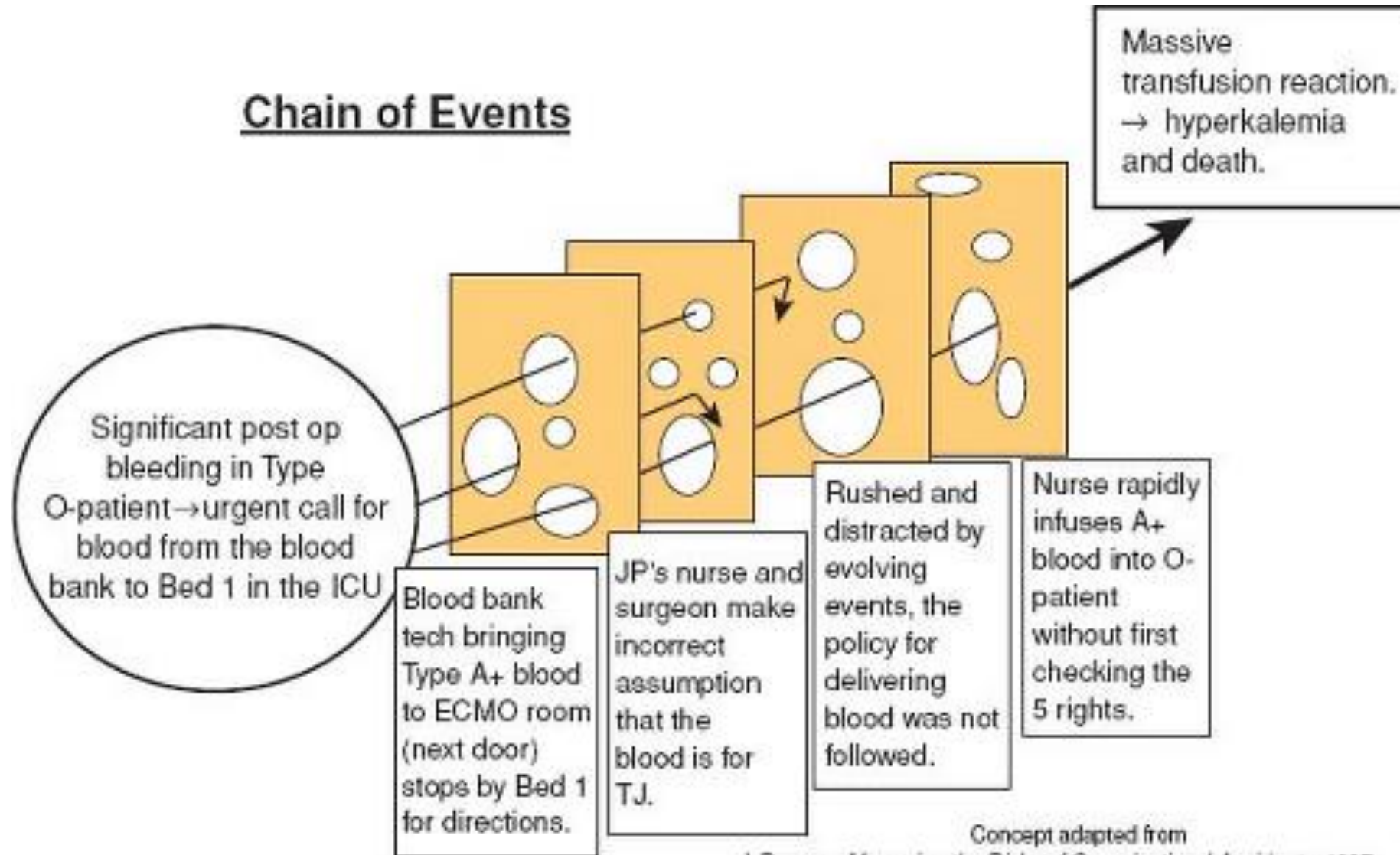




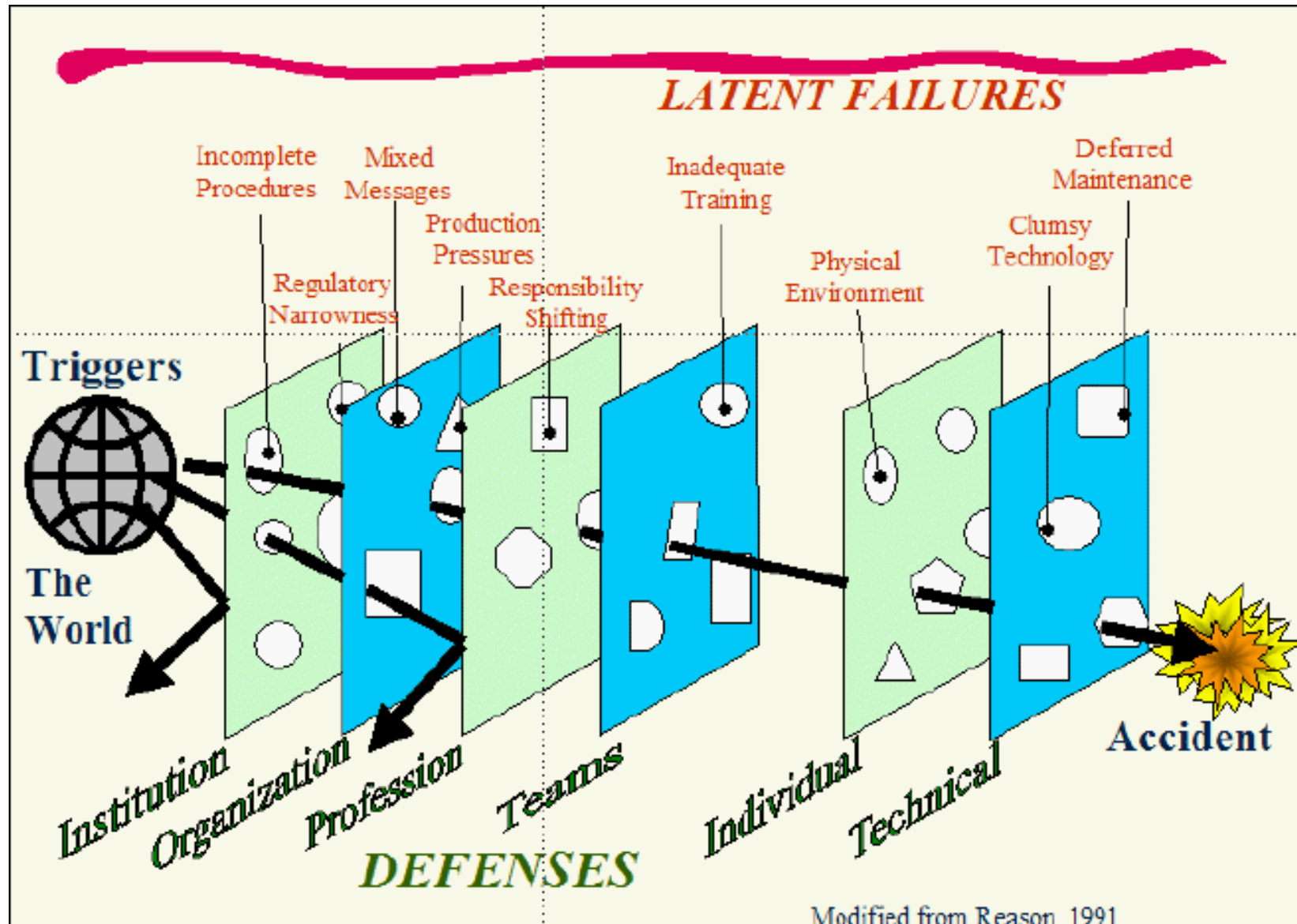
Swiss Cheese Model of Adverse Events



Chain of Events



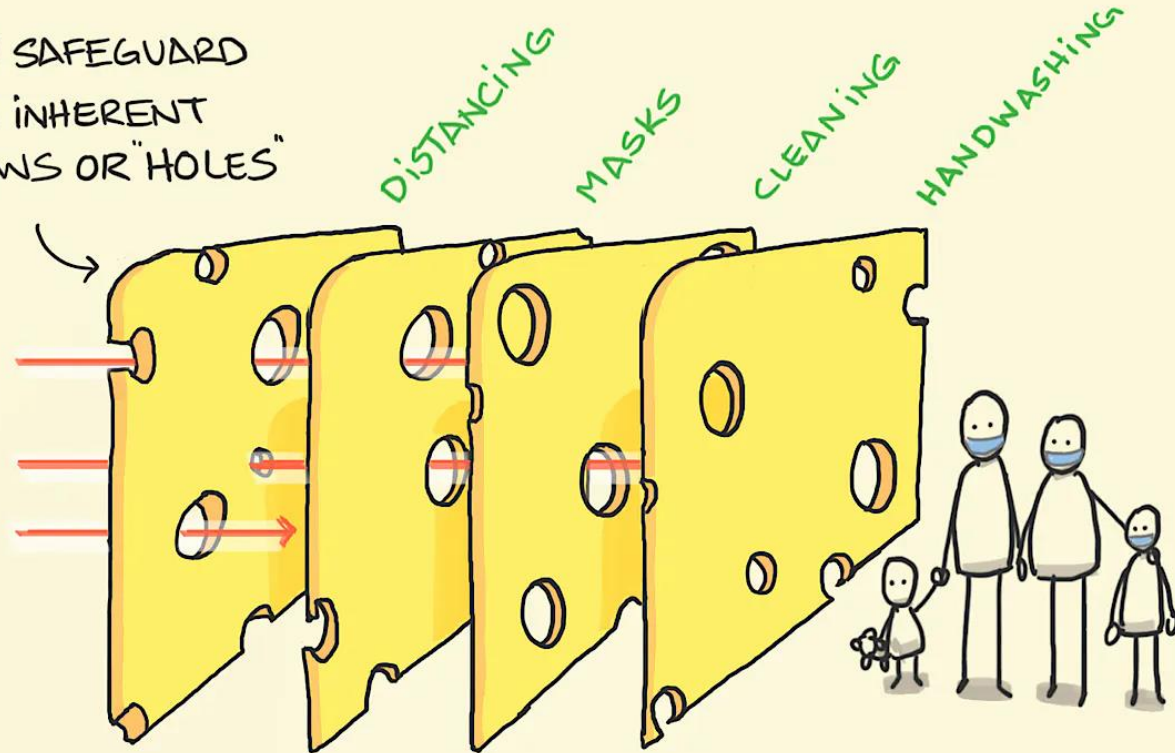
Concept adapted from
J. Reason, *Managing the Risks of Organizational Accidents*, 1997
by Healthcare Performance Improvement, LLC w permission



THE SWISS CHEESE MODEL

FOR UNDERSTANDING ACCIDENTS AND IMPROVING SAFETY

ANY SAFEGUARD
HAS INHERENT
FLAWS OR "HOLES"



PROBLEMS OCCUR WHEN MULTIPLE "HOLES" LINE UP

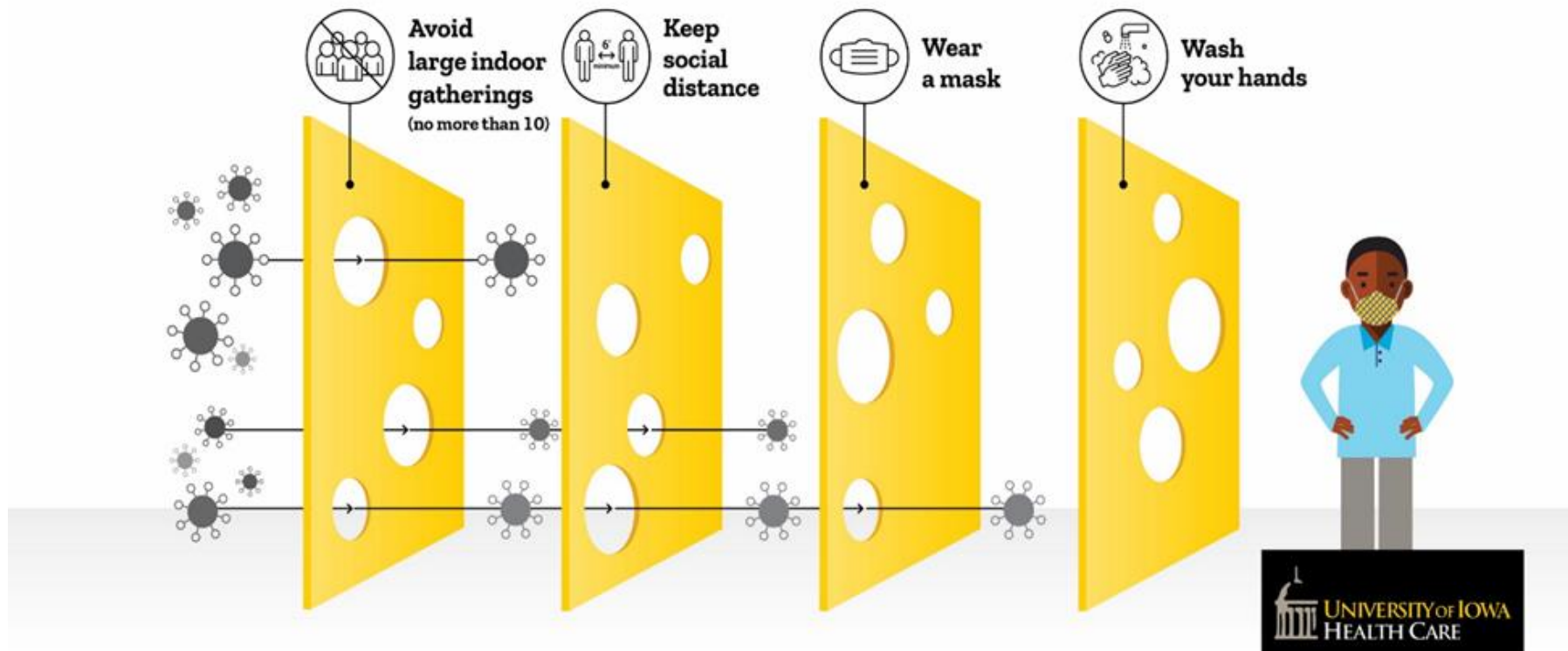
MODEL: J REASON

sketchplanations

HOW TO STOP COVID-19: THE SWISS CHEESE MODEL

The more steps you take,
the safer you are against COVID-19.

→ uihc.org/covid-toolkit



Human factor models

influencing factors

Factors related to the task

Patient factors

Individual employee-related factors

Communication factors

Teams and social factors

Education and training factors

Working conditions

Organizational and strategic factors

Human Factors Model

Direct Factors

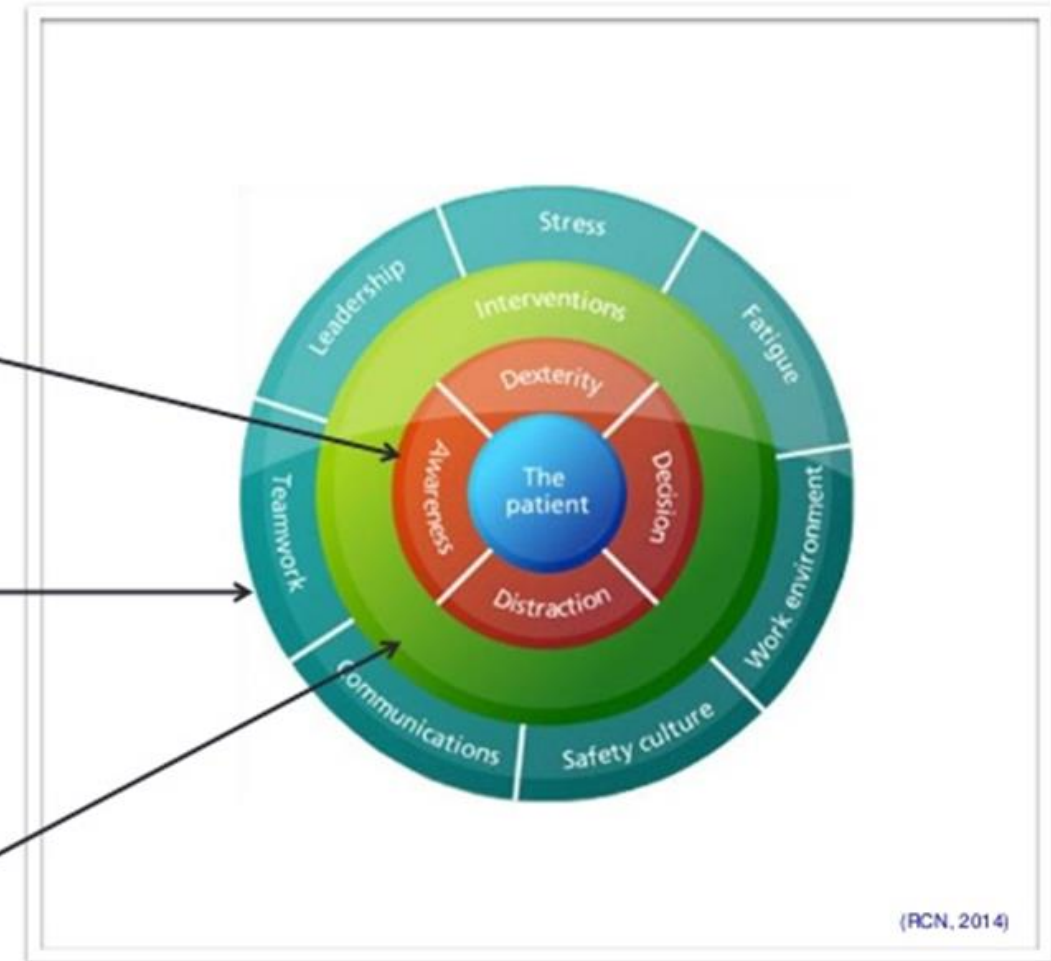
Actions or Omissions that directly affect practice and our patients

Influencing Factors

Factors that have the potential to change the direct factors, to improve them or make things worse

Systems & Culture

Factors can be managed with interventions through systems and culture improvements



Influencing factors

- **Factors related to the task:** guidelines, procedures, their availability, understanding, applicability, updating, decision making, availability of research results, availability of senior consultants, councils, etc. c.)
- **Patient factors** usually grouped as the patient's clinical condition (co-morbid, complicated, serious condition), social, cultural, psychological, physical factors
- **Individual employee-related factors:** psychological, work relationships, home problems, fatigue, overwork, boredom, confusion, lack of attention, stress, well-being, bad habits, illness, etc.) that affected the event
- **Communication factors:** written, oral, non-verbal information may be ineffective, confused, delayed, unclear, possible inadequate tone of voice, slang, use of abbreviations, language difficulties, unclear entries, information for the wrong position or other person, body language

- **Teams and social factors:** communication between team members, management style, lack of respect for the leader, lack of understanding of roles and responsibilities, team “openness”, reaction to problems.

Are duties defined, is it known, understood, or is effective leadership

- **Education and training factors:** availability and quality of training programs for staff to perform direct duties or respond to emergencies, maintenance of competence, supervision of training
- **Working conditions,** heat, poor lighting, noise, layout of premises, unsuitable place for certain functions, procedures, overcrowded compartment, dirt

Work shift planning, working hours, rest time, number of staff per patient, administrative factors (systems for prescribing medicines, checking doses, etc.), call buttons.

- **Organizational and strategic factors** organizational structure (eg hierarchical), priorities, external "brought in" risks (foreign policy, contracts, use of "external" equipment, terms and conditions of contracts), leadership, safety culture, etc. c



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