

Quality and Safety Series

Process Observation

OBJECTIVES



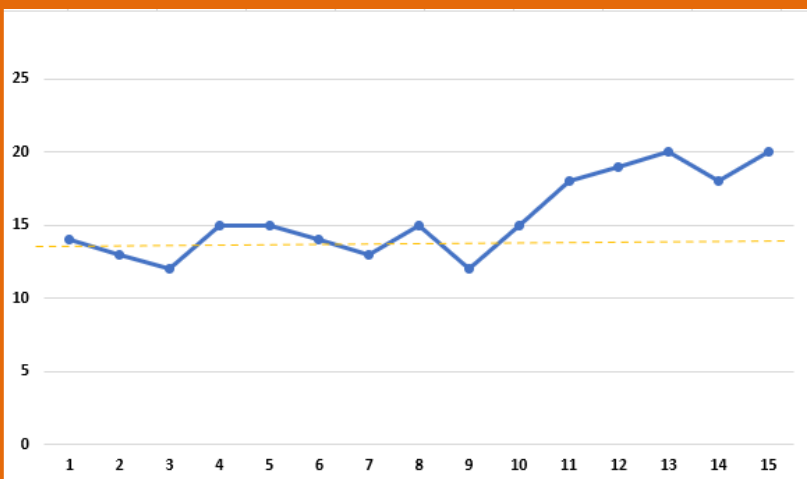
- Discuss the performance pitfall related to non-compliance.
- Define process observation.
- Explore process observation tools.
- Discuss how to action results of process observations.

Performance Pitfall



You've completed a successful quality improvement project. You've sustained the gains for 9 months. However, the last 6 data points have shown "drift."

- What do we do?
- How do we find the problem?
- What has changed?



Frontline Compliance

State of the Union



What Should Happen

- Processes
- Process maps
- Policies
- Procedures
- Created in the conference room

Frontline Actions



What Actually Happens

- Workarounds
- Shortcuts
- Deviations
- Knowledge deficits

Compliance



“What gets measured gets managed.”
—P. Drucker

One of the biggest barriers to sustainability
is lack of compliance monitoring.

Process observation is key!

Go to the Gemba!

“Go to the Gemba” is a Japanese term used by Six Sigma that means to go to the actual place or where the work is happening.



Get out of the office or conference room.

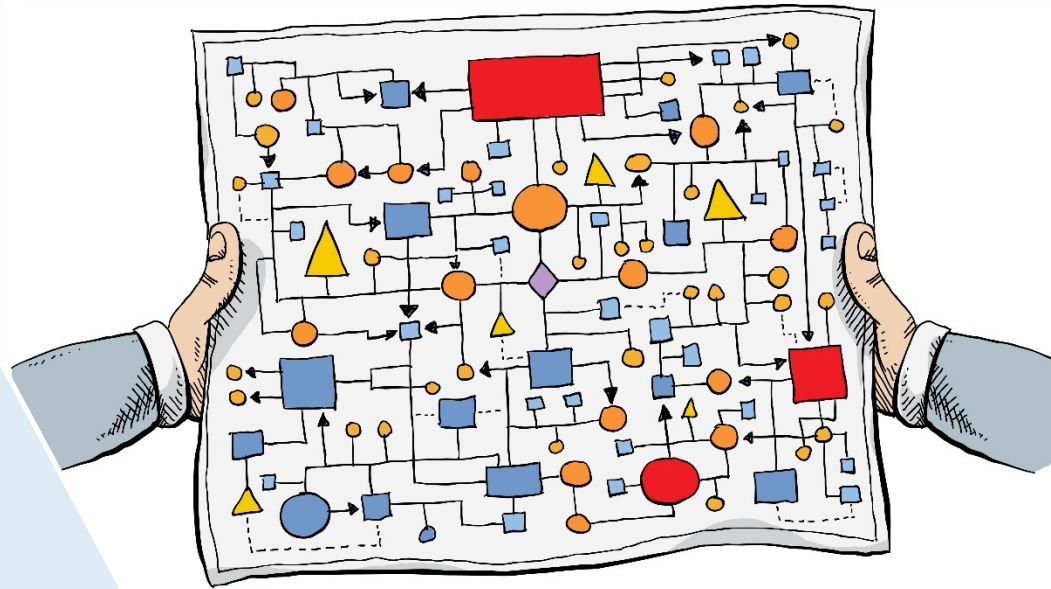


Observe the process and talk to the frontline staff.

What Is Process Observation?

Process Observation—uses a standardized tool that allows the observer to collect important information about a process and/or identify deviations.

- It is a direct observation of the frontline staff performing a specific process.
- Use your process map as a foundation.
- For complex processes, focus on a department or break the process into components.



Keys to Performing Process Observation



- Clarify the purpose of the observation with the team.
- Create a standardized data collection tool based on key steps for your current process.
 - List steps in order.
 - Add additional indicators, such as time to perform step(s), wait times, etc.
- Train all observers to use the tool in the same way.
- Perform multiple observations.
 - Can be a sample if dealing with a large volume.
 - Include all shifts.
 - Observe on various days of the week.
Don't forget weekends!
 - Look for interrater reliability.

Example of a Process Observation Tool



Healthcare-Associated Infection (HAI) Program Adherence Monitoring Hand Hygiene

Assessment Date:
Completed by:
Unit:

Regular monitoring with feedback of results to staff can improve hand hygiene (HH) adherence. Use this tool to identify gaps and opportunities for improvement. Monitoring may be performed in any type of patient care location.

Instructions: Observe at least 10 HH opportunities per unit. Observe a staff member and record his/her discipline. Check the type of hand hygiene opportunity you are observing. Indicate if HH was performed. Record the total number of successful HH opportunities and calculate adherence.

HH Opportunity	Discipline	What type of HH opportunity was observed? (select/ <input checked="" type="checkbox"/> 1 per line)	Was HH performed for opportunity observed? <input checked="" type="checkbox"/> or <input type="checkbox"/>		
Example	N	<input type="checkbox"/> before care/entering room* <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care* <input checked="" type="checkbox"/> upon leaving room *Remember: Hand hygiene should be performed before <u>and</u> after glove use	<input checked="" type="checkbox"/>		
HH1.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH2.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH3.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH4.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH5.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH6.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH7.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH8.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH9.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
HH10.		<input type="checkbox"/> before care/entering room <input type="checkbox"/> before task <input type="checkbox"/> after body fluids <input type="checkbox"/> after care <input type="checkbox"/> upon leaving room			
Disciplines: CNA = Nurse Assistant D = Dietary		N = Nurse P = Physician RT = Respiratory Therapist	S = Student VIS = Visitor VOL = Volunteer	W = Social Worker OTH = Other, Specify U = Unknown	Opportunities: <input checked="" type="checkbox"/> = Opportunity Successful <input type="checkbox"/> = Opportunity Missed
For HH1–HH10:					
Total # HH Successful ("# <input checked="" type="checkbox"/> "): _____		Total # HH Opportunities Observed: _____	Adherence: _____ % (Total # HH Successful ÷ Total HH Opportunities Observed x 100)		



Example of a Process Observation Tool (cont.)

Hand Hygiene/Personal Protective Equipment (PPE) Monitoring Tool for Nursing Homes

Resident Care Unit/Dept.: _____ Month/Year: _____ Monitor's Initials: _____

HR = Alcohol Hand Rub HW = Hand Wash Y = Yes N = No (Mark each opportunity observed. If no opportunities observed or NA, leave blank.)

Healthcare Worker Type:

1 = Physician/Provider 3 = Physical/Occupational/Speech Therapy 5 = Licensed Vocational Nurse 7 = Other _____
 2 = Respiratory Therapist 4 = Registered Nurse (RN) 6 = Nursing Assistant

# Observations	Date	Time	Health-care Worker Type	Hand Hygiene BEFORE Room Entry			Transmission-based Precautions			COVID-Specific PPE (face mask/respirator/face shield/goggles, etc.)			Gloves Worn		Hand Hygiene Before Donning Gloves		Gown Worn		Gloves and Gown Removed Upon Room Exit			Hand Hygiene Upon Room Exit			Comments		
				Yes HR	Yes HW	No	Y = Contact	Y = Droplet	Y = Enteric	N	Y	N	NA	Y	N	Y	N	Y	N	NA	Yes HR	Yes HW	No				
				See Key																							
1																											
2																											
3																											
4																											
5																											
6																											
7																											
8																											
9																											
10																											
Totals																											

This material was adapted for use by Health Services Advisory Group, the Medicare Quality Innovation Network-Quality Improvement Organization for Arizona and California, under contract with the Centers for Medicare & Medicaid Services (CMS), an agency of the U.S. Department of Health and Human Services, based on material prepared by United Hospital, St. Paul, MN, available from the Minnesota Hospital Association, used with permission. The contents presented do not necessarily reflect CMS policy. Publication No. QN-12SOW-XC-10132020-01

More Advanced Example

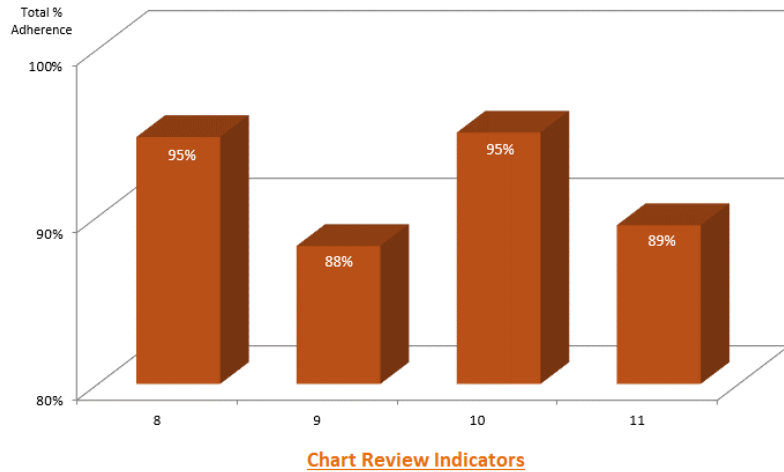
Foley Catheter Observation and Quality Tool

Date: _____ Patient Census: _____ NPC= Not placed correctly
 Unit: _____ Number of Patients with Devices: _____

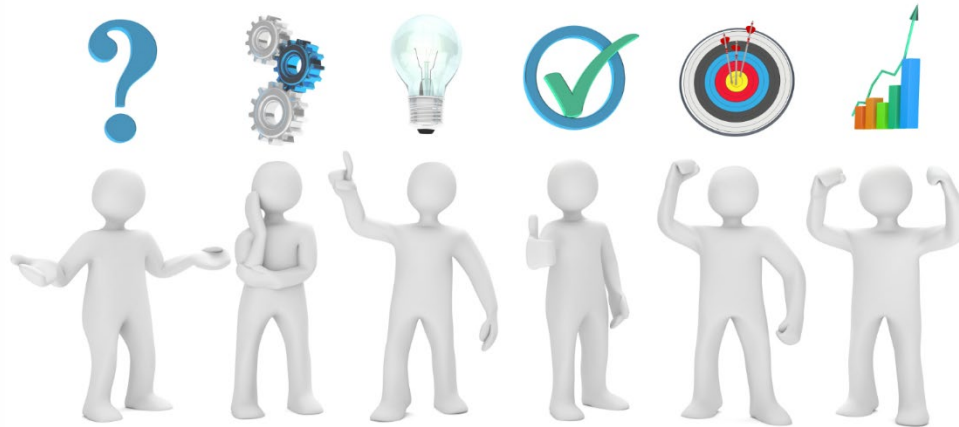
Complete for each Indwelling Catheter Foley in use:

	Foley 1	Foley 2	Foley 3
COMMENTS			
<u>Direct observation</u>			
ROOM #			
1. Is a closed system being maintained?			
2. Is the Foley secured to the patient's body to prevent urethral tension?			
3. Is the bag below the level of the patient's bladder?			
4. Is the tubing from the catheter to the bag free of dependent loops?			
5. Is the tubing secured to the bed or chair to prevent pulling on the entire system?			
6. Is the bag hanging free without touching the floor?			
7. Does the patient have an individual measuring device marked with his/her name and room number?			
Total Positive Per Patient	0	0	0
Total % Adherence Per Patient	0.0%	0.0%	0.0%
<u>Chart Review</u>			
8. Is there documentation indicating which department inserted the Foley and is perineal care being performed			
8a. Note the department/unit where the Foley was inserted and when perineal care was last performed			
9. Is there documentation available indicating Foley necessity?			
10. Is there documentation available for completion of the insertion bundle?			
11. Has there been a check for Foley catheter necessity today?			
12. What criterion is noted?			
13. Comments			
Total Positive Per Patient	0	0	0
Total % Adherence Per Patient	0.0%	0.0%	0.0%

Chart Review--Foley Catheter



Now What?



- Analyze the results.
 - Adapt the HSAG HQIC Process Observation Tool to an Excel document.
 - A drop-down for “Reasons for Non-Compliance” might need a baseline first.
- Focus on the areas of non-compliance.
- Convene the team to discuss barriers and solutions.
 - Don’t forget frontline staff!
- Use PDSA* for a quick test of change to adapt your process to overcome barriers.
- Remember, education related to knowledge deficit can be a barrier.
 - Education is a Level III, weaker action in the action hierarchy.

Key Take-Aways

- A frequent performance pitfall can be lack of process compliance with frontline staff.
- “State of the Union” refers to how things **should** be done.
- Process observation reveals what is **actually** being done.
- Process observation is a direct observation of the frontline staff performing a specific process.
- Use a standardized tool to collect important information about a process and/or identify deviations.
 - Workarounds, shortcuts, deviations, knowledge deficits
- Go to the Gemba!
- Perform routine audits, including various shifts, units, and days of the week (including weekends).
- Check interrater reliability among observers—strive for 95%.
- Analyze observation data for trends.
- Use PDSA to adapt processes to overcome identified barriers.





Thank you!

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