



Collaborating Hospitals'
Audit of Surgical Mortality

Surgical Case Form

PRIVILEGED

Important

- 1. Please do not destroy this form**
- 2. Please do not copy this form**
- 3. Please return this form to the audit office
(in reply paid envelope provided)**

By submitting this form to the Mortality Audit, I agree that Australian and New Zealand Audit of Surgical Mortality (ANZASM) may inform the Professional Standards Department of my involvement with the surgical mortality audit, to confirm my compliance with Continuing Professional Development (CPD) requirements.

The information collected in this form is privileged under section 23 of the NSW Health Administration Act, 1982.



Surgical Case Form

ANZASM inclusion criteria:

ANZASM defines a surgeon as a medical practitioner who performs surgical operations; that is, consultants, SET trainees, locums, GP surgeons and Fellows (who are not consultants but are continuing their Fellowship).

Case Inclusion

The ANZASM audits all deaths that occur in a hospital where:

- 1) The patient was under the care of a surgeon (surgical admission), whether or not an operation was performed, or
- 2) The patient was under the care of a physician (medical and non-surgical admissions) and there was a surgical procedure performed.

Participation in ANZASM is protected by Qualified Privilege as a declared Quality Assurance Activity according to part VC of the *Health Insurance Act 1973 (Cth)*.

NOD ID

Sex

DOB

Admission Date

Date of Death

Specialty

Hospital ID

Exclusion for terminal patients:

Please complete this section for all patients

Was terminal care planned for this patient prior to or on admission?

YES

NO

If **YES** please describe the terminal condition:

(go to page 2 and complete ALL questions on this form)

If **YES**, was an operation performed on this terminal care patient?

YES - go to page 2 and complete ALL questions on this form

NO (this patient is **EXCLUDED** from the audit; do NOT complete this form)

Return this form to the Audit Office.

All identifiers will be removed by the Audit Office on receipt of this completed form:

Patient name

UMRN

Hospital

Consultant surgeon

Name of any Surgeon(s)/Trainee(s) to whom individual feedback should be sent

Anaesthetist(s) – please name

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NOD ID

1	Status of surgeon completing form:	Specialty of consultant surgeon in charge of patient:		
	Consultant	General	Ophthalmology	
	Fellow	Vascular	Paediatrics	
	International Medical Graduate	Urology	Obstetrics and Gynaecology	
	SET trainee	Neurosurgery	Plastic	
	Service Registrar	Orthopaedics	Oral/Maxillofacial	
	GP surgeon	Otolaryngology Head and Neck	Cardiothoracic	
		Other (specify)		

2	Patient Age			
	Patient Sex	Male	Female	
	Hospital Status	Private	Public	Co-Located
	Admission Type	Elective	Emergency	
	Patient Status	Private	Public	Veteran
	Patient admitted by a surgeon	Yes	No	

3 Main surgical diagnosis on admission *(as suspected by clinicians after initial assessment)*

Confirmed main surgical diagnosis *(taking into account test results, operations, post mortem etc)*

Final cause of death *(taking all information into account, including post mortem)*

4	Were there significant co-existing factors increasing risk of death?	Yes <i>(tick all that apply)</i>			No
	Cardiovascular	Hepatic	Diabetes	Age	Alcohol use
	Respiratory	Neurological	Obesity	Advanced malignancy	Tobacco use
	Renal	Other (specify)			

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ASA 1 – A normal healthy patient

ASA 2 – A patient with mild systemic disease

ASA 3 – A patient with severe systemic disease which limits activity, but is not incapacitating

E (emergency)

ASA 4 – A patient with an incapacitating systemic disease that is a constant threat to life

ASA 5 – A moribund patient who is not expected to survive 24 hours, with or without an operation

ASA 6 – A brain-dead patient for organ donation

6

Was the patient transferred Yes No

If **yes**; Distance (km)

Preoperatively

Postoperatively

Transferred from hospital

Transferred to hospital

Was there a delay in transfer? Yes No Was the transfer appropriate? Yes No

Was level of care during transport appropriate? Yes No Was there sufficient clinical information? Yes No

Why was the patient transferred?

7

Was there a **preoperative delay** in confirmation of main surgical diagnosis? Yes No If **NO**, go to Q8a

Was the delay associated with:

GP Medical Unit Surgical Unit Emergency Department Other (specify)

Was this due to: (tick all that apply)

Inexperience of staff

Misinterpretation of results

Unavoidable factors

Failure to do correct test

Results not seen

Other (specify)

8a

Was this patient **treated** in a critical care unit (ICU or HDU) during this admission? Yes (go to Q8b) No (continue)

Should this patient have been provided critical care in:

Intensive Care Unit (ICU)? Yes (continue) No (go to Q9)

High Dependency Unit (HDU)? Yes (continue) No (go to Q9)

Why did this patient not receive critical care? (tick all that apply and then go to Q9)

No ICU/ HDU bed available

Active decision not to refer to critical care unit

Admission refused by critical care staff

Not applicable

No critical care unit in the hospital

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8b Was the surgical team satisfied with the critical care unit management of this patient?

Yes (go to Q9) No (specify reasons below)

Specify

9 Please describe the course to death (or attach report)

(use back of form if required)

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10 Was an operation performed within 30 days of death or during the last admission?

Yes If **YES**, go to Q11. No If **NO**: (*tick as necessary*)

It was not a surgical problem

Active decision not to treat or operate

→ Was this a consultant's decision? Yes No

Patient/family refused operation

Rapid death

If NO operation was performed, please go to Q18

11 Surgeon's view (before any surgery) of overall risk of death

Minimal Small Moderate Considerable Expected Futile

12 Description of operation(s) (including relevant radiological or endoscopic procedures)

Operation (1) Date / / Start time (24hr clock) Estimated length of operation (hours)

Operation (2) Date / / Start time (24hr clock) Estimated length of operation (hours)

Operation (3) Date / / Start time (24hr clock) Estimated length of operation (hours)

13 Timing of operation

1st Op 2nd Op 3rd Op

Elective

Immediate (< 2 hours)

Emergency (< 24 hours)

Scheduled emergency (> 24 hours after admission)

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Was there a consultant anaesthetist present at the operation? 1st Op 2nd Op 3rd Op

Yes

No

Was the operation abandoned on finding a terminal situation? Yes

No

N/A

15

Grades of surgeons making decisions, operating, assisting and present in theatre

	1st Op				2nd Op				3rd Op			
	Decide	Operate	Assist	In Theatre	Decide	Operate	Assist	In Theatre	Decide	Operate	Assist	In Theatre
Consultant												
Fellow												
International Medical Graduate												
SET Trainee												
Service Registrar												
GP Surgeon												
None												

16

Was there a definable **postoperative** complication? Yes No If **NO**, go to Q17

Surgical **complications** relating to present admission (*please tick all that apply*)

Anastomotic leak site → *Oesophageal Pancreas/biliary Colorectal Gastric Small bowel*

Procedure related sepsis Tissue ischaemia Neurological deficiency Cerebrospinal fluid leak

Significant postoperative bleeding/haemorrhage Vascular graft occlusion Cerebral swelling Endoscopic perforation

Infection

Other (specify)

Was there a **delay in recognising** postoperative complications? Yes No

17

Was there an anaesthetic component to this death? Yes No Possibly

Was death within 24 hours of last anaesthetic? Yes No Don't know

18

Was a post-mortem examination performed?

Yes – Hospital Yes – Coroner No Refused Unknown

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19 Was DVT prophylaxis used during this admission? Yes No

If **YES** (*tick all that apply*)

Heparin (any form) Aspirin TED Stockings
 Warfarin Sequential compression device Other (specify)

If **NO**, state reasons: Not appropriate Active decision to withhold Not considered
 and please comment on why **NOT** used

20 Was there an **unplanned return** to theatre? Yes No Unknown
 Was there an **unplanned admission** to a critical care unit? Yes No Unknown
 Was there an **unplanned readmission** within 30 days of surgery? Yes No Unknown
 Was **fluid balance** an issue in this case? Yes No Unknown
 If yes, was the patient Under-hydrated Over-hydrated
 Would it be beneficial for this case to undergo **Root Cause Analysis**? Yes No Unknown
 Was **fatigue** an issue in this case? Yes No Unknown
 Was there an issue with **communication** at any stage? Yes No Unknown

If there was an issue with communication, please provide details:

21a Did this patient die with a clinically-significant infection? Yes (continue) No (go to Q22)
 Did infection contribute to or cause death? Yes No
 Was this infection acquired: before this admission (go to Q21b) or during this admission (continue)
 If acquired during this admission, was the infection: acquired preoperatively a surgical-site infection
 acquired postoperatively other invasive-site infection

21b Was the **infection**: Pneumonia Intra-abdominal sepsis Septicaemia Cranial/Spinal infection Other source
 Was the infective organism identified? Yes No (go to Q22)
 If **YES**, what was the organism?

Was there a delay in treatment of the infection? Yes No

22 Was the **antibiotic regimen** appropriate? Yes No Not applicable Unknown

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23 If an operation occurred, do you consider **management** could have been **improved** in the following areas?

Preoperative management/ preparation	Yes	No	N/A	Intraoperative/technical management of surgery	Yes	No	N/A
Decision to operate at all	Yes	No	N/A	Grade/experience of surgeon deciding	Yes	No	N/A
Choice of operation	Yes	No	N/A	Grade/experience of surgeon operating	Yes	No	N/A
Timing of operation (<i>too late, too soon, wrong time of day</i>)	Yes	No	N/A	Postoperative care	Yes	No	N/A
Appropriate equipment available?	Yes	No	N/A				

24a An area for **CONSIDERATION** is where the clinician believes areas of care COULD have been IMPROVED or DIFFERENT, but recognises that it may be an area of debate.

An area of **CONCERN** is where the clinician believes that areas of care SHOULD have been better.

An **ADVERSE EVENT** is an unintended injury caused by medical management rather than by disease process, which is sufficiently serious to lead to prolonged hospitalisation or to temporary or permanent impairment or disability of the patient at the time of discharge, or which contributes to or causes death.

Were there any issues in the management of this patient? Yes (please describe below) No (go to Q25)

Have you reported this in an incident management system, such as IMS+? Yes No

24b **Important:** please describe the 3 most significant clinical management issues.

i). (please describe the most significant clinical management issue)

Area of:	Which:	Was the event preventable?	Associated with?
Consideration	Made no difference to outcome	Definitely	Audited Surgical team
Concern	May have contributed to death	Probably	Another Clinical team
Adverse event	Caused death of patient who would otherwise be expected to survive	Probably not	Hospital
		Definitely not	Other (please specify)

ii). (please describe the second most significant clinical management issue)

Area of:	Which:	Was the event preventable?	Associated with?
Consideration	Made no difference to outcome	Definitely	Audited Surgical team
Concern	May have contributed to death	Probably	Another Clinical team
Adverse event	Caused death of patient who would otherwise be expected to survive	Probably not	Hospital
		Definitely not	Other (please specify)

iii). (please describe the third most significant clinical management issue)

Area of:	Which:	Was the event preventable?	Associated with?
Consideration	Made no difference to outcome	Definitely	Audited Surgical team
Concern	May have contributed to death	Probably	Another Clinical team
Adverse event	Caused death of patient who would otherwise be expected to survive	Probably not	Hospital
		Definitely not	Other (please specify)

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24c List other events

25 In retrospect, would you have done anything differently? Yes No
If YES, please specify

26 Was trauma involved?	Yes (continue) No Unknown	
(a) Was the trauma the result of a fall ?	(b) Was the trauma the result of a road traffic incident ?	(c) Was the trauma the result of violence ?
Yes (continue)	Yes (continue)	Yes (continue)
No (go to (b))	No (go to (c))	No
If yes, please indicate:	If yes, please indicate:	If yes, please indicate:
Fall at home	Motor vehicle incident	Domestic violence
Fall in a care facility	Motor bike incident	Public violence
Fall in hospital	Bicycle incident	Self-inflicted violence
Unknown	Pedestrian incident	Unknown
Other (please specify)	Unknown	Other (please specify)
	Other (please specify)	
Specify	Specify	Specify

27 Do you consider this to be a preventable death?
Definitely Probably Probably Not Definitely Not Unknown

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Additional comments