



# First-line Assessment Form



ROYAL AUSTRALASIAN  
COLLEGE OF SURGEONS

## Important

1. Please do not destroy this form
2. Please do not copy this form
3. **Please complete and return this form to the Audit office**
4. Please see back page, *Guidelines for First-line Assessment*

# First-line Assessment Form

Study Number

1

Was there enough information to come to a conclusion? Yes  No

If NO, what information was lacking? .....

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2

Should this case progress to second-line assessment (that is *case note review*)? Yes  No

If YES, which aspects of the case should be looked at in more detail? .....

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3

**If no operation was performed:**

Should an operation have been performed? Yes  No  N/A

If YES, what operation and why? .....

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4

**Assessor's view (before any surgery) of overall risk of death**

Minimal  Small  Moderate  Considerable  Expected

5

**Was this patient treated in a critical care unit during this admission?**

Yes  (go to Q6) No  continue

**Should this patient have been provided critical care in:**

Intensive Care Unit (ICU)? Yes  No  High Dependency Unit (HDU)? Yes  No

6

**Was the decision on the use of DVT prophylaxis appropriate?** Yes  No  don't know

7

**Was fluid balance an issue in this case?** Yes  No  don't know

8

**Do you consider management could have been improved in the following areas?**

Pre-operative management/ preparation	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Intra-operative/technical management of surgery	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Decision to operate at all	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Grade/experience of surgeon deciding	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Choice of operation	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Grade/experience of surgeon operating	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
Timing of operation ( <i>too late, too soon, wrong time of day</i> )	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	Post operative care	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

**Note:** If areas for consideration, areas of concern, or adverse events have been identified, please list below in order of significance.

# First-line Assessment Form

**Definitions:** 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.

**9a** Were there any *Areas for Consideration, Areas of Concern or Adverse Events* in the management of this patient? Yes  No

**9b** (please describe the most significant event) .....

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

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**9c** (please describe the second most significant event) .....

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

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**9d** (please describe the third most significant event) .....

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

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# First-line Assessment Form

Comments

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## Guidelines for First-line Assessment

### Introduction

The Audit has two stages of peer-review assessment:

- 1) First-line Assessment (FLA)
- 2) Second-line Assessment (SLA)

### Stage 1: FLA

- A FLA is conducted for all surgical cases.

### Stage 2: SLA

- A SLA is conducted for select surgical cases needing further case note review.

### How to carry out a FLA:

- Review the Surgical Case Form
- Complete the FLA form
- Return ALL documents to the Audit office (see Checklist below)
- Importantly note:
  - > If the first-line assessor thinks a 'case note review' is required then this case will progress to second-line assessment.
  - > Medical records will then be requested and a second-line assessor chosen.
  - > A second-line assessor will review the case notes (medical records – last admission only); surgical case form; and the first-line assessor's comments, before writing a one-page report.
  - > The review is carried out and the report written in a spirit of sympathetic enquiry, providing sufficient details for a clear view of events.

### Checklist

Return, in reply paid envelope provided, the items below:

- 1) Surgical Case Form
- 2) First-line Assessment Form

Contact the Audit office if you have any questions