

# Instructions for Conducting the Self Assessment

☑ **It is important for each facility within a multifacility system to complete the self assessment individually. FAQ**

## 1. Establish a team

Establish a core interdisciplinary team consisting of, or similar to, the following:

- Senior facility leader/administrator and/or chief nurse leader
- One or two surgeons/physicians who perform medical and/or surgical procedures under sedation
- One or two **ANESTHESIA PROVIDERS** (e.g., anesthesiologist, CRNA, certified anesthesiologist assistant)
- One or two frontline perioperative nurses (e.g., preoperative/**POST-ANESTHESIA CARE UNIT** nurse, circulating nurse, scrub nurse)

If applicable to the healthcare setting, the core team might also include:

- **ANESTHESIA PERSONNEL** (e.g., anesthesia technician)
- Other frontline perioperative staff (e.g., surgical technician)
- Director of pharmacy or director of pharmacy operations
- Staff pharmacist (from **OPERATING ROOM** satellite, if applicable)
- Clinical information technology specialist
- **MEDICATION SAFETY OFFICER** or patient safety officer/manager
- Risk management and quality improvement professional

During pilot testing of the assessment, ASCs typically created teams comprising two to three practitioners, and hospitals typically created teams comprising three to eight practitioners (largely dependent on the size of the facility). Because the assessment should be based on what actually occurs, not what is found in current policies or what should occur, the team should include frontline staff who use medications in the perioperative setting. For example, if assessing items related to **MODERATE SEDATION**, you will need to include nurses, pharmacists (if applicable), **ANESTHESIA PROVIDERS**, and other physicians with experience using these medications for that purpose on the assessment team. Focusing on a systems-based approach to identifying deficiencies, rather than blaming individuals for not following a policy, provides an opportunity for leaders in the perioperative setting to demonstrate that they understand and practice the principles of a **JUST CULTURE**. By participating on the team, members agree to the responsibility of evaluating, accurately and honestly, the status of perioperative medication systems and practices in their facility.

☑ **Because medication use is a complex, interdisciplinary process, the value and accuracy of the self assessment is significantly reduced if it is completed by a single discipline.**

Choose a team leader from among the core team who will be able to coordinate an accurate and complete response, along with a second individual to record responses. The entire team should actively participate in the collaborative completion of the demographic questions and evaluation of the assessment items. Set up approximately three 1.5 hour meetings for ASCs and four 1.5 hour meetings for hospitals to accomplish all tasks. During each meeting, the team should be provided with sufficient time to complete the demographic questions or a defined section of the self-assessment items.

## 2. Provide assessment items, definitions, and FAQs to all team members

Read and review the self-assessment directions, key definitions and abbreviations, the glossary, demographic questions, assessment items, and the FAQs before beginning the assessment process. The team leader may want to provide each team member with access to the **ISMP Medication Safety Self Assessment® for Perioperative Settings** workbook and FAQs ([www.ismp.org/node/18027](http://www.ismp.org/node/18027)) for review prior to the first team meeting.

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## Instructions for Conducting the Self Assessment continued

### 3. Choose an option for completing the assessment

There are three options for completing the assessment.

**Option 1:** Use the online self-assessment form to view the demographic questions and self-assessment items at team meetings. Answer each demographic question, and select your choice (A through E, or Not Applicable) for each self-assessment item, while saving your entered information between meetings. (Please see step 1 **on page 13** for information regarding accessing the online self-assessment form and creating an account with a username and password.) **Please note:** The demographic questions need to be answered and submitted to ISMP to gain access to the self-assessment items. Each Core Characteristic will need to be completed and submitted before proceeding to the next Core Characteristic.

**Option 2:** Print hardcopies of the demographic questions and self-assessment items ([www.ismp.org/node/18027](http://www.ismp.org/node/18027)) to share with team members. During team meetings, manually answer each demographic question and fill in your choice (A through E, or Not Applicable) for each self-assessment item. Submission of your information to ISMP must occur using the online self-assessment form.

**Option 3:** Download the Excel file ([www.ismp.org/node/18027](http://www.ismp.org/node/18027)) containing all the demographic questions and self-assessment items to share with team members. During team meetings, answer each demographic question and select your choice (A through E, or Not Applicable) for each self-assessment item, while saving your entered information between meetings. Submission of your information to ISMP must occur using the online self-assessment form.

### 4. Collect demographic information

Before the first team meeting, the team leader may need to gather and verify some of the responses to the demographic questions. These can be reviewed and confirmed with team members at the first meeting.

### 5. Convene the first team meeting to review the assessment process and answer the demographic questions

For the first team meeting, convene the members to communicate leadership endorsement of the effort, review the overall timeline and assessment process, become familiar with the assessment tool, and answer the demographic questions. We anticipate that this first meeting will take approximately 1.5 hours.

### 6. Convene subsequent team meetings to conduct the self assessment

To conduct the assessment, convene the team, discuss each assessment item, and evaluate your facility's success with implementation of the items. As necessary, allow team members to investigate and verify the level of implementation of certain items with other healthcare practitioners outside your team. When a consensus on the level of implementation for each self-assessment item has been reached, select the appropriate choice (A through E, or Not Applicable), using the following scoring key and guidelines:

#### Scoring Key

<b>A</b>	There has been no activity to implement this item.
<b>B</b>	This item has been formally discussed and considered, but it has not been implemented.
<b>C</b>	This item has been partially implemented for some or all patients, orders, drugs, or staff.
<b>D</b>	This item is fully implemented for some patients, orders, drugs, or staff.
<b>E</b>	This item is fully implemented for all patients, orders, drugs, or staff.

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## Instructions for Conducting the Self Assessment continued

### Important Choice Selection Guidelines

**For self-assessment items with multiple components in a single item:** Full implementation (choice of D or E) is evidenced only if all components are present for some or all patients, orders, drugs, or staff. If only one or some of the components have been partially or fully implemented for some or all patients, orders, drugs, or staff, self-assessment choices should not exceed level C. If all components have not been fully implemented for all patients, orders, drugs, or staff, assessment choices should not exceed level D.

**For self-assessment items with multiple subparts labeled in lowercase, sequential letters (a, b, c, and so on):** Select a choice (A through E, or Not Applicable) for each of the items separately.

**For self-assessment items with two or three distinct components, each separated with the word “OR,” and labeled a and b (and c in some cases):** Choose the one component within the item that is most relevant to your facility, and select your choice (A through E, or Not Applicable) for only that one element.

**For self-assessment items with an option of “Not Applicable”:** Select “Not Applicable” only if your facility meets the “Not Applicable” scoring guideline for that item.

**If you have questions** about the assessment items, assessment process, or scoring, refer to the FAQs available on the ISMP website: [www.ismp.org/node/18027](http://www.ismp.org/node/18027). The online self-assessment form has certain items directly linked to FAQ responses. If you need additional assistance, contact ISMP at: [selfassess@ismp.org](mailto:selfassess@ismp.org), or submit a question using either the “Contact Us” link on the ISMP website (using the “Self-Assessments” dropdown selection) or the “Need help?” link found on the online self-assessment form.

Consider assigning an individual to record any discussion generated around each self-assessment item and the rationale behind the selected choice. This information will not be collected and is meant for internal use only but can be very useful to the team when reviewing scores for individual items or reassessing your organization later. Such notation will provide insight into why a certain response was selected for a self-assessment item at that point in time.

Convene the appropriate team members as long as necessary to complete the assessment as described above. The number of meetings needed to complete the entire assessment will vary depending on the length and frequency of each meeting, and whether team members have familiarized themselves with the tool. However, pilot testing of the tool identified an average of three to four 1.5-hour meetings to complete the assessment once team members are familiar with the process and have answered the demographic questions.

### 7. Submit your information to ISMP

To submit your information to ISMP or to use Option 1 to complete the assessment, go to: <https://ismpassessments.org/peri/>, which can also be accessed through the ISMP website at: [www.ismp.org/node/18027](http://www.ismp.org/node/18027). See the next page for further information about creating a username and password, entering your information, submitting your completed assessment results to ISMP, and accessing your results.

 **Submit your self-assessment findings to ISMP by October 1, 2021.**

# Instructions for Entering and Submitting Information to ISMP

## 1. Create a new user account for the online self-assessment form

To enter and view your assessment results, and to submit your findings to ISMP, only one individual from your facility's core team will need to create a free account. To create a new account, go to: <https://ismpassessments.org/peri/>, which can also be accessed through the ISMP website at: [www.ismp.org/node/18027](http://www.ismp.org/node/18027), and click on the "CREATE ACCOUNT" link. The team member creating the account for your organization will be prompted to create a username and password, as well as to select the one category that best describes your facility (see **page 16** for the category options). There will also be an option to provide an email address that can be used if necessary to reset your password. If your facility is part of a participating health system or collaborative that plans to analyze its aggregate data internally, please enter your assigned health system- or collaborative-specific code (or codes if participating in more than one) in the provided field(s) under your facility's account. (See the **FAQ** on this topic for details.)

**Please note:** An email address is not required when setting up an account; however, because ISMP does not ask for any information that could be used to identify a specific facility's assessment, a user's account and assessment results can only be retrieved with an email address that is linked to the account (in the event of a forgotten username and/or password), or with the account username (in the event of a forgotten password if no email address was provided).

At any point following the creation of the account, you can access your facility's account by going to: <https://ismpassessments.org/peri/>, clicking on "USER LOGIN," and entering your facility's username and password. If you have forgotten your password, reset your password at: <https://ismpassessments.org/peri/user/password> (or click on the "Have you forgotten your password?" link after entering an unrecognized password). For retrieval of your username (if an email address was provided) or your password (if an email address was not provided, but you have your username), please contact ISMP ([self\\_assess@ismp.org](mailto:self_assess@ismp.org)). To exit the online form at any point, click on the "LOGOUT" button found in the top right corner of the webpage.

Your facility's account will allow you to:

- Enter your information into the online self-assessment form
- Save your entered information and return to the online form at a later time
- Submit information to ISMP
- View a report of how your facility answered each general demographic question
- View a report of your facility's weighted score, the maximum weighted score, and your facility's percent (%) of the maximum weighted score for each Key Element and Core Characteristic and for the entire assessment
- View a report for each Core Characteristic of how your facility answered each self-assessment item, along with your facility's weighted score and the maximum weighted score for each item in that Core Characteristic
- View the Preliminary Aggregate Results workbook after the final submission date and once the results have been tabulated near the beginning of the fourth quarter of 2021

## 2. Complete and submit the general demographic questions

Once a new user account has been created, read and click through the "Invitation to Participate" and "Purpose" pages. Based on the facility category selected when creating your account, you will be directed to the demographic questions that are applicable to your practice setting. Complete the demographic questions and save your entered information by clicking on the "Save Draft" button found at the bottom of the demographics section.

If you have completed all of the demographic questions and are ready to submit, click on the "Please preview your answers before submitting" button found at the bottom of the demographics section, which will allow you to review your responses before submitting to ISMP. If you have not completed all of the questions, the system will alert you to those that have not yet been completed. All demographic questions must be answered to submit your information and move to the self-assessment items.

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## Instructions for Entering and Submitting Information to ISMP continued

- Please note:** You will not be able to access the assessment items until you have submitted your facility's demographic information. Once you submit your demographic information, you will not be able to change any of your selected answers to the demographic questions.

### 3. Complete the self-assessment items in each Core Characteristic

Once your facility has submitted its answers for the demographic questions, you will be directed to complete the self-assessment items within each of the 19 Core Characteristics, one Core Characteristic at a time. Follow the directions below to navigate through the online assessment and submit your responses to ISMP.

#### Navigation and Data Submission

To begin, click on the "Start Assessment" button. You will then be directed to complete and submit each Core Characteristic, one at a time. Begin by clicking on the "Start or Continue Core Characteristic" button for Core Characteristic # 1.

To save your facility's answer for an assessment item and to advance to the next item, click on the "Save and continue" button found below each self-assessment item. If you need to end a session and resume completing the assessment at a later time, you will still need to click on the "Save and continue" button in order to save the last item that has been answered.

Once you have answered the last item in the Core Characteristic, click on the "Save and continue button." At this point your responses for the Core Characteristic have been saved. If you are ready to submit your responses for the Core Characteristic, click on the "Save and continue button." You will then be queried to verify that you do want to submit your results to ISMP. Click on the "Save and continue" button again to continue with your submission. If you are not ready to submit, you can either use the "Back" button to make any changes or you can log out. All self-assessment items must be answered to submit your information to ISMP.

- Please note:** Each Core Characteristic will need to be completed and submitted before proceeding to the next Core Characteristic. Once you submit a Core Characteristic, you will not be able to change any of your selected answers for that Core Characteristic.

### 4. Generate and view your reports with weighted scores

After submitting your responses for the last Core Characteristic in this assessment (Core Characteristic # 19), click on the "View Results" button to gain access to your facility's results, including:

- Your facility's weighted score, the maximum weighted score, and your facility's percent (%) of the maximum weighted score for the entire assessment
- Your facility's weighted score, the maximum weighted score, and your facility's % of the maximum weighted score for each Key Element and Core Characteristic
- Your facility's answer choice for each item in each Core Characteristic
- Your facility's weighted score and the maximum weighted score for each item in each Core Characteristic

- Please note:** This report can be used to later compare your facility's findings with aggregate data from other demographically similar facilities. Please keep your username and password in a secure location, as you will be able to access your report at any time by logging into your online account.

At any point, once your facility's self assessment has been submitted to ISMP, you can access your facility's demographic answers and assessment results by clicking on "RESULTS" in the top right corner of the webpage. To view your facility's assessment results, click on the "My results" tab, and to view your facility's demographic answers, click on the "View your General Demographics submission" in the right column.

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## Instructions for Entering and Submitting Information to ISMP continued

- Weighted scores are not visible on the online self-assessment form while entering your information. Facilities can obtain their weighted scores only after they submit their completed self assessment to ISMP. Without weighted scores, facilities will be unable to compare their experiences to other demographically similar facilities that are participating in this assessment.**

### Explanation of Weighted Scores

To determine a weight for each self-assessment item, ISMP staff used a standard process to independently evaluate each item to determine its impact on patient safety and its ability to sustain improvement. Weighted scores range from zero to 16 points, depending on whether the assessment item reflects a best practice that has low-leverage (maximum value of 6 points), medium-leverage (maximum value of 10 points), or **HIGH-LEVERAGE RISK-REDUCTION STRATEGIES** (maximum value of 16 points).

Therefore, the self-assessment items with the highest weight are those that:

- Target **SYSTEM DESIGN/REDESIGN**
- Do not rely heavily upon human memory, performance, and vigilance
- Empirically demonstrate that they are effective in reducing serious medication errors
- Solve several medication-error related problems at the same time
- Safeguard **HIGH-RISK PATIENT** populations
- Prevent errors that have the greatest potential to cause patient harm
- Simplify, standardize, or centralize complex, error-prone processes
- Create high-level **SYSTEM DESIGN** barriers (e.g., forcing functions, failsafes) to prevent errors
- Create high-level system redundancies to capture errors before they reach patients
- Reduce practitioner tolerance of risk and increase incentives for making safe behavioral choices
- Make it hard for healthcare practitioners to do their job wrong, and easy for them to do it right
- Develop and sustain a **JUST CULTURE**

Most of the self-assessment items are weighted in a way that results in no numerical score (zero value) unless there is partial or full implementation (choice of C, D, or E) of the item. However, a few of the items that require extensive planning have been assigned a weighted score for formally discussing the item (choice of B). Some of the self-assessment items are weighted in a way that results in no numerical score unless there is full implementation of the item throughout the organization.

Weighted scores have also been assigned to “Not Applicable” choices based on the degree of risk associated with not implementing the suggested error-reduction strategy (e.g., **SMART INFUSION PUMP TECHNOLOGY** implementation) or the degree of risk avoided by not treating a specific population (e.g., pediatrics).

### Access to Comparative Reports

ISMP will prepare and publish a Preliminary Aggregate Results workbook which will contain comparative reports of perioperative medication safety practices in US facilities based on the data submitted. Once the data collection period has ended in 2021, facilities that have submitted the entire assessment to ISMP will be able to access these aggregate comparative reports by accessing their account that was used to enter and submit their self-assessment information at: <https://ismpassessments.org/peri/>. This workbook should be available near the beginning of the fourth quarter of 2021. In addition, further analysis of the data will be completed, and the results will be submitted for publication in a peer reviewed journal.