Interpretive Diagnostic Error Reduction in Surgical Pathology and Cytology

Guideline from the College of American Pathologists (CAP) Pathology and Laboratory Quality Center and the Association of Directors of Anatomic and Surgical Pathology

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Background

• Five factors contribute to accurate interpretive diagnoses
  o Pathologists’ knowledge and experience
  o Clinical correlation
  o Standardization of diagnostic criteria and taxonomy
  o Confirmatory ancillary testing
  o Review of cases

• Several of these factors contribute to establishing a precise diagnosis but the pathologist’s knowledge and experience remain the essential factors in interpretive diagnosis.
Background

• While numerous studies have shown that case reviews help detect interpretive diagnostic errors, there have been no efforts to formalize this practice as a strategy to reduce errors.

• In considering processes occurring in surgical pathology and cytology, targeted case reviews could be an integral component of a quality assurance plan that is aimed proactively at preventing errors before they have potential adverse impact on patient care.
Introduction

• The CAP and ADASP convened an expert panel to systematically review published documents and develop an evidence-based guideline to help define the role of case reviews in surgical pathology and cytology.

• The panel focused on the contribution of case reviews to error detection and prevention of interpretive diagnostic errors.

• Closely followed Institute of Medicine *Clinical Practice Guidelines We Can Trust* standards for guideline development.

<table>
<thead>
<tr>
<th>1. Establish transparency</th>
<th>5. Rate strength of recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Manage conflicts of interest</td>
<td>6. Articulate the recommendations</td>
</tr>
<tr>
<td>3. Establish a multi-disciplinary panel</td>
<td>7. Include external review</td>
</tr>
</tbody>
</table>
Expert Panel

Co-chairs
Raouf Nakhleh, MD, CAP
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Guideline Development Manager
Systematic Evidence Review

- Identify Key Questions
- Literature search
- Data extraction
- Develop proposed recommendations
- Open comment period
- Considered judgment process
  - Consider risks and benefits, cost, regulatory requirements, preferences, etc.
Interpretive Diagnostic Error Reduction: Overarching Question

• What are the most effective ways to reduce interpretive diagnostic errors in Anatomic Pathology?
Key Questions

1) Does targeted review (either done at analytic or post-analytic phase) of surgical pathology or cytology cases (slides and/or reports) reduce the error rate (often measured as amended reports) or increase the rate of interpretive error detection compared to no review, random review or usual review procedures?

2) What methods of selecting cases for review have been shown to increase/decrease the rate of interpretive error detection compared to no review, random review or usual review procedures?
Systematic Review Results

• Literature search conduction for January 1992 - October 2012
  o 823 articles included for abstract review
  o 294 articles included for full text review
  o 137 articles included for data extraction

• Included articles/documents that addressed surgical pathology and cytology and provided data or information relevant to one or more key questions
Systematic Review Results

• Public Comment Period
  o December 2013 – January 2014
  o 82 respondents, 303 total comments
  o Respondents agreed with 5 recommendations at a level between 87% - 93% each
<table>
<thead>
<tr>
<th>Designation</th>
<th>Recommendation</th>
<th>Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strong Recommendation</td>
<td>Recommend For or Against a particular pathology review practice (Can include must or should)</td>
<td>Supported by high (convincing) or intermediate (adequate) quality of evidence and clear benefit that outweighs any harms</td>
</tr>
<tr>
<td>Recommendation</td>
<td>Recommend For or Against a particular pathology review practice (Can include should or may)</td>
<td>Some limitations in quality of evidence (intermediate [adequate] or low [inadequate]), balance of benefits and harms, values, or costs but panel concludes that there is sufficient evidence to inform a recommendation.</td>
</tr>
<tr>
<td>Expert Consensus Opinion</td>
<td>Recommend For or Against a particular pathology review practice (Can include should or may)</td>
<td>Serious limitations in quality of evidence (low [inadequate] or insufficient), balance of benefits and harms, values or costs, but panel consensus is that a guideline is necessary.</td>
</tr>
<tr>
<td>No Recommendation</td>
<td>No recommendation for or against a particular pathology review practice</td>
<td>Insufficient evidence, confidence, or agreement to provide a recommendation.</td>
</tr>
</tbody>
</table>
Guideline Statement 1

1. Anatomic pathologists should develop procedures for review of pathology cases in order to detect disagreements and potential interpretive errors and to improve patient care.
Guideline Statement 1: Anatomic pathologists should develop procedures for review pathology cases in order to detect disagreements and potential interpretive errors and to improve patient care.

• Rationale:
  o All studies show review of cases detect errors
  o Error rates that may affect patient care were variable but significant
  o Should be tailored to the needs of the individual laboratory
  o Ideally case reviews can enhance teamwork and reduce errors
Guideline Statement 1: Anatomic pathologists should develop procedures for review pathology cases in order to detect disagreements and potential interpretive errors and to improve patient care.

- **Strength of Recommendation:** Recommendation
- **Quality of Evidence:** Low
  - The evidence was inadequate to demonstrate a direct impact on patient safety because few studies reported the clinical impact on patient outcomes that resulted from interpretive errors.
  - The overall quality of evidence was low, but due to consistent findings of a large number of studies of clinically important major discrepancy rates, and the significant impact that a diagnostic error may be expected to have on an affected individual, the panel graded this guideline statement as a “recommendation”
Guideline Statement 1 – Summary of Studies

<table>
<thead>
<tr>
<th>Study type</th>
<th>Discrepancy rates (%)</th>
<th>Major Discrepancy rates (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No. of studies</td>
<td>Median (25th-75th percentile)</td>
</tr>
<tr>
<td>All studies</td>
<td>116</td>
<td>18.3 (7.5-34.5)</td>
</tr>
<tr>
<td>Surgical pathology</td>
<td>84</td>
<td>18.3 (7.5-37.4)</td>
</tr>
<tr>
<td>Cytology</td>
<td>19</td>
<td>24.8 (17.4-38.8)</td>
</tr>
<tr>
<td>Both</td>
<td>13</td>
<td>9.1 (6.7 – 15.8)</td>
</tr>
<tr>
<td>Multi-organ</td>
<td>43</td>
<td>9.1 (3.8-18.7)</td>
</tr>
<tr>
<td>Single-organ*</td>
<td>73</td>
<td>25.2 (14.0-43.7)</td>
</tr>
<tr>
<td>Internal**</td>
<td>35</td>
<td>10.9 (3.8 – 17.6)</td>
</tr>
<tr>
<td>External</td>
<td>79</td>
<td>23.0 (10.6-40.2)</td>
</tr>
</tbody>
</table>

*Single-organ refers to studies that focus on one organ or organ system; multi-organ refers to studies that are not limited with regard to organs studied.

**Internal refers to reviews of pathology reports within a single institution; external refers to reviews of cases given a diagnosis at a different institution.
Guideline Statement 2

2. Anatomic pathologists should perform case reviews in a timely manner to have a positive impact on patient care.
Guideline Statement 2: Anatomic pathologists should perform case reviews in a timely manner to have a positive impact on patient care.

• Rationale:
  o Reviews should be performed in a timely manner to ensure appropriate treatment decisions and patient care
  o Ideally prospective reviews, before case sign-out reduces rework
  o Retrospective reviews may also be performed, when prospective reviews are not possible due to various lab limitations and constraints, but should occur in a timely manner.
  o Retrospective review examples:
    • clinical correlation conferences
    • correlating cytology/biopsy cases with excision specimens,
    • Should not change
Guideline Statement 2: Anatomic pathologists should perform case reviews in a timely manner to have a positive impact on patient care.

- Strength of Recommendation: Recommendation
- Quality of Evidence: Low
  - The literature review found four moderate-quality comparative studies that show prospective reviews (before sign-out) compared with retrospective review (after sign-out) can reduce disagreement/major disagreement rates and amended report rates
  - The evidence was inadequate to demonstrate a direct impact on patient safety because few studies reported patient outcomes that resulted from interpretive errors.
  - The quality of evidence is low but due to consistent findings in these 4 studies and no contradictory studies, the panel graded this guideline statement as a “recommendation.”
## Prospective vs. Retrospective Review

<table>
<thead>
<tr>
<th>Studies</th>
<th>Setting</th>
<th>Comparison</th>
<th>Prospective Rate</th>
<th>Retrospective Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renshaw and Gould, 2006</td>
<td>Single Institution</td>
<td>Subgroup cohort</td>
<td>D 4.8%</td>
<td>7.2%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>A 0.0%</td>
<td>0.5%</td>
</tr>
<tr>
<td>Novis, 2005</td>
<td>Single Institution</td>
<td>Historical cohort</td>
<td>A 0.6%</td>
<td>1.3%</td>
</tr>
<tr>
<td>Lind et al, 1995</td>
<td>Single Institution</td>
<td>Historical cohort</td>
<td>D 14.1%</td>
<td>13.0%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SD 1.2%</td>
<td>1.7%</td>
</tr>
<tr>
<td>Owens et al, 2010</td>
<td>Single Institution</td>
<td>Historical cohort</td>
<td>D 2.3%</td>
<td>3.4%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>SD 0.0%</td>
<td>0.2%</td>
</tr>
<tr>
<td>Nakhleh, 1998</td>
<td>Multiple Institutions</td>
<td>Review method</td>
<td>A 0.12%</td>
<td>0.16%</td>
</tr>
</tbody>
</table>

Abbreviations: A, amended reports; D, discordance; SD, significant discordance
3. Anatomic pathologists should have documented case review procedures that are relevant to their practice setting.
Guideline Statement 3: Anatomic pathologists should have documented case review procedures that are relevant to their practice setting.

• Rationale:
  o Many review methods describe with variable results
  o May affect turnaround time, increase workload, and add expense
  o The ideal method may depend on the practice setting
  o Tailor to maximize error detection while minimizing negative impacts
  o Methods to consider include: Targeted review, general review, percentage of cases reviewed, blinded review, review of cases with known high rates of missed lesions and others
  o The laboratory medical director is responsible for determining the policy
Guideline Statement 3: Anatomic pathologists should have documented case review procedures that are relevant to their practice setting.

- Strength of Recommendation: Expert Consensus Opinion
- Quality of Evidence: Very Low
  - The quality of evidence was low to support using case review procedures compared to no case review procedures and to support targeted reviews versus random case review procedures; however, the evidence was very low with regard to distinction between different methods of review.
  - The overall quality of evidence was very low leading the panel to rate this guideline statement with the strength of recommendation of “expert consensus opinion”.
Guideline Statement 3: Anatomic pathologists should have documented case review procedures that are relevant to their practice setting.

• Review Considerations
  o The reviewing pathologist should independently formulate opinions without influence from others
  o The reviewing pathologist ideally should have sufficient knowledge in the material they are reviewing
  o Case reviews performed prior to sign-out could be used to build collaborative teamwork and are excellent opportunities for pathologists to learn and improve their skills
  o Targeted review of selected organs or diseases leads to detection of more errors compared to review of cases randomly
Random vs. Focused Review (Raab et al)

• 5% random review vs. focused review
• 5% random review detected 2.6% error (195/7444 cases)
• Focused review detected 13.2% error (50/380 cases)
• $p$ value < .001
• Major error rates: Random 27 (0.36%) vs. Focused 12 (3.2%)

Am J Clin Pathol 2008;130:905-912
Selection of Material to Review (Renshaw and Gould)

• In this study different strategies and different combinations were considered

• Data that was considered from the institution:
  - Tissue with highest amended rates: Breast 4.4%, endocrine 4%, GYN 1.8%, cytology 1.3%
  - Specimen types with highest amended rates: Breast core bx 4.0%, Endometrial curettings 2.1%
  - Diagnoses with highest amended rates: non-dx 5%, atypical/suspicious 2.2%

Am J Clin Pathol 2006;126:736-739
Selection of Material to Review (Renshaw and Gould)

• Different combinations were used to determine types of review
  - Review of nondiagnostic and atypical/suspicious resulted in review of 4% of cases and detect 14% of amended reports
  - Reviewing all breast, GYN, non-GYN cytology and endocrine material resulted in review of 26.9% of cases and detected 88% of amended reports.
Limitations

• Situations where reviews may not be easy or convenient

• Solo Practice and Small group (2-3)
  o Document all outside reviews
  o Document conference cases

• Complete sub-specialization sign-out
  o Document clinico-pathologic conference cases
  o Peer review within the group
  o Share cases across institutions
Guideline Statement 4

4. Anatomic pathologists should continuously monitor and document the results of case review.
Guideline Statement 4: Anatomic pathologists should continuously monitor and document results of case review.

• Rationale:
  o Once established, the process should be monitored, ensuring that the program is functioning as intended and that all anatomic pathologists are compliant.
  o Methods of monitoring include:
    • overall rates of case review before sign-out
    • monitoring amended/revised report rates
    • minor/major discrepancies
    • others
  o Information should be used to assess
    • Local variations
    • Problematic case types with poor agreement
Guideline Statement 4: Anatomic pathologists should continuously monitor and document results of case review.

- **Strength of Recommendation: Expert Consensus Opinion**
- **Quality of Evidence: Very Low**
  - The quality of evidence based on agreement studies was *low* for the finding that for several defined diagnoses and/or organ systems interobserver agreement is poor.
  - In the panel’s literature review there were no studies that directly related continuous monitoring to diagnostic agreement or improvement.
  - The quality of evidence was *very low* leading the panel to rate this guideline statement with the strength of recommendation of “expert consensus opinion”.
Guideline Statement 4: Anatomic pathologists should continuously monitor and document results of case review.

• Methods of documentation:
  o Documentation of review policy in QA plan
  o Documentation of actual review of cases
    • Body of the report
    • Separate intra-departmental consultation log
    • Consensus conference log
  o Documentation of quality assessment
    • Rate of case reviews
    • Adherence to review policy (diagnosis or organ policy)
    • Amended report rate
    • Periodic assessment of errors or disagreements.
Guideline Statement 5

5. If pathology case reviews show poor agreement within a defined area, anatomic pathologists should take steps to improve agreement.
Guideline Statement 5: If pathology case reviews show poor agreement within a defined area, anatomic pathologists should take steps to improve agreement.

• Rationale
  o some diagnoses have inherently higher inter-observer variation, and these differences in achieving diagnostic precision should be acknowledged
  o pathology diagnoses are dynamic and terminology changes, this may lead to the appearance of variation
  o When inter-observer variation is observe:
    • Investigate the cause
    • Identify possible outliers
    • Take steps to improve
      – Consensus conference within department
      – Use calibration slide sets
      – Achieve departmental consensus of the solution
Guideline Statement 5: If pathology case reviews show poor agreement within a defined area, anatomic pathologists should take steps to improve agreement.

• Strength of Recommendation: Expert Consensus Opinion

• Quality of Evidence: Not assessed
  
  o The quality of evidence was low regarding the best methods to improve agreement in areas for which agreement is poor. It is likely that best approaches may differ based on features of disease, individual practice patterns and available ancillary diagnostic tests.

  o In the panel’s literature review there were no studies that directly related continuous monitoring to diagnostic agreement or improvement.

  o The quality of evidence was not assessed leading the panel to rate this guideline statement with the strength of recommendation of “expert consensus opinion”.

### Examples of Studies Addressing Diagnostic Agreement

<table>
<thead>
<tr>
<th>Author</th>
<th>Organ</th>
<th>Disease</th>
<th>Decision</th>
<th>Kappa</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kerkhof et al., 2007</td>
<td>Esophagus</td>
<td>Barrett's Esophagus</td>
<td>3 cat (ND, IND/LGD HGD/AC)</td>
<td>0.25-0.27</td>
</tr>
<tr>
<td>Zaino et al., 2006</td>
<td>Uterus</td>
<td>Atypical endometrial hyperplasia</td>
<td>Atypical hyperplasia vs. others</td>
<td>0.4 (0.34-0.43)</td>
</tr>
<tr>
<td>Oyama et al., 2005</td>
<td>Prostate</td>
<td>Adenocarcinoma</td>
<td>Gleason grade</td>
<td>0.49</td>
</tr>
<tr>
<td>Davidov et al., 2010</td>
<td>Thyroid</td>
<td>Malignant</td>
<td>Yes/no</td>
<td>0.55</td>
</tr>
<tr>
<td>Rakovitch et al., 2004</td>
<td>Breast</td>
<td>DCIS</td>
<td>Nuclear grade Margin status Tumor size</td>
<td>0.7 0.74 0.87</td>
</tr>
</tbody>
</table>

Abbreviations: AC adenocarcinoma; cat, category; DCIS, ductal carcinoma in situ; HGD, high grade displasia; IND, indefinite for displasia; LGD, low grade displasia; ND, no displasia
Limitations of Case Reviews and Rates of Disagreement or Error

• Data should not be used to compare laboratories because:
  o Sources of error may differ
  o Definition of error may differ
  o Clinical significant errors may differ
  o Detection method may differ
  o Review method sensitivity may differ
  o Expected range of performance not well defined
In order to compare quality between groups: we need to:

• Identify and use optimal method of review
• Measure sensitivity of review process
• Standardize criteria for review method,
• Standardize definition of error
• Define expected ranges of discrepancy and error
• Define methods to verify poor performance
Conclusions

• Targeted secondary case reviews
  o Successfully detect and reduce errors
  o Lower error rates vs. no review
  o Measure of quality within the group
  o Groups that fail to detect discrepancy or error
    (<1/1000) may not be sensitive enough
Link to guideline

- Archives of Pathology & Laboratory Medicine