

## Failure to Rescue, Rescue Surgery and Centralization of Postoperative Complications: A Challenge for General and Acute Care Surgeons

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### Rezumat

*Imposibilitatea de salvare, chirurgia de salvare și centralizarea complicațiilor postoperatorii: o provocare pentru chirurgii generali și de urgență*

**Scop:** De a explora literatura de specialitate actuală în ceea ce privește conceptele imposibilității de salvare și al chirurgiei de salvare, în vederea identificării elementelor cheie pentru reducerea ratei de imposibilitate de salvare și îmbunătățirii rezultatelor, precum și a verificării existenței unei justificări pentru centralizarea pacienților care suferă complicații post-operatorii.

**Descoperiri recente:** Este tot mai cunoscută necesitatea evaluării și estimării ratei imposibilității de salvare la nivel de instituții, regional și național. Numeroși factori influențează imposibilitatea de salvare, iar toți aceștia ar trebui luați în considerare și analizați individual. Chirurgia de salvare reprezintă unul dintre acești factori. Chirurgia de salvare presupune un context de tratament chirurgical de urgență.

**Concluzii:** Măsurarea ratei de imposibilitate de salvare ar trebui să devină un standard în programele de îmbunătățire a calității. Implementarea tuturor factorilor clinici și organizatorici implicați este cheia obținerii unor rezultate mai bune. Gradul de pregătire pentru chirurgia de salvare reprezintă un pilon principal în acest proces. Centralizarea datelor privind managementul, auditul și comunicarea este la fel de importantă precum centralizarea pacienților.

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**Cuvinte cheie:** complicații postoperatorii, complicații traumatice, chirurgie de salvare, chirurgie de urgență, centralizare, fragilitate

### Abstract

*Purpose of review:* To explore the current literature on the failure to rescue and rescue surgery concepts, to identify the key items for decreasing the failure to rescue rate and improve outcome, to verify if there is a rationale for centralization of patients suffering postoperative complications.

*Recent findings:* There is a growing awareness about the need to assess and measure the failure to rescue rate, on institutional, regional and national basis. Many factors affect failure to rescue, and all should be individually analyzed and considered. Rescue surgery is one of these factors. Rescue surgery assumes an acute care surgery background.

*Summary:* Measurement of failure to rescue rate should become a standard for quality improvement programs. Implementation of all clinical and organizational items involved is the key for better outcomes. Preparedness for rescue surgery is a main pillar in this process. Centralization of management, audit, and communication are important as much as patient centralization.

**Key words:** postoperative complications, trauma complications, rescue surgery, acute care surgery, centralization, frailty

### Introduction

The concept of failure to rescue (FTR) in recovering patients with complications after surgery is not new. In 1992, Silber and coworkers (1) addressed the issue of hospital and patient characteristics associated with post operative mortality, analyzing some of the factors related to failure to rescue. In the last decade, many authors have reexplored this field (2-4). This renovated interest is due to many reasons: health system costs, need to implement quality improvement programs, awareness and effectiveness of the centralization in many surgical areas (including trauma), emerging of the acute care surgery specialization, and the new rescue surgery concept.

Aim of this review is to introduce and detail the concepts of failure to rescue and rescue surgery, analyze the key items for decreasing the FTR rate and improve outcomes, address the issue of centralization of postoperative complicated patients, and identify pitfalls and open issues.

### Failure to Rescue Concept

Failure to rescue can be defined as the mortality rate following in-hospital complications. In *Table 1* some definitions reported in literature are summarized, adding a blended and more comprehensive understanding to this concept (5-10).

Death after surgery can be due to both general and surgical related complications (*Table 2*). Concerning the latter, sepsis and shock are the umbrella that covers the vast majority of specific postoperative complications, including suture breakdown, anastomotic leakages, intra-abdominal and intra-cavitary infection, and postoperative bleeding.

Two aspects of the definition of failure to

**Table 1.** Definitions of the failure to rescue concept

- |   |
|---|
| • Mortality rate following in-hospital complication             |
| • In-hospital death after 1 or more postoperative complications |
| • Conditional probability of death after a complication         |
| • Death after a serious, potentially preventable complication   |
| • Ratio deaths after complications / pts with complications     |

**Table 2.** Cause of death assumed in the FTR definitions

DVT/PE
Sepsis (including leakages)
GI bleeding
Myocardial Infarction
Ac. Kidney Injury
Pneumonia
Resp. failure
Shock (incl. postop. bleeding)

rescue are paramount: death should be potentially preventable and it should be related to one or more complications (11).

The institutional FTR rate measures the ability of a hospital to identify and manage complications by “rescuing” vulnerable patients, and is considered a Hospital quality index. The milestone paper of Ghaferi et al. (11) analyzed more than 200.000 Medicare patients undergoing six elective major surgical operations. The study ranked Hospitals on the basis of risk-adjusted mortality rates. The incidence of complications was not statistically different in high performing vs. low-performing hospitals, but the resulted difference in mortality was related to complication management. In other words, low-performing hospitals had a higher FTR rate of patients with complications (12). The merit of these analyses is to highlight that postoperative mortality is strictly related to the ability of hospitals and teams to effectively rescue patients from complications.

FTR has been endorsed as a performance benchmark in general surgery by the US National Quality Forum and adopted by the US Agency of Health Care Research and Quality as an indicator of patient safety (13). It is nowadays considered an indicator of quality for assessing surgical results (3).

In *Table 3* the factors affecting FTR in different ways are listed.

### *Failure to Rescue in Elective Surgery*

The impact of FTR rate and outcomes has been evaluated in many papers concerning elective major operations. Weledji and Verla (5) recently published a review on failure to rescue from

**Table 3.** Factors affecting FTR

Surgeon volume / Hospital volume
Hospital resources / characteristics
Teaching vs. non teaching H
Regional organization
Nurse team quality
Patient age
Frailty (pts) & Frailty volume per H
Concurrent cancer diagnosis
Type of operation (LAP vs. Open)
# of complications
Team Working / Non technical skills
Non trauma / trauma pts

early critical complications in oesophageal and gastric surgery for malignancies. They firstly addressed the issue of rescuing patients from surgery general complications, which include systematic attention to perioperative optimization, risk stratification, operative anaesthetic management, postoperative care, and rescue of respiratory complications. The analysis of all specific procedure-related complications (anastomotic leak, chylothorax, conduit necrosis, acute diaphragmatic herniation, recurrent laryngeal nerve injury for oesophagectomy; becomes, haemorrhage, duodenal stump leak, anastomotic leak, pancreatic fistula, intra-abdominal sepsis for gastrectomy) show how many factors can affect both early outcome and long-term survival.

In the era of laparoscopic surgery, surgical approach can play a role in FTR rate. Tu et al. (14) analyzed the records of 4124 patients who underwent open or laparoscopic gastrectomy for neoplasia. FTR rate was significantly lower in patients submitted to laparoscopic resections (2.1 vs. 7.6%,  $p = 0.008$ ).

Failure to rescue has been also explored in the field of colorectal surgery (15-17).

Ko et al (16) analyzed 220,369 patients who underwent colectomy at teaching and non-teaching Hospitals. Overall mortality was 3.7%; 96% of deaths were attributable to at least one FTR event. No differences in both FTR rate and overall mortality were shown between teaching and non-teaching Hospitals.

A Dutch group explored FTR rate after colorectal cancer surgery in a large national

series (4,17). A total of 25,591 patients from 92 hospitals were included. The FTR rate was 0-39%. Hospital type and volume were not independently associated with FTR rates. Only the lowest level of ICU facilities was independently associated with higher FTR rates. Not surprisingly, FTR was significantly increased in patients with anastomotic leak in a series of 30,101 elective colectomies of the ACS NSQIP database (18). Among the 3.7% suffering an anastomotic leak, FTR was 6%, compared with only 1% in the remaining population ( $p < 0.001$ ).

Failure to rescue has recently been investigated in transplantations. Cramm et al (6) first evaluated this item in a population of 2,330 pediatric patients undergoing primary liver transplants at 21 medical centers, from the Study on Pediatric Liver Transplantation database. They also introduced the extended concept of FTRg (Failure to rescue a graft). This preliminary study showed that FTR can be a useful quality improvement tool for the field of transplantation.

Pancreatic surgery and FTR has been also investigated (19,20). The review of more than 14,557 patients from the ACS NQIPS database for pancreatic resections, showed that patients accumulating additional complications after an initial one were at higher risk for FTR (68.6% vs. 31.3%,  $p < 0.001$ ) (21). Analyzing a total of 35,986 patients submitted to pancreatic resections, Amini et al (19) found FTR was more common at low volume (LV) (12.0%) and intermediate volume (IH) (8.5%) hospitals compared with high volume (HV) hospitals (6.4%). The improvement in FTR over time was higher at LV and IV hospitals vs. HV hospitals ( $p = 0.001$ ). These data, once more, seem to assign more importance to the ability to deal and rescue complicated patients than to the hospital volume for a specific surgical procedure per se.

The relationships between the number of complications, FTR and mortality has also been investigated. Massarweh et al. (22) performed a retrospective cohort study of 266,101 patients within the Veterans Affairs Surgical Quality Improvement Program (2000-2014) who

underwent a high-mortality inpatient general, vascular, or thoracic procedures. They evaluated the association between the number of postoperative complications (0, 1, 2, or 3) and the 30-day mortality. Among complicated patients, 60.9% had only one, but 63.1% of deaths occurred in those with more than one complication. Failure to rescue increased significantly between patients with one or more complications (12.0% vs. 18.1%; trend test  $P < 0.001$ ), with an incremental impact (6.7% 1 complication vs. 26.1%  $\geq 3$ ).

### *Age, Frailty and Frailty Volume*

One of the main concerns of modern surgical practice and a field of research is the appropriate selection of elder and elder-old patients for surgery, avoiding futile treatment (23-25). The elderly are intuitively at major risk for postoperative morbidity and mortality. Govaert et al, on behalf of the Dutch value based healthcare study group (26), reviewed all colorectal cancer procedures performed in 29 Dutch hospitals between 2010 and 2012. They compared outcome and costs of colorectal surgery between 9130 < 85-yr-old patients vs. 783 oldest-old (> 85 yr). Oldest-old had longer hospital stays (LOS) (11.3 vs. 13.2,  $p < 0.001$ ), more severe complications (21.8% vs. 29.0%,  $p < 0.001$ ), higher mortality (3.0% vs. 10.7%,  $p < 0.001$ ) and higher failure to rescue rate (13.9% vs. 37.0%,  $p < 0.001$ ). These unfavorable data did not affect the overall hospital costs.

Frailty, defined as an aggregate expression of risk of adverse outcomes due to age- and disease-related deficits that accumulate across multiple domains, seems more related to FTR than age itself (27,28). The rationale is that frailty increases the risk for adverse postoperative outcomes, and outcomes are generally better in hospitals performing large numbers of complex surgery.

McIsaac and coworkers (29) performed a retrospective population-based cohort study on a series of 63,381 frail patients on multiple data sets in Ontario, comparing the association of hospital volume of frail surgical patients cared for and 30-day mortality, after

elective non cardiac operations. Adjusted survival was significantly improved in the highest volume quintile compared to the lowest: hazard ratio 0.51 (95% CI, 0.35-0.74). This study highlights survival among frail patients is best in medical centers that care for large numbers of frail surgical patients: usualness to deal with critical patients might be more important than volume itself.

### *FTR and Hospital Characteristics*

According to an already mentioned study, even if a higher number of complications is expected, teaching and non-teaching hospitals showed the same mortality and FTR rate after elective colorectal surgery (16). In a wider retrospective analysis on Medicare database 2007-2010, Sheetz et al (30) found FTR rates varied up to eleven-fold between very high and very low mortality Hospitals. They identified patients undergoing colectomy, pancreatectomy, esophagectomy, abdominal aortic aneurysm repair, lower-extremity revascularization, or lower extremity amputation. General (colectomy, pancreatectomy, esophagectomy) and vascular (AAA repair, LE revascularization, LE amputation) operations were combined in order to allow generalizability of the results. The number of hospitals included was very high (from 1,681 for esophagectomy to 3,827 for colectomy). Teaching status (OR range: 1.08-1.54), high hospital technology (OR 1.08-1.58), increasing nurse-to-patient ratio (OR 1.02-1.14), and presence of more than 20 ICU beds (OR 1.09-1.62) significantly influenced FTR rates.

They argued these macro-system factors can explain only a small proportion of the differences between hospitals. This suggests that micro-system characteristics, such as hospital culture and safety climate, might play a more important role in decreasing FTR rate in each hospital.

### *Team Working and FTR*

Nursing, communication, safety-culture and team working can affect FTR rate. Relationships between safety-related behaviour and FTR have

not been extensively studied yet. Anyway, communication among professionals in and between ICU and inpatient wards, and the institution of rapid response teams are considered critical in the prompt detection and the effective management of patients with surgical complications (7). Unfortunately, in the acute care setting there is a scarcity of data and evidence-based know-how for the implementation of teams. Nurses play a fundamental role. Rao et al (31) analyzed survey responses from 20,684 staff nurses across 570 hospitals. They found each additional point on the nurse autonomy scale was associated with 19% lower odds of 30-day mortality ( $p < 0.001$ ) and 17% lower odds of FTR ( $p < 0.01$ ). Hospitals with lower levels of nurse autonomy place their surgical patients at an increased risk for mortality and FTR.

### *FTR in Trauma Patients*

After an initial interest in the application of this concept in trauma setting (32,33), some concerns about the potential use of FTR as a quality benchmark in trauma were raised (9, 8). The reason is the fact preventable death is a long lasting issue in trauma care quality assessment, and the effectiveness of trauma systems are usually measured on the decreasing rate of preventable deaths. It could therefore become difficult to differentiate preventable deaths from preventable negative outcome of one or more complications (FTR) occurred after trauma.

Kuo et al. (9) performed an analysis of 26,557 patients managed for major trauma at a Level I Trauma Center at Penn University between 2005-2015. Among the 2,735 complicated patients, 359 died, registering an FTR rate of 13.2%. Among FTR deaths, 75.6% were judged non-preventable, 18.1% were judged potentially preventable, and only 6.1% were judged to be preventable by an institutional peer review panel.

The FTR measure in trauma setting may capture many patients who were unable to be rescued, even with optimal clinical care.

Notwithstanding, the interest of FTR in trauma could be of paramount interest in the elderly population. Barmparas et al. (34)

compared FTR vs. FTRE (FTR in the elderly) over a retrospective review of Trauma Databank (NTDB) research data sets in 2010 and 2011. Increase in FTRE predicted a significantly higher mortality when centers with FTRE  $\leq 5\%$  were compared to those with 5–14% (AOR: 1.05,  $p = 0.031$ ) and  $\geq 15\%$  (AOR: 1.13,  $p < 0.001$ ).

### *Rescue Surgery, FTR and Acute Care Surgery*

Research, retrospective studies and reviews have clearly shown that the incidence of complications at high-performing versus low-performing hospitals is not as different as one would intuitively suspect. Failure to rescue rates varied widely across hospitals for all procedures and were highly correlated with postoperative mortality. Difference is in the ability to save the patient who has developed a major complication, the so called initial “seminal” complication. In other words, a high-performing hospital rescues the patient from the complication, the low-performing hospital does not.

Surgeon experience on dealing with critically ill patients is also crucial. Peitzman and the group of UPMC of Pittsburgh first put on the spot the surgical rescue concept as one of the main pillars of acute care surgery. (34) Rescue surgery was essentially defined as “pulling the patient from the fire after they have developed a complication from surgical or medical care”. The same group (35) tried to better identify the area of interest of the specific skills required for effectively perform rescue surgery. They analyzed the data of a prospective, electronic medical record-based Acute Care Surgery registry at their Centre, screening by ICD-9 codes acute surgical complications requiring an operative or interventional procedure. Long-term outcomes were also retrieved. Out of 2,410 patients, 320 (13%) required “surgical rescue”. Around 50% had sepsis, obstruction or hemorrhage. More than 50% of interventions were bowel resections, infection control or bleeding control. These results make clear the acute care surgeon, used to deal with critical patients, could be the best specialist for taking care, in a multidisciplinary team, about postoperative complica-

tions, very often related to sepsis and bleeding. Very recently, Gui and coworkers (36) performed a 12 item survey on rescue surgery, addressed to the members of the Italian Society for Trauma and Emergency Surgery (SICUT). Comparing the results of the Pittsburgh series (35) with the Italian survey (36), the source of patients requiring rescue surgery was not so different. In fact, they respectively came from their own Services in 36 vs. 50% of cases, from the other Services in the same hospital in 38 vs. 30%, and were referred from other hospitals in 26 vs. 20% of cases. It is evident that around one third was generated from general and specialistic surgical departments in their own hospitals, rising the need for a strong and continuous maintenance of skills and background in elective general surgery for the acute care surgery teams. The recently published observation that FTR rate incrementally increases according to the number of complications (22), makes evident the sickest patient requires the team most experienced in managing complex cases with a “rescue” mindset.

### *Centralization of Postoperative Complications*

Surgeon and hospital experience are intimately associated with outcomes (37,38) The same is for volume of surgery and specialization (39,40) with some authors even advocating a pledge for centralization. Trauma systems, after all, are a clear example of the organizational effort to improve outcomes through a concentration of the sickest patients in more equipped hospitals with experienced professionals.

To centralize the management of postoperative complications is even harder than concentrate certain pathologies in specialized hospitals. It is in fact a multifactorial issue of organization, surgical and hospital ego, relationships between hospitals and surgeons. Notwithstanding, critically ill complicated patients need a centralized management, with a multidisciplinary team imbued by common goals, with someone (person and/or organized process) leading toward a unique direction. What is usually catastrophic for the complicated patient is the lack of a red wire, of a

precise hand-over among providers, and of a systematic critical reappraisal of the evolution and choices. We could affirm that “centralization for postoperative complicated patients is not a location, is a philosophy”. A philosophy requiring leaderships, organization and systematic audit.

### ***Beyond FTR***

Failure to rescue is certainly an underestimated factor in perioperative medicine accounting for or at least being involved in the development of postoperative mortality. There is a major potential for improvement. Boehm et al. (10) analyzed German data and considered that with 14 million surgical procedures per year, a postoperative mortality of approximately 1% and an avoidable FTR rate of 40%, there are an estimated 60,000 preventable deaths per year in Germany. It becomes mandatory to expand preoperative risk assessment, to strategically prevent the post-operative complications, to implement systems for the early detection of postoperative complications, and to improve the effective and prompt medical and surgical (the rescue surgery) treatment of postoperative complications. Trauma care quality improvement program could serve as paradigm for developing this process (41).

Processes in place in hospitals with low FTR rates should be converted to best practices (structural or process measures), to be transferred to other hospitals in order to improve their FTR rate (42,43).

Suggested strategies are demanding: understanding of the single hospital system, caregivers, available resources; implementing process methods to effectively learn from failure to rescue events; improving hospital safety culture (30,44).

### **Conclusions**

The systematic use of FTR rate as benchmark of outcome and results can help to evaluate the difference between medical centers, and is a useful quality improvement tool in single centers, giving a more objective feedback on

actions established in different periods.

Rescue surgery, as part of the FTR rate improvement and one of the pillars of the acute care surgery, requires surgeons with a specific background on critical care and frail patient management, awareness of technical details of elective surgery, and knowledge of the impact of the rescuing strategy chosen on the global outcome of the underlining oncologic disease when necessary.

Centralization is a management philosophy more than a location, when facing complicated frail patients. When and where centralization of patients is not possible, it remains mandatory to implement and pursue centralization of clinical management, audit, and communication with patients, relatives and among the team.

### ***Human and Animal Rights***

This article does not contain any studies with human or animal subjects performed by any of the authors.

### ***Authorship***

All Authors confirm that they have met the criteria for authorship as established by the International Committee of Medical Journal Editors.

### ***Conflict of Interest***

All Authors state to have no conflict of interest to declare.

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