About ECRI Institute

▶ Independent, not-for-profit applied research institute focused on patient safety, healthcare quality, risk management
▶ Website for HRSA grantees. Log in with e-mail address and password at www.ecri.org
▶ Have not activated your profile yet? E-mail us at Clinical_RM_Program@ecri.org
▶ 45-year history, 400-person staff
  ■ AHRQ Evidence-Based Practice Center
  ■ Federally designated Patient Safety Organization
Learning Objectives

- Recognize the importance of risk management and patient safety
- Recall the definition of clinical risk management
- Identify the elements of building an effective risk management program
- Identify methods for monitoring and maintaining a risk management program
- Recognize why risk management training is important
- Recognize resources available to help build an effective risk management program

Three Questions We’ll Answer Today...

1. Why should I focus on risk management?
2. How can I build an effective risk management program?
3. What resources can help me build an effective risk management program?
Why Should I Focus on Risk Management?

By the Numbers

> Adverse events in healthcare each year:
>  
> - Medical error is the third leading cause of death (Makary M and Daniel M BMJ 2016)
> - About 5% of adults (more than 12 million people) experience a diagnostic error in outpatient settings (Meyer SH and Thomas EJ BJM Qual Saf 2014)
> - Nearly 4.5 million medication errors occur in ambulatory care (Sarkar U et al. Health Serv Res 2011)
> - There are more than 400,000 preventable patient deaths (hospital data) (James JT Journal of Patient Safety 2013)
The Opportunity for Improvement

- More than 900 million ambulatory care visits occur each year
- The majority of office visits occur without incident; however, one preventable adverse event is one too many
- Health centers and free clinics can decrease the incidence of adverse events by implementing robust clinical risk management practices

What Will Stop Events from Occurring?

- Establishing a culture of safety
  - Safety is the priority
  - Systems approach
  - Accountability
  - Transparency
  - Patient and staff engagement
- Developing a robust risk management program
  - Risk identification
  - Risk analysis
  - Risk management
  - Risk mitigation
  - Risk training
How Can I Build an Effective Risk Management Program?

What Is Clinical Risk Management?

- An approach to improving the quality and safety of healthcare that identifies what places patients at risk of harm and takes action to prevent or control the risks
Goals of a Clinical Risk Management Program

- Improve patient safety
- Minimize errors, system breakdowns, liability losses, and patient harm
- Reduce severity of injury and loss
- Identify risks proactively
- Support regulatory/accreditation compliance and meet requirements for deeming under the Federal Tort Claims Act (FTCA)

You’ve Been Put in Charge of Your Health Center’s Risk Management Program . . .

Where do you start?
- Obtain board/leadership support and approval for the risk management program
- Determine scope and functions
- Formulate and document a plan
  - How will we identify risks?
  - How can we integrate risk management into daily operations?
  - How will we know the risk program is effective?
You’ve Been Put in Charge of Your Health Center’s Risk Management Program . . .

► Engage champions
► Conduct risk management training
  ■ All staff should have risk management training
  ■ Utilize existing resources
  ■ Collaborate with community partners

Obtain Support for the Risk Management Program

► Engage leadership and the board
  ▪ Educate board on risk management activities
► Leverage the electronic health record (EHR)
► Continue and expand quality improvement and safety activities
  ▪ Stimulate staff involvement
  ▪ Role of quality improvement/quality assurance (QI/QA) committee
Determine Scope and Functions of Risk Management Program

- Risk management spans the entire operation and most functional areas
- Everyone should be trained on risk management functions and responsibilities
- Address specific areas with a high impact on risk and safety

The Intersection of Risk and Quality

**RISK**
- Accreditation compliance
- Claims management
- Contract review
- Corporate and regulatory compliance
- Disclosures
- Enterprise risk management
- Ethics
- Legal defense coordination
- Malpractice event reporting
- Patient outcomes
- Policies and procedures
- Risk control (e.g., loss prevention and loss reduction)
- Risk financing (including insurance and reimbursement)
- Risk identification (including errors and adverse event reporting)
- Safety and security
- Workers’ compensation

**QUALITY**
- Accreditation coordination
- Benchmarking
- Best practice/clinical guideline
- Improvement projects
- Patient satisfaction
- Peer review
- Provider and staff performance and competency
- Quality assurance reviews
- Quality management (e.g., data, measures, indicators, dashboards, scorecards)
- Quality methodology
- Utilization/revenue/loss management
Formulate and Document a Plan

Sample Risk Management Plan for a Community Health Center

Patient Safety and Risk Management Program*

The Sample Risk Management Plan below can be used as a model in the development of a patient safety and risk management program, and it should be customized to the individual health center or free clinic. When using any sample or template, it is important that health centers adapt them to the needs of the practice and take the steps to implement them as part of their overall processes and procedures. It is recommended that the Plan be approved by your board of directors and then be disseminated to all staff members and supported by necessary training and education.

ECRI Institute, on behalf of HRSA, provides tools, resources, and educational programs via the Clinical Risk Management Services Websites that will assist community health centers and free clinics in developing and implementing an effective risk management plan.

1. PURPOSE

The Risk Management Plan is designed to support the mission and vision of the health center

https://www.ecri.org/components/HRSA/Pages/PSRMPol10.aspx

Identify Risks

- Complaints
- Patient feedback surveys
- Adverse events
- Near misses and unsafe conditions
- Claims reports
- Proactive assessments
- Root cause analyses
- Medical records
- Accreditation/licensing surveys
- Patient safety alerts and patient safety literature
Incorporate Risk and Safety Into Daily Activities

- Create situational awareness (e.g., walkarounds, staff involvement)
- Address all hazards and identified events (e.g., reporting, follow-up, education)
- Adopt a non-punitive response to event and hazard reporting
- Promote patient safety through education and training
- Communicate outcomes

Benefits of Compiling a Risk Management Manual

- Supports commitment to the risk management program
- Serves as a reference guide
- Serves as a training manual for providers and staff
- Helpful for orientation/continuing education
Documentation and the Risk Management Manual

- Describes the risk management program
- Explains the program’s policies and procedures
- Includes the risk manager’s job description
- Provides algorithms:
  - Flow of information to and from the program
  - Event reporting and management
- Explains committee structure
  - Integration with other committees and functions (e.g., quality improvement, patient safety)

Monitoring and Maintaining the Risk Management Program

- Review on an annual basis
- Make necessary changes based on:
  - Changes in results from safety culture surveys, event reports, etc.
  - Changes in policies/procedures
  - Regulatory/FTCA changes or updates
  - Health center priorities
- Report to the board of directors on a regular basis (e.g., quarterly)
Conduct Risk Management Training

- When there is an adverse patient outcome, records confirming current, relevant staff training are beneficial
- Develop and implement a plan for annual continuing education and risk management training for all staff
  - Ensure that the plan takes into account staff roles and responsibilities
  - Set training goals and document/track staff completion
  - Determine the number of required training programs on an individual basis (based on size and needs of health center)
  - Ensure that the board supports and approves the plan or delegates approval authority to authorized leadership

What Training Is Appropriate?

- Basic risk management training
  - Required for all staff in the health center—from frontline staff to administrators
- Specialized training
  - Based on position or specialty (e.g., training on obstetrics risks for prenatal/obstetrics care providers)
How to Ensure Staff Complete Trainings

- Set training goals
  - Create clear expectations
  - Set schedule for which courses are required and deadlines for completion
  - Educate leadership to schedule staff accordingly to allow time to complete trainings
  - Connect with credentialing and privileging

- Track staff completion
  - Take attendance at in-person trainings
  - Request that staff submit certificate of completion, e.g., CME (continuing medical education) certificate for online training
  - Use standardized tool to track completion of both required and optional courses by staff member
Tools—Staff Training Completion Tracking

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Make Sure Learning Is Ongoing

- Consider recording and archiving trainings on health center website or employee portal
- Provide “refresher” trainings on a regular basis
- Be available to employees; ask what additional resources they need
- Provide staff with supplementary material they can refer to at any time with questions:
  - Copies of policies and procedures
  - Risk management manual
What Resources Can Help Build an Effective Risk Management Program?

What Tools Are Available?

- Clinical Risk Management Program resources
  - Resources tailored to your needs (GetSafe!, Quality in Action, Practice Alert!)
- Risk Management Certificate Courses
- Other resources
Clinical Risk Management Program

Education and training resources:
- E-Learn library of continuing education courses
- Electronic fetal heart monitoring and intrapartum management course
- Education and training tools
- Archived webinars
- Annual virtual conference
- Extra! web resources

Log in at www.ecri.org
Or contact Clinical_RM.Program@ecri.org for access

Clinical Risk Management Program: Additional Resources

- Guidance articles
- Self-assessment questionnaires
- Get Safe! and Practice Alert! assessment checklists
- Toolkits
- E-news
- Sample risk management plan
Clinical Risk Management Program

Test Tracking and Follow-Up Toolkit

Toolkit Documents:
- Systems Policy: Preventing Test Results
- Algorithm for Splenectomy: Initial Value (Primary Process)
- Critical Test Value Communications: Adult Blood Coagulation
- Critical Test Value Communications: Adult Hematology
- Critical Test Value Communications: Adult Hematology
- Diagnostic Test Tracking and Follow-Up
- Sample Letter to Patient About Test Results
- Test Tracking Log for Physician Practices

Clinical Risk Management Selected Resources

- Guidance articles:
  - Identifying Risks and Assessing Patient Safety in Physician Practices
  - Risk Management in Ambulatory Care
  - Overview of the Risk Management Process

- Toolkits:
  - Credentialing
  - Developing Policies and Procedures
  - Quality Improvement/Quality Assurance
  - Risk Management
  - Test Tracking and Follow-Up
  - Triage
Clinical Risk Management Selected Resources

- Sample Policies and Tools:
  - Sample Job Description for Clinical Risk Manager
  - Sample Policy Guide: Tracking Hospital and Emergency Department Visits
  - Sample Recommendations for Risk Management Training for All Staff
  - Sample Risk Management Committee Composition
  - Sample Risk Management Dashboard
  - Safety Attitudes Questionnaire (Ambulatory Version)
  - Track Patient Hospitalizations and Emergency Department Visits
  - Tracking Hospitalizations: Patient Card and Procedures

New! Ambulatory Care Risk Management Certificate Program

- Online training program provides formal training in the basics of establishing and executing a risk management program
- Courses are interactive, including guidance and activities with corresponding questions
- Recommended for all staff to provide an orientation or refresher on basic risk management
Ambulatory Care Risk Management Certificate Program (cont.)

▶ Level 1

- Introduction to risk management
- Risk identification: what can go wrong?
- Establishing a culture of safety
- Evaluating and analyzing risk
- Proactive risk prevention and management

Ambulatory Care Risk Management Certificate Program (cont.)

▶ Level 2

- Introduction to patient safety
- Developing and maintaining a risk and safety program
- Engaging staff in risk and safety programs
- Integrating safety into daily operations
- Measuring and monitoring risk
Ambulatory Care Risk Management Certificate Program (cont.)

- For course access:
  - ECRI Institute will reply to your request within one business day with your username and instructions for setting your password
  - More information available at Quick Link on Clinical Risk Management Website homepage

Other Resources

- Review medical literature
  - See *Risk & Safety E-news* delivered biweekly to Clinical Risk Management Program members
- Check accrediting organization standards
- Review federal, state, and local laws and regulations
- Consult your state primary care association or other counsel
Other Resources

- HRSA resources:
  - FTCA Policies for Health Centers:
    https://bphc.hrsa.gov/ftca/healthcenters/healthcenterpolicies.html
  - Resources for free clinics:
    https://bphc.hrsa.gov/ftca/freeclinics/index.html

- Agency for Healthcare Research and Quality (AHRQ) TeamSTEPPS:
  https://www.ahrq.gov/teamstepps/index.html

- American Medical Association (AMA) continuing education:

- Occupational Safety and Health Administration (OSHA) training programs and resources:
  https://www.osha.gov/dte/library/

- World Health Organization (WHO) Patient Safety Curriculum Guide:
  http://www.who.int/patientsafety/education/curriculum/en/
Summary: You Don’t Have to Reinvent the Wheel

► Risk management does not have to be overwhelming
► Use risk management resources and tools available to you
  ■ ECRI Institute Clinical Risk Management Program (regularly updated)
  ■ New Ambulatory Care Risk Management Certificate Program
  ■ Other resources

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