



Using Risk Assessments to Implement Positive Change



Learning Objectives

1. Explain the purpose of risk assessments
2. Review risk assessment requirements
3. Learn how to choose risk assessment focus areas
4. Identify risk assessment tools
5. Understand the risk assessment process



Learning Objective 1: Explain the purpose of risk assessments



Polling Question #1

- At my current organization:
 - Risk assessments are done with a focus on improving patient safety
 - Risk assessments are done because they are required
 - I have heard about risk assessments being done, but I don't know much about the process
 - I don't know if risk assessments are done
 - What exactly is a risk assessment?

Risk Assessments: What

- “A risk assessment is a structured process used to identify potential hazards within the organization's operations, departments, and services.”



FTCA Application Procedural Demonstration of Compliance Tool: Risk Management—Annual Report to Board Edition. High Risk and Quarterly Risk Assessments. (pp. 3-4)

<https://bphc.hrsa.gov/sites/default/files/bphc/initiatives/ftca-compliance-tool-risk-management-annual-report.pdf>

Risk Assessments: Why

- “The Health Center Program Compliance Manual requires quarterly risk assessments **focused on patient safety**... Collecting data on practices, policies, and safety cultures in various areas generates information that can be used to **proactively target patient safety activities and prioritize risk prevention and reduction strategies.**”

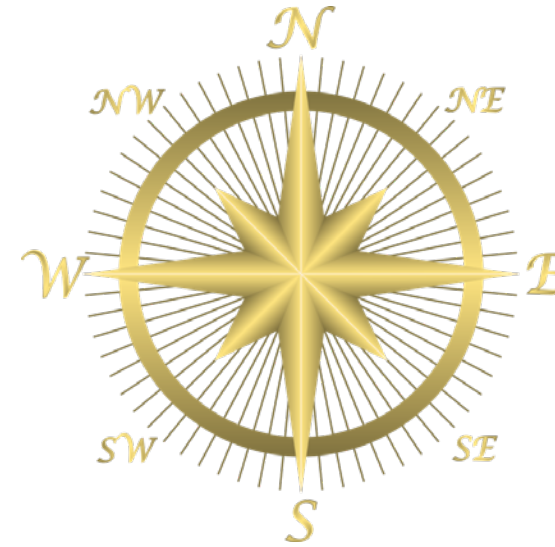


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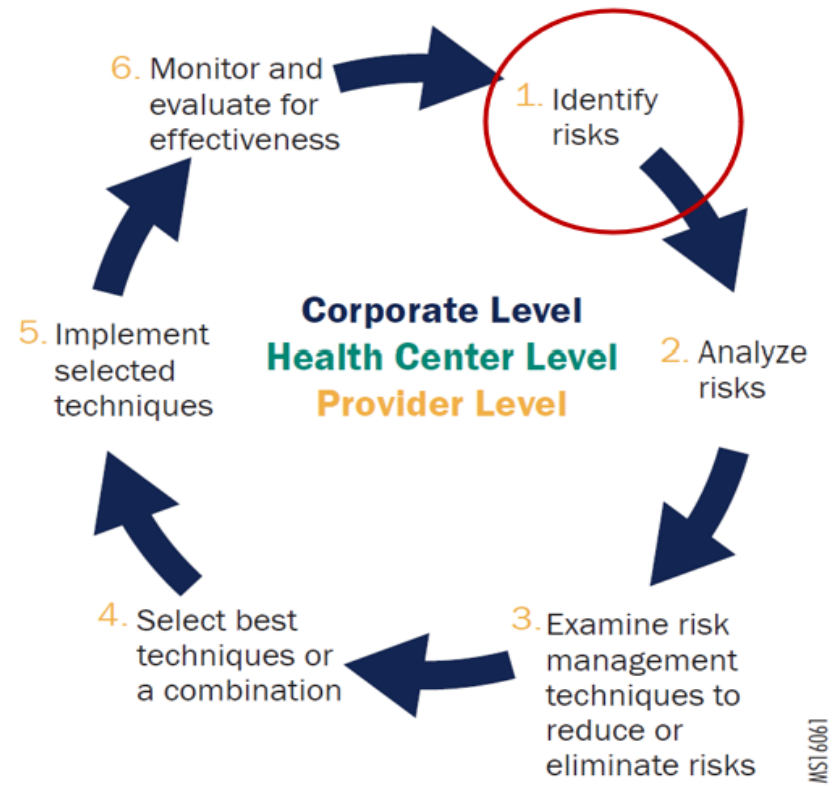
Risk Assessments: Ultimate Goal

- The true north for healthcare risk assessments is identifying best practices to support patient safety
- The ultimate goal is to successfully implement these practices



Risk Assessments: One Piece of an Ongoing Process

Figure. The Risk Management Decision-Making Process



Overview of the Risk Management Process:

<https://www.ecri.org/components/HRSA/Pages/PSRM9.aspx>



Learning Objective 2: Review risk assessment requirements



Disclaimer

- ECRI provides guidance and resources on risk management and patient safety best practices. For questions about compliance with FTCA requirements, please refer directly to information from HRSA (see slides 14 and 15).

Polling Question #2

- Describe your level of knowledge about risk assessment requirements:
 - I know what is required
 - I have a partial understanding of the requirements
 - I'm uncertain about what is required
 - I have no idea what is required



FAQ: “What are the FTCA requirements for risk assessments?”

- Health Center Program Compliance Manual, Chapter 21: Federal Tort Claims Act (FTCA) Deeming Requirements > Demonstrating Compliance > Risk Management

<https://bphc.hrsa.gov/compliance/compliance-manual/chapter21#demonstrating-compliance-21>

- Health Center Program Site Visit Protocol > Federal Tort Claims Act (FTCA) Deeming Requirements (See “Document Checklist for Health Center Staff” and “Demonstrating Compliance—Risk Management”)

<https://bphc.hrsa.gov/compliance/site-visits/site-visit-protocol/federal-tort-claims-act-ftca-deeming-requirements>

FAQ: “What are the FTCA requirements for risk assessments?” (2)

➤ Program Assistance Letters (PALs)

<https://bphc.hrsa.gov/compliance/policy-information-notices-pins-program-assistance-letters-pals>

- **Refer to the most recent PAL for up-to-date information.** For example: *Calendar Year 2023 Requirements for Federal Tort Claims Act (FTCA) Coverage for Health Centers and Their Covered Individuals (see p. 11 of 24)* <https://bphc.hrsa.gov/sites/default/files/bphc/compliance/pal-2022-01.pdf>

➤ Bureau of Primary Health Care Contact Form

- <https://hrsa.force.com/support/s/>

FAQ: “What are the FTCA requirements for...?”

- Health Center Program Compliance Manual, Chapter 21: FTCA Deeming Requirements
 - <https://bphc.hrsa.gov/compliance/compliance-manual/chapter21>
- FTCA homepage
 - <https://bphc.hrsa.gov/initiatives/ftca>
- FTCA Policies and Program Guidance
 - <https://bphc.hrsa.gov/initiatives/ftca/policies-program-guidance>
- BPHC Contact Form
 - <https://hrsa.force.com/support/s/>
- FTCA Technical Assistance Resources
 - <https://bphc.hrsa.gov/initiatives/ftca/technical-assistance-resources>

Risk Assessments: Key Element of a Comprehensive Risk Management Program

- Risk assessments are part of “an ongoing health care risk management program to reduce the risk of adverse outcomes that could result in medical malpractice or other health or health-related litigation.”

Health Center Program Compliance Manual,
Chapter 21: FTCA Deeming Requirements

<https://bphc.hrsa.gov/compliance/compliance-manual/chapter21#demonstrating-compliance-21>



Health Center Compliance Manual, Chapter 21: FTCA Deeming Requirements—Demonstrating Compliance

The screenshot shows the HRSA Health Center Compliance Manual website. The main heading is "Chapter 21: Federal Tort Claims Act (FTCA) Deeming Requirements". Below the heading, there is a section titled "In this chapter:" with a list of links: Authority, Requirements, Demonstrating Compliance, and Related Considerations. The "Requirements" section is highlighted in red. Below this, the text states: "In order to obtain deemed Public Health Service employment status under sections 224(g)-(n) of the PHS Act¹ for themselves and for their "covered individuals,"² Health Center Program awardees and subrecipients (including those defined as subrecipients under the Health Center FTCA Medical Malpractice Program regulations),³ hereafter referred to as a "health center" in this chapter, must submit for approval by HRSA an annual deeming application that

Chapter 16: Billing and Collections

Chapter 17: Budget

Chapter 18: Program Monitoring and Data Reporting Systems

Chapter 19: Board Authority

Chapter 20: Board Composition

Chapter 21: Federal Tort Claims Act (FTCA) Deeming Requirements

Authority

Requirements

Demonstrating Compliance

Related Considerations

Appendix A: Health Center Program Non-Regulatory Policy Issuances That Remain in Effect

Glossary

Health Center Program Compliance Manual Resources

Demonstrating Compliance

A health center would demonstrate compliance with the FTCA requirements by providing documentation in its annual deeming application, in the form and manner prescribed by HRSA, and consistent with (but not necessarily limited to) the following:

Credentialing and Privileging / Quality Improvement and Quality Assurance

a. The health center is currently compliant with all of the [credentialing](#) and [privileging](#) requirements of Chapter 5: [Clinical Staffing](#) and all requirements within Chapter 10: [Quality Improvement/Assurance](#) prior to the deeming determination.

Risk Management

a. The health center has and currently implements an ongoing health care risk management program to reduce the risk of adverse outcomes that could result in medical malpractice or other health or health-related litigation and that requires the following:

- o Risk management across the full range of health center health care activities;
- o Health care risk management training for health center staff;
- o Completion of quarterly risk management assessments by the health center; and
- o Annual reporting to the health center board which includes: completed risk management activities; status of the health center's performance relative to established risk management goals; and proposed risk management activities that relate and/or respond to identified areas of high organizational risk.

b. The health center has risk management procedures that address the following areas for health center services and operations:

- o Identifying and mitigating the health care areas/activities of highest risk within the health center's HRSA-approved [scope of project](#), including but not limited to tracking referrals, diagnostics, and hospital admissions ordered by health center providers;
- o Documenting, analyzing, and addressing clinically-related complaints and "near

Demonstrating Compliance—Risk Management

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HRSA
Health Center Program

Home | About Health Centers | Compliance

Home » Compliance » Health Center Program Compliance Manual

Download the Health Center Compliance Manual (Last Updated August 2018) (PDF - 2 MB)

Keywords

Health Center Program Compliance Manual

- Introduction
- Chapter 1: Health Center Program Eligibility
- Chapter 2: Health Center Program Oversight
- Chapter 3: Needs Assessment
- Chapter 4: Required and Additional Health Services
- Chapter 5: Clinical Staffing
- Chapter 6: Accessible Locations and Hours of Operation
- Chapter 7: Coverage for Medical Emergencies During and After Hours

Chapter 16: Risk Management

Risk Management

a. The health center has and currently implements an ongoing health care risk management program to reduce the risk of adverse outcomes that could result in medical malpractice or other health or health-related litigation and that requires the following:

- Risk management across the full range of health center health care activities;
- Health care risk management training for health center staff;
- Completion of quarterly risk management assessments by the health center; and
- Annual reporting to the health center board which includes: completed risk management activities; status of the health center’s performance relative to established risk management goals; and proposed risk management activities that relate and/or respond to identified areas of high organizational risk.

b. The health center has risk management procedures that address the following areas for health center services and operations:

- Identifying and mitigating the health care areas/activities of highest risk within the health center’s HRSA-approved scope of project, including but not limited to tracking referrals, diagnostics, and hospital admissions ordered by health center providers;
- Documenting, analyzing, and addressing clinically-related complaints and “near misses” that could result in medical malpractice or other health or health-related litigation.

In order to obtain or renew a health center’s employment status under sections 224(g), (v) of the PHS Act¹ for themselves and for their “covered individuals,”² Health Center Program awardees and subrecipients (including those defined as subrecipients under the Health Center FTCA Medical Malpractice Program regulations),³ hereafter referred to as a “health center” in this chapter, must submit for approval by HRSA an annual deeming application that

Chapter 16: Billing and Collections

Chapter 17: Budget

Chapter 18: Program Monitoring and Data

Demonstrating Compliance

A health center would demonstrate compliance with the FTCA requirements by providing documentation in its annual deeming application, in the form and manner prescribed by HRSA, that it has met the following:

Quality Improvement and Patient Safety

of the credentialing and privileging requirements within Chapter 10: Quality Improvement and Patient Safety.

An ongoing health care risk management program that could result in medical malpractice or other health or health-related litigation requires the following:

- Risk management across the full range of health center health care activities;
- Health care risk management training for health center staff;
- Completion of quarterly risk management assessments by the health center; and
- Annual reporting to the health center board which includes: completed risk management activities; status of the health center’s performance relative to established risk management goals; and proposed risk management activities that relate and/or respond to identified areas of high organizational risk.

Resources

- Identifying and mitigating the health care areas/activities of highest risk within the health center’s HRSA-approved scope of project, including but not limited to tracking referrals, diagnostics, and hospital admissions ordered by health center providers;
- Documenting, analyzing, and addressing clinically-related complaints and “near misses” that could result in medical malpractice or other health or health-related litigation.

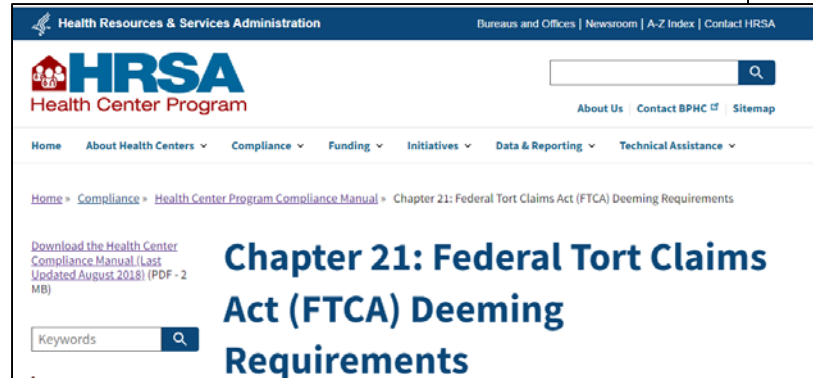
Demonstrating Compliance—Risk Assessments

<p>Health Resources & Services Administration</p> <p>Bureaus and Offices Newsroom A-Z Index Contact HRSA</p> <p>HRSA Health Center Program</p> <p>About Us Contact BPHC Sitemap</p>	<p>Chapter 16: Billing and Collections</p> <p>Chapter 17: Budget</p> <p>Chapter 18: Program</p> <p>Demonstrating Compliance</p> <p><i>A health center would demonstrate compliance with the FTCA requirements by providing, in the form and manner prescribed by (cited to) the following:</i></p>	
<p>Home » Compliance » Health Center Program Com</p> <p>Download the Health Center Compliance Manual (Last Updated August 2018) (PDF - 2 MB)</p> <p>Keywords</p> <p>Health Center Program Compliance Manual</p> <p>Introduction</p> <p>Chapter 1: Health Center Program Eligibility</p> <p>Chapter 2: Health Center Program Oversight</p> <p>Chapter 3: Needs Assessment</p> <p>Chapter 4: Required and Additional Health Services</p> <p>Chapter 5: Clinical Staffing</p> <p>Chapter 6: Accessible Locations and Hours of Operation</p> <p>Chapter 7: Coverage for Medical Emergencies During and After Hours</p>	<p>Risk Management</p> <p>a. The health center has and currently implements an ongoing health care risk management program to reduce the risk of adverse outcomes that could result in medical malpractice or other health or health-related litigation and that requires the following:</p> <ul style="list-style-type: none"> ○ Risk management across the full range of health center health care activities; ○ Health care risk management training for health center staff; ○ Completion of quarterly risk management assessments by the health center; and ○ Annual reporting to the health center board which includes: completed risk management activities; status of the health center's performance relative to established risk management goals; and proposed risk management activities that relate and/or respond to identified areas of high organizational risk. <p>b. The health center has risk management procedures that address the following areas for health center services and operations:</p> <ul style="list-style-type: none"> ○ Identifying and mitigating the health care areas/activities of highest risk within the 	<p>Quality Improvement and</p> <p>of the <u>credentialing</u> and <u>privileging</u> all requirements within Chapter 10: <u>Quality</u> termination.</p> <p>an ongoing health care risk management ; that could result in medical malpractice or t requires the following:</p> <p>health center health care activities;</p> <p>health center staff;</p> <p>ssessments by the health center; and</p> <p>which includes: completed risk center's performance relative to established management activities that relate and/or tional risk.</p> <p>ures that address the following areas for</p> <p>Compliance Manual Resources</p> <ul style="list-style-type: none"> ○ Identifying and mitigating the health care areas/activities of highest risk within the health center's HRSA-approved <u>scope of project</u>, including but not limited to tracking referrals, diagnostics, and hospital admissions ordered by health center providers; ○ Documenting, analyzing, and addressing clinically-related complaints and "near
<p>In order to obtain deemed Public Health Service employment status under sections 224(g)-(n) of the PHS Act³ for themselves and for their "covered individuals,"² Health Center Program <u>awardees</u> and <u>subrecipients</u> (including those defined as subrecipients under the Health Center FTCA Medical Malpractice Program regulations),³ hereafter referred to as a "health center" in this chapter, must submit for approval by HRSA an annual deeming application that</p>		

Demonstrating Compliance—Risk Assessments (Text Version)

- Health Center Program Compliance Manual, Chapter 21: Federal Tort Claims Act (FTCA) Deeming Requirements...
 - Risk Management: The health center has and currently implements an ongoing health care risk management program to reduce the risk of adverse outcomes that could result in medical malpractice or other health or health-related litigation and that requires the following:
 - Risk management across the full range of health center health care activities;
 - Health care risk management training for health center staff;
 - Completion of quarterly risk management assessments by the health center; and
 - Annual reporting to the health center board which includes: completed risk management activities; status of the health center's performance relative to established risk management goals; and proposed risk management activities that relate and/or respond to identified areas of high organizational risk...

Health Center Compliance Manual, Chapter 21: FTCA Deeming Requirements—Related Considerations

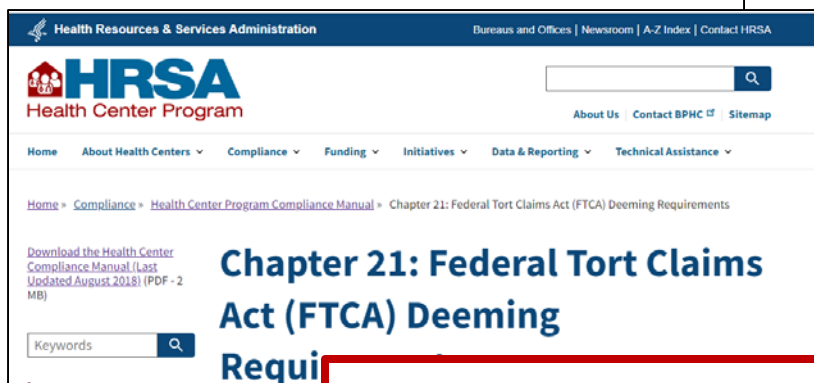


Related Considerations

The following points describe areas where health centers have discretion with respect to decision-making or that may be useful for health centers to consider when implementing these requirements:

- The health center determines how to obtain its health care risk management training (for example, through one of HRSA’s national cooperative agreements or technical assistance contracts) and which trainings to require for covered individuals and the individual(s) designated with risk management responsibilities (for example, risk manager).
- The health center determines what other types of liability coverage to obtain, such as private “gap” or “tail” insurance, directors and officer insurance, and general liability insurance, for activities that may not be eligible for FTCA coverage.
- The health center determines how to conduct and document the completion of quarterly risk management assessments.
- With the exception of health centers that use volunteer health professionals, as to which requirements are prescribed by law,⁶ the health center determines how to inform patients that it is a deemed Federal Public Health Service employee.

Related Considerations—How to Conduct and Document Risk Assessments



Related Considerations

The following points describe areas where health centers have discretion with respect to decision-making or that may be useful for health centers to consider when implementing these requirements:

- The health center determines how to obtain its health care risk management training (for example, through one of HRSA’s national cooperative agreements or technical assistance contracts) and which trainings to require for covered individuals and the individual(s) designated with risk management responsibilities (for example, risk manager).
 - The health center determines what other types of liability coverage to obtain, such as
- The health center determines how to conduct and document the completion of quarterly risk management assessments.
 - With the exception of health centers that use volunteer health professionals, as to which requirements are prescribed by law,⁶ the health center determines how to inform patients that it is a deemed Federal Public Health Service employee.

Polling Question #3

- Which of the following is a required element of risk assessments?
 - Complete one risk assessment per year
 - Use a specific checklist for risk assessments
 - Ensure that each risk assessment covers the same content
 - All of the above
 - None of the above

Polling Question #3 Answer Key (1)

- Which of the following is a required element of risk assessments?
 - *Complete one risk assessment per year is incorrect.* Health centers must complete quarterly risk assessments. (Health centers must also complete an annual risk management report for the board and key management staff.)

Polling Question #3 Answer Key (2)

- Which of the following is a required element of risk assessments?
 - *Use a specific checklist for risk assessments is incorrect.* Health centers determine how to conduct and document risk assessments. While checklists can be a helpful tool for conducting risk assessments, there are no specific risk assessment checklists that must be used.

Polling Question #3 Answer Key (3)

- Which of the following is a required element of risk assessments?
 - *Ensure that each risk assessment covers the same content is incorrect.* Repeating the same risk assessment content may be beneficial in some circumstances; however, the focus and content of each risk assessment should be based on identified areas of high risk, which may change over time.

Polling Question #3 Answer Key (4)

- Which of the following is a required element of risk assessments?
 - *All of the above is incorrect* because the previous choices were all incorrect.
 - *None of the above is the correct answer.*



Learning Objective 3: Learn how to choose risk assessment focus areas



Polling Question #4

- How should we determine what to include in a risk assessment?
 - Follow whatever the checklist says
 - Focus only on OSHA requirements
 - Choose focus areas that can be assessed as efficiently as possible to avoid interrupting daily operations
 - None of the above

Polling Question #4 Answer Key

- How should we determine what to include in a risk assessment?
 - *Follow whatever the checklist says* **is not** the best answer.
 - *Focus only on OSHA requirements* **is not** the best answer.
 - *Choose focus areas that can be assessed as efficiently as possible to avoid interrupting daily operations* **is not** the best answer.
 - *None of the above* **is the best answer**. The other choices do not ensure that patient safety is prioritized or that areas of clinical high risk are assessed.

Risk Assessment Focus Areas

- Risk assessments should be used to evaluate “health care areas/activities of highest risk within the health center’s HRSA-approved scope of project”



Health Center Program Compliance Manual, Chapter 21: FTCA Deeming Requirements

<https://bphc.hrsa.gov/compliance/compliance-manual/chapter21#demonstrating-compliance-21>

Possible Risk Assessment Focus Areas: “Risk Management Procedures”

- Consider focusing some risk assessments on required elements of risk management procedures:
 - “Risk management procedures should address high risk health center services and operations including but not limited to:
 - Tracking referrals, diagnostics, and hospital admissions
 - Clinically-related complaints and ‘near misses’”

Possible Risk Assessment Focus Areas: “Risk Management Training”

- Consider focusing some risk assessments on required elements of risk management training:
 - “Risk management training should address high risk areas/activities including but not limited to:
 - Obstetrical procedures
 - Infection control
 - HIPAA medical record confidentiality requirements”

Words to Remember



“including but not limited to”

Sources for Risk Assessment Focus Areas (1)

- Patient safety events
- Patient complaints and grievances
- Survey results
 - Patient satisfaction
 - Culture of safety
 - Employee satisfaction/burnout
- Areas requiring risk management training (e.g., obstetrics, infection control, HIPAA)
- Disruptive external events (e.g., COVID, weather disaster, negative publicity)

Sources for Risk Assessment Focus Areas (2)

- QI/QA data
- Uniform Data System (UDS) measures
- Closed claims
- Root cause analyses (RCAs) or sentinel events
- External review findings (e.g., HRSA operational site visits, FTCA deeming application and site visit findings, accreditation)
- Electronic health record trouble areas
- Feedback from staff meetings
- Ask staff and providers for their ideas!



Learning Objective 4: Identify risk assessment tools



Risk Assessment Tools

- “A risk assessment is a structured process used to identify potential hazards within the organization's operations, departments, and services.”
- “Risk assessment tools include* self-assessment questionnaires, FMEA [Failure Modes and Effect Analysis], and safety walkrounds.”

**but are not limited to!*



<https://bphc.hrsa.gov/sites/default/files/bphc/initiatives/ftca-compliance-tool-risk-management-annual-report.pdf>

Risk Assessment Tools: FMEA and Safety Walkrounds

➤ FMEA

- A proactive, systematic method of identifying ways a process can go wrong and actions to prevent them
- Focuses on identifying and addressing vulnerabilities *before* harm occurs

➤ Safety Walkrounds

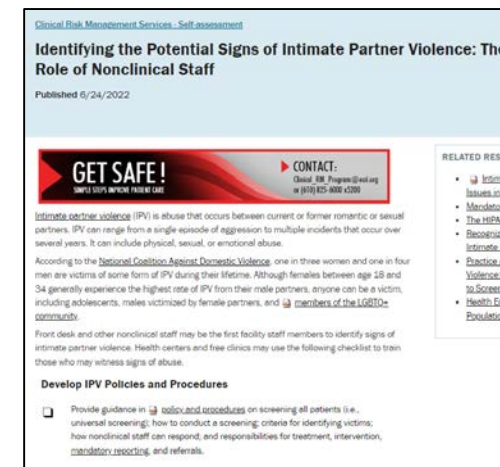
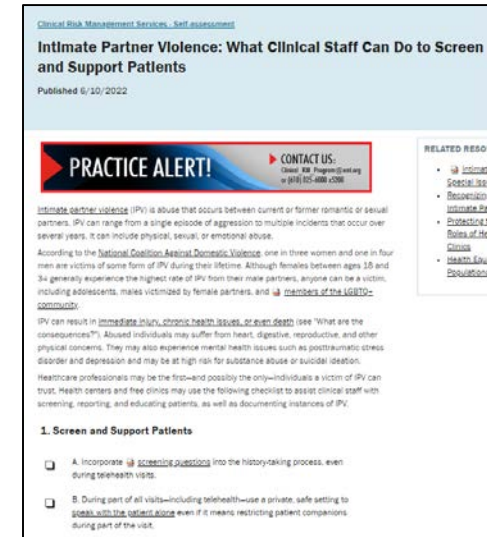
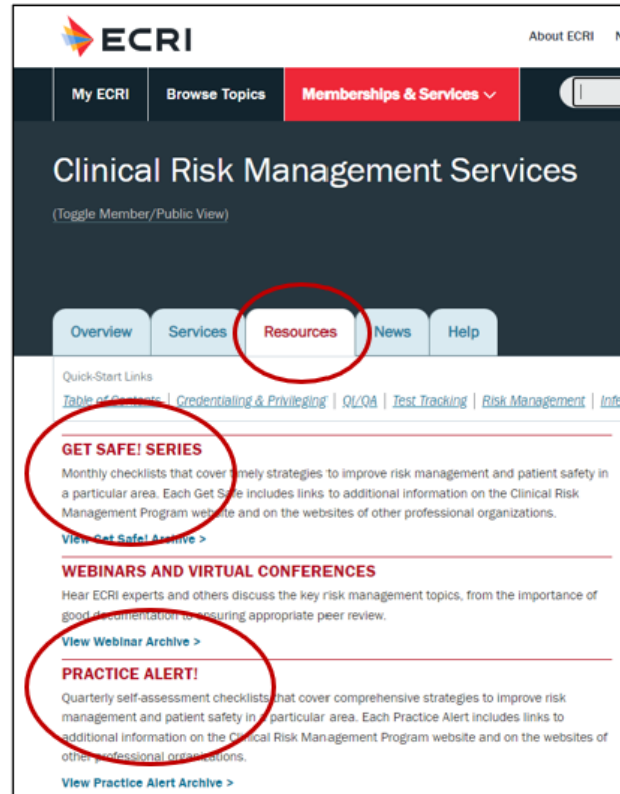
- An interactive way to connect senior leaders with front line staff to educate leadership about safety issues and convey commitment to a culture of safety
- See “Additional Resource” slides at the end of the presentation for more information on these tools

Risk Assessment Tools: Self-Assessment Questionnaires (SAQs) and Checklists

- “Risk assessment” is not synonymous with “checklist”
- A checklist is one of several tools you can use to conduct a risk assessment
- Adapt and edit self-assessment questionnaires/checklists to meet your organizational needs, based on identified areas of risk
- Be sure to include assessment of clinical risks that impact patient safety
- Consider breaking up comprehensive checklists into more manageable pieces

ECRI Get Safe! and Practice Alert! Self-Assessments

- Get Safe! and Practice Alert! checklists can be used as risk assessments
- See the “Resources” tab on the Clinical Risk Management homepage
 - Get Safe — focused
 - Practice Alert — comprehensive



Health Center Stories and Resources—Thank You!

- Thank you to these health center risk managers and their teams who shared risk assessment stories for this program (alphabetical order):
 - Margaret Calero, Cornerstone Family Healthcare (Middletown, NY)
 - Kathy Davenport, Northwest Health Services (St. Joseph, MO)
 - Nishie Perez, North Hudson Community Action Health Center (West New York, NJ)
 - Beth Royal, MedNorth Health Center (Wilmington, NC)

Risk Assessment Story: Telehealth Workflow

Clinical Risk Management Services - Self-assessment

Managing Clinical Risks Associated with Telehealth Programs

Published 5/22/2020

PRACTICE ALERT!

The Health Resources and Services Administration (HRSA) provides information on the use of electronic information and telecommunications technology in clinical healthcare, patient and professional health-care administration.

Telehealth uses different technologies to deliver care:

- Live videoconferencing, which allows two-way communication between the patient and physician, or between synchronous telehealth.
- "Store and forward," in which patient information from the originating facility's computer system is secured and transmitted to a distant site for review. Store and forward allow for asynchronous telehealth.
- Remote patient monitoring, in which vital signs and other data (e.g., blood glucose levels, indicators of fall risk) are collected from devices, usually at home, and transferred to the healthcare provider, often in the care of patients with chronic conditions.
- Mobile health (mHealth), in which healthcare and public health information are communicated through mobile devices. The information may include general educational information, targeted texts, and notifications about disease outbreaks.

1. Telehealth Program Development

- A. Create a multidisciplinary team to evaluate the feasibility of implementing a telehealth program. Include providers and representatives from senior leadership, information technology, risk management, finance, human resources, and quality improvement.
- B. Collaborate with your regional [telehealth resource center](#) for assistance, education, and information about providing telehealth services, including resources for [telehealth program development](#).
- C. Evaluate telehealth needs of your [specific patient populations](#) and define the telehealth services your program will deliver based on those needs.
- D. Assess your health center's [readiness for telehealth](#) and create an action plan to address any identified gaps.
- E. Incorporate appropriate [evaluation measures](#) to assess the quality of your telehealth program and identify potential opportunities for improvement. Include patient and provider satisfaction measures.
- F. Monitor [national policy](#) and [current state laws](#) related to telehealth and determine whether any changes affect the organization's telehealth program. Extraordinary circumstances may accelerate changes in policy. For example, the COVID-19 pandemic led to [interim telehealth policy changes](#) at both the federal and state level in order to facilitate the rapid adoption of telehealth services across the country.

Notes:

- Rapid changes due to pandemic
- One health center piloted new web-based telehealth risk assessment
- Designated time for the assessment increased participation
- Findings/improvements
 - Determining appropriate patients and types of visits
 - Privacy measures
 - Consent processes
 - Need for repeat evaluation

Risk Assessment Checklists: *Managing Risks in Ambulatory Care*

- Found in the Risk Management Operations Resource Collection, under “Risk Assessments”
- More traditional “checklist” style templates include:
 - Managing Risks in Ambulatory Care: Clinical Management
 - Managing Risks in Ambulatory Care: Human Resources
 - Managing Risks in Ambulatory Care: Office Administration

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

The screenshot shows the ECRI website interface. At the top, there is a navigation bar with 'My ECRI', 'Browse Topics', and 'Memberships & Services'. Below this, the page is titled 'Clinical Risk Management Services - Guidance' and 'Risk Management Operations'. The page is a 'Resource Collection' published on 2/16/2022. Under the 'GUIDANCE' section, there are two items: 'Ready, Set, Go - Developing a Risk Management Program' and 'Risk Management Manual for Health Centers'. The 'RISK ASSESSMENTS' section is circled in red and contains several items, including 'Healthcare Risk Management Programs', 'Managing Risks in Ambulatory Care: Clinical Management', 'Managing Risks in Ambulatory Care: Human Resources', 'Managing Risks in Ambulatory Care: Office Administration', 'Get Safe! From Words to Action: Effective Implementation of Policies and Procedures', 'Get Safe! Keys to Developing Policies and Procedures', and 'Practice Alert! Conducting Risk Assessments: A Checklist'. The 'WEBINARS' section at the bottom lists 'Building an Effective Risk Management Program' and 'Developing a Risk Management Plan'.

Risk Assessment Checklist: Ambulatory Medical and Dental Risk Management Assessment Tool

- Found in the Risk Management Operations Resource Collection, under “Sample Policies and Tools”
- Example sections include:
 - Communication
 - Consent
 - Dental
 - Tracking labs, imaging, and referrals

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



Risk Management Operations

Resource Collection
Published 2/16/2022

GUIDANCE

- [Ready, Set, Go - Developing a Risk Management Program](#)
- [Risk Management Manual for Health Centers](#)

RISK ASSESSMENTS

- [Healthcare Risk Management Programs](#)
- [Managing Risks in Ambulatory Care: Clinical Management](#)
- [Managing Risks in Ambulatory Care: Human Resources](#)
- [Managing Risks in Ambulatory Care: Office Administration](#)
- [Get Safe! From Words to Action: Effective Implementation of Policies and Procedures](#)
- [Get Safe! Keys to Developing Policies and Procedures](#)
- [Practice Alert! Conducting Risk Assessments: A Checklist](#)

WEBINARS

- [Building an Effective Risk Management Program](#)
- [Developing a Risk Management Plan](#)
- [Development and Implementation of Well-Designed Policies and Procedures](#)
- [Getting Back to Basics: Building Blocks for a Strong Risk Management Program](#)
- [How to Implement Effective Policies and Procedures](#)
- [Risk Management Manual for Health Centers: A Guided Tour](#)
- [Writing and Implementing Effective Policies and Procedures](#)

SAMPLE POLICIES AND TOOLS

- [Ambulatory Medical and Dental Risk Management Assessment Tool](#)
- [FTCA Application Procedure: Resource for Compliance Tool: Risk Management: Annual Report to Board Edition](#)
- [Patient Safety and Risk Management Plan Informational Flowchart](#)
- [Patient Safety and Risk Management Plan Operational Checklist](#)
- [A Division Office Manual Excerpt: Table of Contents](#)

Ambulatory Medical and Dental Risk Management Assessment Tool				
Site location:				
Date of annual review:	Reviewer:			
Quarterly follow-up review				
<input type="checkbox"/> Q1				
<input type="checkbox"/> Q2				
<input type="checkbox"/> Q3				
<input type="checkbox"/> Q4				
OPERATIONAL RISK MANAGEMENT				
TOPIC	YES	NO	NA	FINDINGS/COMMENTS
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
FACILITY ACCESS				
1. Facility is adequately signed and the entrance is easily identified.				
2. Office hours are posted and easily identified.				
3. The building and facilities are handicapped accessible.				

COMMUNICATION				
1. There is an effective way for patients to reach the providers in the practice after hours.				
2. The after-hours messaging clearly states what the patient should do in an emergency.				
3. Staff use active listening techniques.				
4. There are established protocols of communication between the front desk and the treatment area.				
TOPIC	YES	NO	NA	FINDINGS/COMMENTS
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Front office employees and medical assistants only provide information that is in compliance with written protocols or processes approved by the provider.				
6. Staff members are instructed to consult a provider whenever they are in doubt about the correct answer.				
7. Interpreters for limited English proficiency or hard of hearing patients are available on demand.				
8. Email is done via a secure portal or other secure means.				
9. Emails from the patient and responses thereto are kept in the chart.				
10.				
11.				
12.				

Risk Assessment Story: Dental Safety

- Adapted Ambulatory Medical and Dental Risk Management Assessment Tool
- Identified need for dental dams

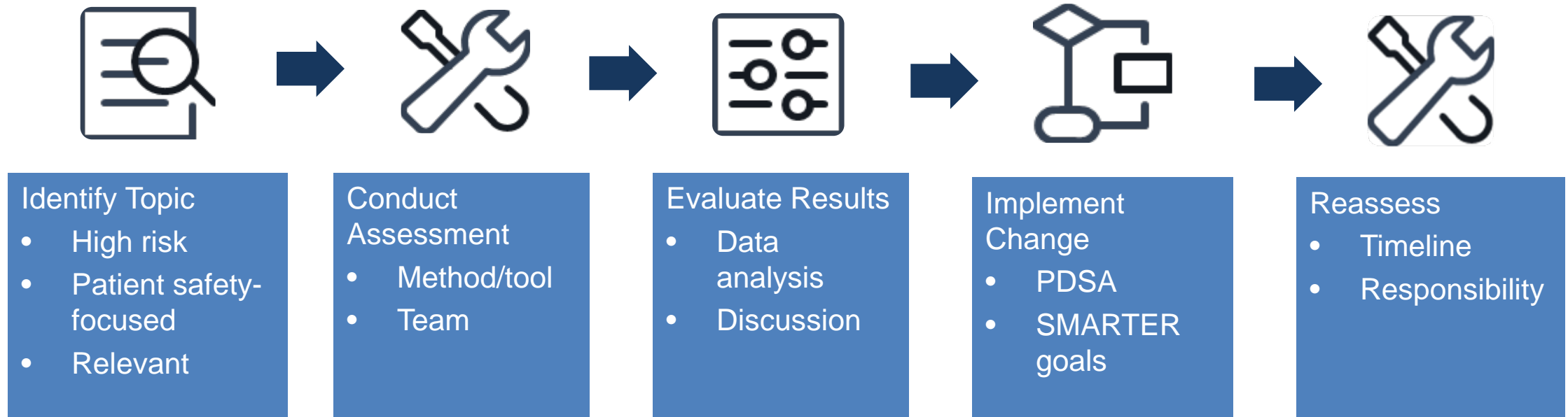




Learning Objective 5: Understand the risk assessment process



Anatomy of the Risk Assessment Process



- Include in:
- Risk management plan
- Annual risk management report to board of directors

Example: Risk Assessment Process (1)

- At a staff meeting, the office manager reports an increase in appointment “no-shows,” late arrivals, and last-minute cancellations
- The risk manager and office manager discuss concerns related to this increase (e.g., medically fragile patients not receiving follow-up care)
- Due to the potential impact on patient safety, they decide to do a risk assessment focusing on this issue
- The risk manager, office manager, scheduling assistant, lead social worker, and IT manager form a team and design an audit tool
- They analyze results and find that most patients with disrupted appointments over the past three months live in one geographic area

Example: Risk Assessment Process (2)

- The lead social worker investigates further and determines that a bus route had changed, eliminating two stops in that area
- Designated staff contact patients who have had disrupted appointments and who live in the impacted area to discuss transportation
- The lead social worker and other social services staff work with local transportation services on a collaborative action plan
- The team creates a specific monitoring process and timeline and assigns responsibility for follow-up on the action plan

Risk Assessment Story: Environment of Care—Restroom Locks

- Combined safety walkrounds and self-assessment checklist approach
- Discovered and immediately addressed patient safety issue with restroom locks

Risk Assessment Story: Procedural Safety—Consents and Time Outs

- Used medical record audit to assess and address obstetric procedural consents and time outs

Guidance on Conducting a Risk Assessment

- Practice Alert! Conducting Risk Assessments: A Checklist
 - <https://www.ecri.org/components/HRSA/Pages/PracticeAlerts033018.aspx>

Clinical Risk Management Services - Self-assessment

Conducting Risk Assessments: A Checklist

Published 3/30/2018

PRACTICE ALERT!

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Risk assessments involve collecting and analyzing information about the health center or free clinic's practices, policies, and culture. This process arms the risk manager with data that can be used to proactively design patient and worker safety and prioritize risk prevention and reduction strategies.


Risk assessments can include a variety of strategies, including surveys to evaluate overall safety culture, as well as targeted questionnaires to assess specific areas of concern such as test tracking, obstetrics, or medication safety. Health centers and free clinics can also use leadership walk-arounds to give executive staff an opportunity to hear from employees about potential risks and concerns.

No matter what strategy an organization chooses, the organization should document results and use the results for improvement. Health centers and free clinics can use the following checklist to guide risk assessments. In addition, see [Case Study: What Does a Risk Assessment Look Like?](#) which highlights the steps of a risk assessment process.

Conducting Risk Assessments: A Checklist			
Preparing for the Assessment	Yes	No	N/A
Are processes for risk assessments included in the health center or free clinic's ongoing risk management program and plan ?			
Does the health center or free clinic's culture support ongoing assessment, learning, and improvement?			
Has the health center or free clinic ensured leadership			

Tool for Documenting Quarterly Risk Assessments

- FTCA Application Procedural Demonstration of Compliance Tool: Risk Management—Annual Report to Board Edition. High Risk and Quarterly Risk Assessments. (pp. 3-4)
 - <https://bphc.hrsa.gov/sites/default/files/bphc/initiatives/ftca-compliance-tool-risk-management-annual-report.pdf>



areas generates information that can be used to proactively target patient safety activities and prioritize risk prevention and reduction strategies.

Risk Activity Focus Area/Measure	Summary Description of Assessment/Methodology/Indicators

Data Summary

See the dashboard below for completed risk management activities and status of the health center's performance relative to established risk management goals.

Person responsible	Measure/Key Performance Indicator	Threshold/Goal	Q1	Q2	Q3	Q4	Annual Total

SWOT Analysis

Strengths	Weaknesses	Opportunities	Threats

Follow-up Actions

[QUARTER, YEAR]:

[QUARTER, YEAR]:

[QUARTER, YEAR]:

[QUARTER, YEAR]:

Conclusion

Proposed Future Activities

Take Home Action Plan for Frontline Staff (1)

- Write down a risk assessment priority that could benefit your organization
 - *“Several incident reports involving medication administration errors were reported in the past few weeks. I think we should look more closely at this trend by doing a risk assessment.”*
- Specify how or why this risk assessment would be beneficial
 - *“A structured approach to identifying factors contributing to these incidents can help us find solutions to prevent additional errors. We can use this as one of our required quarterly risk assessments.”*

Take Home Action Plan for Frontline Staff (2)

- Identify a possible tool to utilize for this risk assessment
 - ECRI Medication Safety Resource Collection
https://www.ecri.org/components/HRSA/Pages/ResourceCollection_MedicationSafety.aspx
 - ECRI Risk Management Operations Resource Collection
https://www.ecri.org/components/HRSA/Pages/ResourceCollection_RiskManagementOperations.aspx
 - “Medication Management” section of *Ambulatory Medical and Dental Risk Management Assessment Tool* and “Medication Safety” section of *Managing Risks in Ambulatory Care: Clinical Management*
- Share this information with the leadership team
- Follow up to see if action is being taken

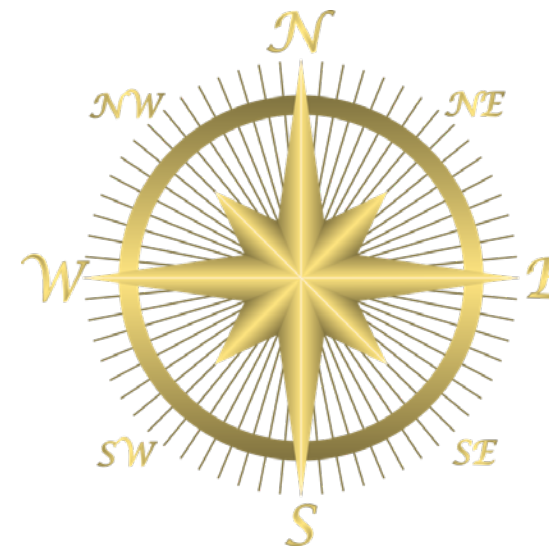
Take Home Checklist for Leadership

Do we:

1. **Prioritize** patient safety by assessing areas of high clinical risk?
2. **Tailor** risk assessments to our organization?
3. **Use tools** to structure risk assessments?
4. **Evaluate** assessment findings to identify gaps and implement process changes?
5. **Document** risk assessment procedures and related process changes?
6. **Revisit** process changes to ensure they are having the intended outcome?
7. **Incorporate** risk assessment procedures into the overall risk management plan?
8. **Include** quarterly risk assessment topics, findings, and related process changes in the annual risk management report to the Board of Directors?

Risk Assessments: Ultimate Goal (Revisited)

- The true north for healthcare risk assessments is identifying best practices to support patient safety
- The ultimate goal is to successfully implement these practices



Additional Resources



Risk Assessment Tools: FMEA

- Ready, Set, Go: Failure Mode and Effects Analysis
 - <https://www.ecri.org/components/HRSA/Documents/Csuites/Ready%20Set%20Go%20-%20Failure%20Modes%20and%20Effects%20Analysis.pdf>
- Healthcare Failure Mode and Effect Analysis (HFMEA) (U.S. Department of Veterans Affairs)
 - <https://www.patientsafety.va.gov/professionals/onthejob/hfmea.asp>
- FMEA Tool (Institute for Healthcare Improvement)
 - <https://bit.ly/3AirtDG>
- Guidance for Performing FMEA with Performance Improvement Projects (CMS)
 - <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/QAPI/downloads/GuidanceForFMEA.pdf>

Risk Assessment Tools: Safety Walk Rounds

- Patient Safety Leadership WalkRounds™ (Institute for Healthcare Improvement)
 - <https://www.ihl.org/resources/Pages/Tools/PatientSafetyLeadershipWalkRounds.aspx>
- Patient Safety Walkrounds™ Toolkit (London Health Sciences Centre)
 - https://www.lhsc.on.ca/doc/orientation/falls/presentation_content/external_files/Patient%20Safety%20WalkRounds%20Toolkit.pdf
- Executive Rounds for Safety (Washington State Hospital Association)
 - <http://www.wsha.org/wp-content/uploads/ExecLeadershipRounding.pdf>
- The evolving literature on safety WalkRounds: emerging themes and practical messages (BMJ Quality & Safety)
 - <https://qualitysafety.bmj.com/content/23/10/789.long>

Safety Culture Risk Assessments

- Measuring Safety Culture
 - <https://www.ecri.org/components/HRSA/Pages/PSRM12.aspx>
- Safety Attitudes Questionnaire (Ambulatory Version)
 - <https://www.ecri.org/components/HRSA/Documents/SPT/PSRM/PSRMPol1.pdf>
 - Also see *Safety Attitudes and Safety Climate Questionnaire* (UTHealth Houston) <https://www.uth.edu/chqs/safety-survey>
- Medical Office Survey on Patient Safety Culture (Agency for Healthcare Research and Quality)
 - <https://www.ahrq.gov/sops/surveys/medical-office/index.html>

Safety Culture Risk Assessments (2)

- Culture of Safety Organizational Self-Assessment (American College of Health Executives)
 - Electronic version: <http://safety.ache.org/quiz/culture-of-safety-organizational-self-assessment/>
 - Printable version (starts on p. 40 of 48):
https://www.osha.gov/sites/default/files/Leading_a_Culture_of_Safety-A_Blueprint_for_Success.pdf

Additional Risk Assessment Templates and Tools

- Safety Risk Assessment Toolkit (The Center for Health Design) (free with registration)
 - <https://www.healthdesign.org/sra>
- Infection Prevention and Control Assessment Tool for Outpatient Settings (CDC)
 - <https://www.cdc.gov/infectioncontrol/pdf/icar/outpatient.pdf> (English)
 - <https://www.cdc.gov/infectionControl/pdf/icar/Outpatient-es-P.pdf> (Spanish)

Additional Risk Assessment Templates and Tools (2)

- Sample risk assessment template (Health and Safety Executive)
 - <https://www.hse.gov.uk/simple-health-safety/risk/risk-assessment-template-and-examples.htm#article>
- Implementation of Quarterly Risk Assessments
 - Webinar recording: https://hrsa.gov.zoomgov.com/rec/share/vJkCAGTSndI3mgz_j0Ak9N-5FSE7-KtKsJbK8Y0o7kZoVN3VJSJtjttPAYUcxaqg.STDMedUc6SuPrvsp?startTime=1636048722000
 - Slides: <https://bphc.hrsa.gov/sites/default/files/bphc/initiatives/ftca-quarterly-risk-assessments.pdf>



Questions?

Please email us at Clinical_RM_Program@ecri.org.

Thank you

