





# Learning Objectives

1. Review the purpose and requirements of reporting risk management activities to the governing board
2. Learn best practices for creating and delivering the annual risk management report to the board
3. Practice how to create an annual risk management board report using a sample tool
4. Discuss how the board report informs future activities of the overall risk management program

# Polling Question 1

- Have you already downloaded and reviewed the two tools listed below?
  - Yes
  - No
- Tools we will be using during today's presentation:
  - [Risk Management Report to Board: Sample Report and Dashboard](#)
  - [FTCA Application Procedural Demonstration of Compliance Tool: Risk Management—Annual Report to Board Edition](#)





# Learning Objective 1

Review the purpose and requirements of reporting risk management activities to the governing board.

# Why Is Annual Board Reporting Important?

- The board and key management staff oversee the organization's performance related to safety and quality.
- The board should:
  - Be informed of the health center's risk management activities and performance related to risk management goals.
  - Provide input and recommendations to the chief executive officer and leadership on the safety plan and goals.
  - Keep quality and safety in mind when making decisions for the organization.

# Health Center Program Compliance Manual, Chapter 21

- Demonstrating Compliance
  - “Risk Management: The health center has and currently implements an ongoing health care risk management program ... that requires:”
    - “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”
      - “proposed risk management activities that relate and/or respond to identified areas of high organizational risk”





# Learning Objective 2

Learn best practices for creating and delivering the annual risk management report to the board.

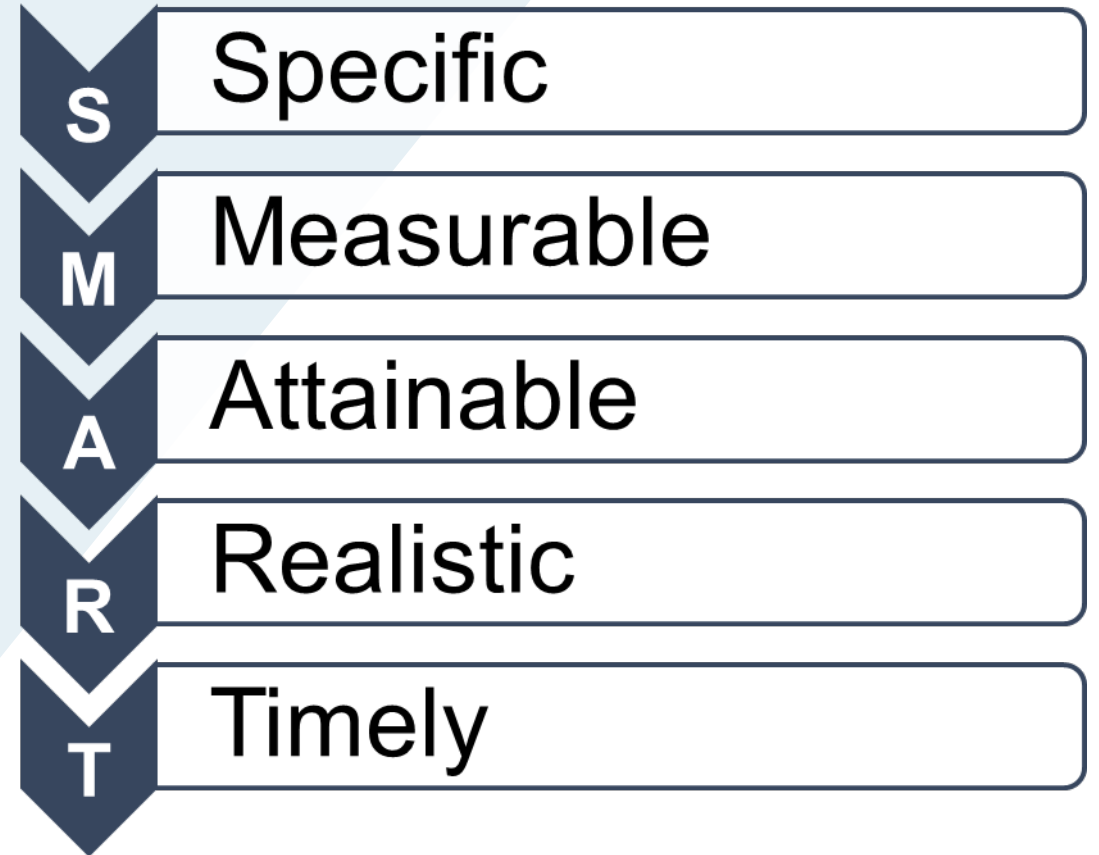
# Best Practices

- Your annual report to the board should:
  - Include risk management activities over a **12-month period**
  - Provide a high-level overview of **completed risk management activities**
  - Compare performance relative to established risk management **goals**
  - Identify additional factors influencing performance through **analysis**
  - Summarize **accomplishments as well as additional needs**
  - **Propose future activities** that relate and/or respond to identified areas of high organizational risk, inclusive of risk management goals



# SMART Goal Example

- Original goal: Higher patient satisfaction scores
- SMART goal: Achieve an overall top score of 5 out of 5 on at least 90% of all returned patient satisfaction surveys for the calendar year, which would be an increase of 5% from last year's baseline.



# SWOT Analysis Matrix and Example

Attributes	Helpful Attributes	Helpful Attributes
<b>Internal Attributes</b>	<p><b>Strengths:</b> Satisfaction surveys can be mailed or emailed to patients according to their preference.</p>	<p><b>Weaknesses:</b> No one internally responsible for analyzing top score trends or causes.</p>
<b>External Attributes</b>	<p><b>Opportunities:</b> Vendor can increase number of online satisfaction surveys.</p>	<p><b>Threats:</b> Upcoming medical record software upgrade (Q4) will disrupt vendor survey process.</p>

# Best Practice Summary

## Do:

- Report to the board annually on risk management activities, progress in meeting goals, and implementation of follow-up actions
- Translate data to meaningful information that tells a story over the 12-month period
- Use visual tools such as charts, graphs, and dashboards

## Do not:

- Upload monthly or quarterly board reports as the report must be consolidated into an annual report that covers activities over a 12-month period
- Upload a report with dates outside of the current or previous calendar year



# Reporting Topics

- High-risk assessments
- Quarterly risk assessments
- Near miss and adverse event reporting
- Risk management training (specialty, providers, clinical staff, and all staff)
- Risk and patient safety activities
  - Including obstetrical procedures; infection control; HIPAA medical record confidentiality requirements; and tracking referrals, diagnostics, and hospital admissions
- Patient satisfaction surveys
- Patient grievances
- Claims management

# Other Considerations for Reporting

- Ensure that reports and data are consistent for each topic
- Coordinate content and messages with others in the organization (e.g., business and finance, human resources, information technology) who report to the board to avoid redundant or contradictory reports
- Ask team members to review and vet written reports before providing to the board
- Solicit board feedback about the content afterward
- Integrate board recommendations and feedback into the action plan, goals, and initiatives



# Learning Objective 3

Practice how to create an annual risk management board report using a sample tool



# Interactive Activity: Creating the Board Report (Slide 1 of 2)

- Please follow along with the sample board report that will be shared and discussed during this webinar.
- Feel free to take notes as we walk through creating a board report. It may be helpful to have the [blank word document](#) version accessible.
- The live, presented version of the document will be shared at the conclusion of the activity.
- In order to fill in your report to the board, you will need to gather information specific to your organization as applicable.

# Interactive Activity: Creating the Board Report (Slide 2 of 2)

- Some measures, particularly for patient safety activities, may not be applicable to your organization. Instead, you will need to report metrics based on the unique clinical risk and patient safety needs of your organization you have previously identified.
- The sample information provided within this tool is not all-inclusive; health centers should provide specific information that is both accurate and sufficient to inform the board and key management staff on all healthcare risk management activities, progress related to follow-up actions that have been implemented, and next steps.

# Creating the Board Report: Introduction

## (Slide 1 of 2)

- The purpose of this report is to provide an account of **ABC Health Center's** annual performance relative to the risk management plan and evaluate the effectiveness of risk management activities aimed to mitigate risks and respond to identified areas of high risk.
- Topics presented include:
  - High-risk and quarterly risk assessments
  - Adverse event reporting
  - Risk management training
  - Risk and patient safety activities
  - Claims management



# Creating the Board Report: Introduction

## (Slide 2 of 2)

Each topic includes:

- An introduction to explain the relevance of the topic
- A data summary to highlight performance relative to established goals
- A SWOT analysis to identify additional factors related to performance
- Follow-up actions to note activities aimed to maintain or improve performance throughout the year
- A conclusion to summarize findings at year-end
- Proposed future activities to respond to identified areas of high organizational risk

# Creating the Board Report (Slide 1 of 5)

- Interactive Activity
  - See live/recorded presentation

# Polling Question 2: High-Risk and Quarterly Risk Assessments

- ABC Health Center's goal is to conduct two comprehensive risk assessments annually. For 2022, only one assessment was conducted.
- Select all that apply: **Which of the following action(s) should be taken and documented in the report?**
  - Change the goal to only one annual high-risk assessment, so the goal is met.
  - Document barriers that led to non-compliance in the SWOT analysis and/or other narrative portion of the report.
  - Document any follow-up actions taken during the performance period.
  - Propose future activities to improve future performance.



# Creating the Board Report (Slide 2 of 5)

- Interactive Activity
  - See live/recorded presentation

# Polling Question 3: Adverse Event Reporting

ABC Health Center reported a total of seven serious reportable events and four root cause analyses (RCAs) for 2022.

Select all that apply: **What additional questions may board members ask?**

- Does the health center conduct RCAs on all serious events?
- How many serious reportable events have we had in prior years?
- Were there any associated trends between the seven serious reportable events?
- What additional resources do you need to reduce the likelihood of serious reportable events?

# Creating the Board Report (Slide 3 of 5)

- Interactive Activity
  - See live/recorded presentation

# Polling Question 4: Risk Management Training

- ABC Health Center had 77.5% of staff complete annual risk management training, which was less than the goal of  $\geq 95\%$  by year-end.
- In follow-up, a risk management training survey revealed that the most significant barrier to completion was staff and providers not having dedicated work time available for training. This is an example of a(n):
  - Strength (helpful, internal attribute)
  - Weakness (harmful, internal attribute)
  - Opportunity (helpful, external attribute)
  - Threat (harmful, external attribute)



# Creating the Board Report (Slide 4 of 5)

- Interactive Activity
  - See live/recorded presentation

# Polling Question 5: Patient Safety Activities

ABC Health Center is tracking referrals and reporting out progress in the annual board report under Patient Safety Activities.

Select all that apply: **What other tracking processes should ABC Health Center report out on?**

- Just tracking referrals is sufficient.
- Diagnostic test tracking (including laboratory tests and diagnostic imaging).
- Hospitalization tracking.

# Creating the Board Report (Slide 5 of 5)

- Interactive Activity
  - See live/recorded presentation

# Polling Question 6: Claims Management

- ABC Health Center had two settled claims that alleged failure to use rubber dams resulting in ingestion of endodontic instruments in 2022.
- Would you propose to add dental dam use audits and annual dental training on the use of the dental dam for continued monitoring under Patient Safety Activities for your board report in 2023?
  - Yes
  - No



# Learning Objective 4

Discuss how the board report informs future activities of the overall risk management program



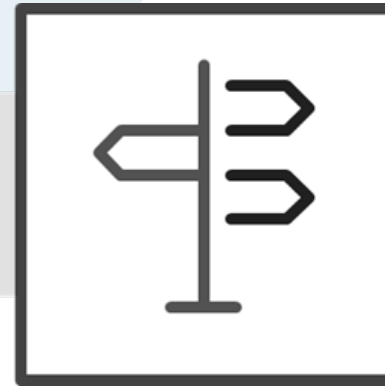
# Reporting to the Board on Risk Management Activities (Slide 1 of 2)

The governing body of an organization is **ultimately responsible and accountable** for the quality of care provided and for all activities related to:

- Quality improvement/performance improvement
- Culture of safety
- Patient safety
- Risk management

# Reporting to the Board on Risk Management Activities (Slide 2 of 2)

- Board oversight of risk management goals and activities is essential for program success.
  - Informed boards can drive change and improve patient safety.
  - Through its allocation of resources, the board provides for the effective functioning of all daily operations.



# Key Takeaways

- Report to the board annually on:
  - Risk management activities
  - Progress in meeting goals
  - Implementation of follow-up actions
- Translate data to meaningful information that tells a story over the 12-month period.
  - Use narratives as well as visual tools such as charts, graphs, and dashboards
- Propose future activities based on progress towards goals and any other identified opportunities.

# Additional Resources

- Creation of an Annual Report to the Board:  
<https://bphc.hrsa.gov/sites/default/files/bphc/initiatives/ftca-annual-report-governing-board.pdf>
- Get Safe! Engaging the Board and Community in a Culture of Safety:  
[https://www.ecri.org/components/HRSA/Pages/GetSafe\\_062620.aspx](https://www.ecri.org/components/HRSA/Pages/GetSafe_062620.aspx)
- Health Center Governing Board Orientation Toolkit:  
<https://www.ecri.org/components/HRSA/Pages/NewBoardToolkit.aspx>
- Resource Collection: Risk Management Operations:  
[https://www.ecri.org/components/HRSA/Pages/ResourceCollection\\_RiskManagementOperations.aspx](https://www.ecri.org/components/HRSA/Pages/ResourceCollection_RiskManagementOperations.aspx)