

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**



**Clinical Risk Management Basics:
What Health Centers Need to Know**

February 17 & 18, 2010

About KePRO

- **Quality improvement and care management organization**
- **Founded in 1985; headquartered in Harrisburg, PA**
- **Works with HRSA on Medical Malpractice Claims Reviews and Risk Management Services under a contract initiated in 2004.**
- **Provides risk management and patient safety technical assistance to section 330 FTCA deemed Health Centers and Free Clinics.**

www.kepro.org

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

About ECRI Institute

- ▶ Independent, not-for-profit applied research institute
- ▶ Patient safety, healthcare quality, risk management to healthcare organizations across the continuum
- ▶ Dedicated Web site for HRSA grantees. Log in with user id and password at: www.ecri.org/clinical_RM_program
- ▶ 40-year history, 320 person staff
 - Physicians, nurses, patient safety, risk management, quality professionals, clinical engineers
 - AHRQ Evidence-Based Practice Center
 - WHO Collaborating Center
 - Federally designated Patient Safety Organization

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Objectives

- ▶ Recall the definition of clinical risk management
- ▶ Recognize three main goals of clinical risk management
- ▶ Identify the steps in the risk management process
- ▶ Recall three important characteristics of a culture of safety
- ▶ Recognize the top five areas of clinical risk for health centers and their providers

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

What is clinical risk management?

- ▶ An approach to improving the quality and safety of healthcare by identifying what places patients at risk of harm and taking action to prevent or control the risks

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

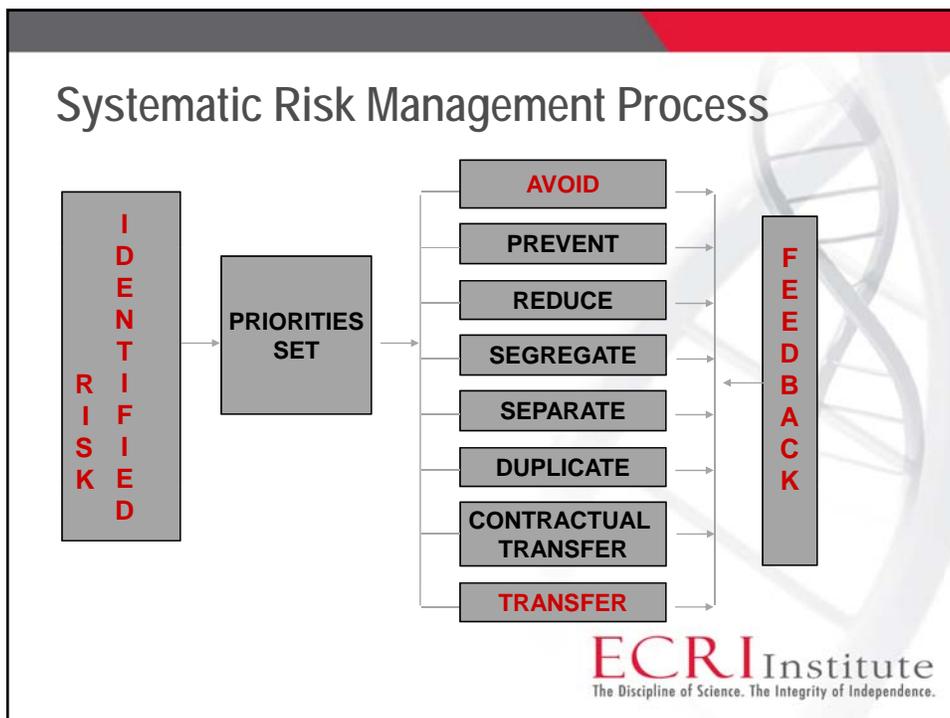
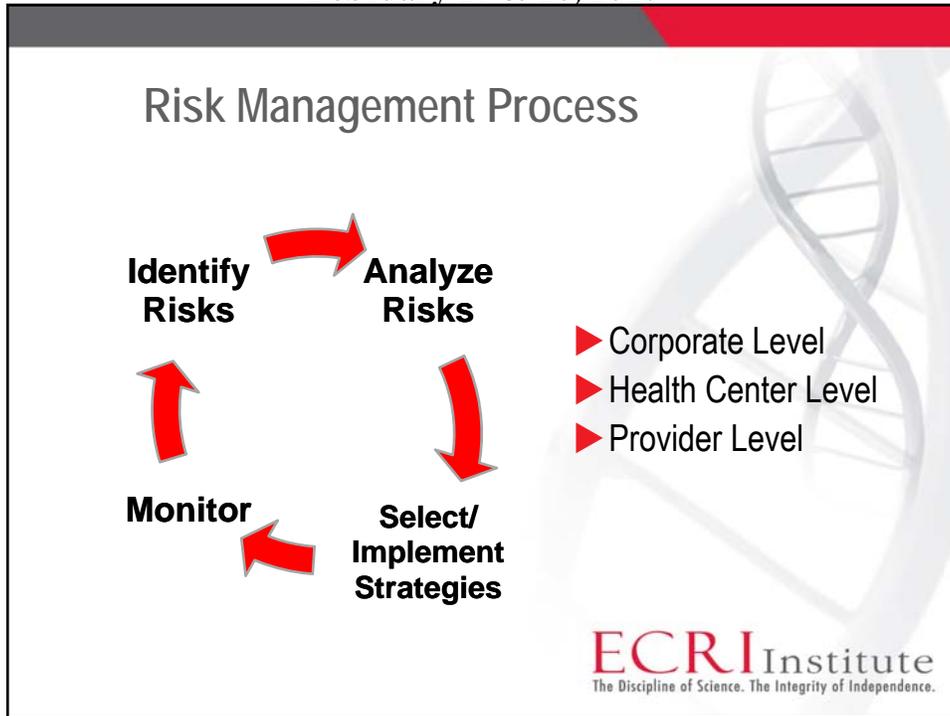
Clinical Risk Management Goals

- ▶ Identification of risks
- ▶ Prevention of harm, injury, and loss
- ▶ Control of systems and processes
 - Reducing severity



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**



**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Web Resources

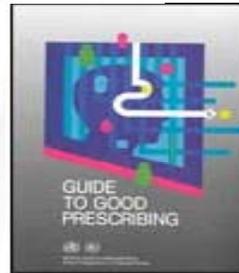


STEPS framework

**Appropriate Prescribing of
An Eight-Step Approach**

MADELYN POLLOCK, M.D., *University of Kansas Medical Center, Kansas*
ORALIA V. BAZALDUA, PHARM.D., *University of Texas Health Science C*
ALISON E. DOBBIE, M.D., *University of Texas Southwestern Medical Schoo*

A systematic approach advocated by the World Health Organization car
quality and erroneous prescribing. This six-step approach to prescribing



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Identify Risks

- ▶ Findings from assessments
- ▶ Claims reports
- ▶ Near misses
- ▶ Reports and trends of adverse events and unsafe conditions
- ▶ Medical records
- ▶ Patient complaints and surveys
- ▶ Patient safety alerts



Web site Resources:

- Self-Assessment Questionnaires
- Toolkits
- E-news

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Sample Policies and Tools

HANDLING PATIENT COMPLAINTS

Purpose

To provide an efficient and effective mechanism for handling patient complaints.

Guidelines

1. A chain of command* to handle patient complaints and training for handling day practice administrators should be available.
2. Any patient concern may be promptly addressed.

ANECDOTAL NOTE FOR PATIENT COMPLAINTS

(All patient, family, or external customer concern documents are part of the Quality Improvement process.)

Date of Report: _____

Name of Patient (or others involved): _____

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Comprehensive Internal Reporting

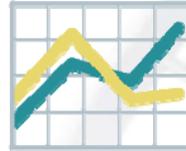
| | |
|--------------------------|------------------------|
| Adverse events | Near misses |
| Unsafe Conditions | Sentinel events |

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Analyze Identified Risks

- ▶ Priorities
- ▶ Trends
- ▶ Potential magnitude



ECRIInstitute
The Discipline of Science. The Integrity of Independence.



Risk Control Techniques

- ▶ Avoids or reduces the frequency or severity of a risk
 - Exposure Avoidance
 - Loss Prevention
 - Loss Reduction
 - Segregation of loss exposure



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Risk Control Techniques (cont.)

- Separation of loss exposure
- Duplication of loss exposure
- Contractual transfer for risk control



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Select and Implement
Risk Management Strategies**



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

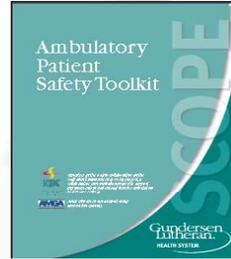
Web Site Resources

www.ecri.org/Clinical_RM_Program



▶ **Web site resources:**

- Guidance articles
 - Web Resources
- Sample policies & tools
- Standards & guidelines
- Education & training tools



ECRI Institute
The Discipline of Science. The Integrity of Independence.

Monitor the Risk Management Program

- ▶ Are the selected techniques working?
- Set standards for acceptable performance
 - Compare actual results with expected results
 - Correct substandard performance
 - Alter unrealistic standards

**Self-Assessment
Questionnaire**

Corrective Action Form

PHYSICIAN PRACTICE RISK MANAGEMENT

Assessment Completed By: _____

| QUESTION NO. | ACTION REQUIRED | RESPONSIBILITY |
|--------------|-----------------|----------------|
| | | |

ECRI Institute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

“Reducing risk and ensuring safety require greater attention to systems that help prevent and mitigate errors.”



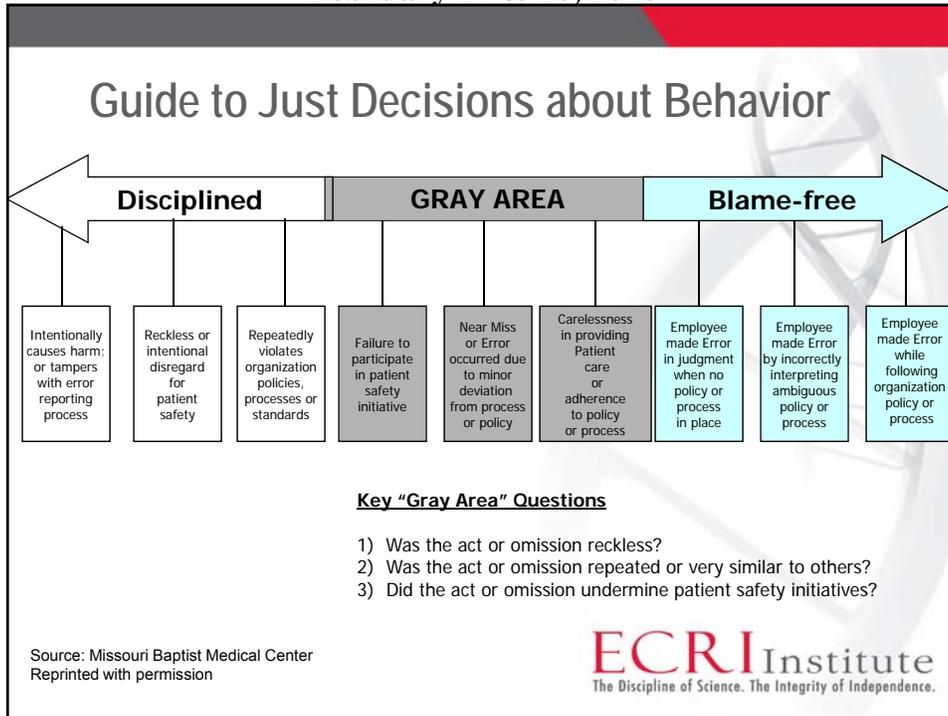
ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Culture of Safety

- ▶ Culture of safety
 - “Collective product of individual and group values and attitudes, competencies, and patterns of behaviors in safety performance”
 - Strategic goal / Core value of every health center/Service
- ▶ Risk management/patient safety as “everyone’s responsibility”
- ▶ Proactive ID of unsafe practices
- ▶ Mistakes openly discussed
- ▶ “Just” culture
- ▶ Systems approach to improvement

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**



**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Characteristics of a Strong Safety Culture

- ▶ Job descriptions and responsibilities incorporate safety principles
- ▶ Materials procurement and technology dissemination with safety as a criterion
- ▶ Budget planning and necessary resources for optimal safety
- ▶ Openness about errors and problems—including with patients/families
- ▶ Incentives and rewards—rewards error reporting, not the absence of errors



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Top 5 Areas of Clinical Risk

- ▶ Diagnosis related 25%
- ▶ Obstetrics 24%
- ▶ Treatment related 23%
- ▶ Medication related 12%
- ▶ Surgery 7%

Source: KePRO 2009 Annual Report for HRSA

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Case Example #1



“I woke up this morning feeling weak—I wonder if I could see Dr. Diaz today”

Source: TeamSTEPS

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Case Example #1

“You may be right. Let’s bring him in today for an ECG and a blood pressure check.”



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Clinical Risk Management in Action

1. Inadequate triage/failure to question the patient

- ✓ Risk management action: provide triage training and guidelines to the front office clerk

Sample Policies and Tools:

TELEPHONE TRIAGE—EMERGENCY SITUATIONS

The following questions are examples of the types of questions questions asked by the staff of your medical office practice should

| Symptom | Sample Questions |
|----------|---|
| Bleeding | How much? Where is it coming from (v Are you vomiting or cough Are you taking any medica ▶ Be sure to ask about asp |

ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Clinical Risk Management in Action

2. Communication success!

- ✓ Risk management action: tell the story; reinforce effective communications between health center staff



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Case Example #2

- ▶ “My dad is confused and he’s been falling asleep.”



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Case Example #2

- ▶ CT scan “ASAP”
- ▶ Blood cultures
- ▶ “Go to the coumadin clinic.”



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

Case Example #2

- ▶ Patient died
- ▶ \$150,000 award



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Clinical Risk Management in Action

1. Failure to order immediate CT scan and INR
 - ✓ Risk management actions:
 - Standardized terms for urgent diagnostic tests
STAT? Today?
 - Use confirmation feedback



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

Clinical Risk Management Basics: What Health Centers Need to Know February 17 & 18, 2010

Clinical Risk Management in Action

2. Unsafe handoff; Ineffective communication

✓ Risk management action:

- Implement standard handoff process
- Provide written instructions and ask patients to repeat back

OFFICE VISIT SUMMARY

To be sure that we understand and agree about your care today, summary of today's visit.

Patient name _____

Visit Summary

Seen by _____

Symptoms/ concerns _____

ECRI Institute
The Discipline of Science. The Integrity of Independence.

Clinical Risk Management Program Website

www.ecri.org/Clinical_RM_Program

The screenshot shows the website's interface with a sidebar navigation menu on the left containing sections like 'Home', 'About Us', 'Services', and 'Contact Us'. The main content area features a search bar and several featured articles or sections with titles such as 'Guidance', 'Education', and 'Event Reporting'. Each section includes a brief description and a 'Read more' link. The footer of the website includes the HRSA logo and a statement of support for the program.



ECRI Institute
The Discipline of Science. The Integrity of Independence.

**Clinical Risk Management Basics:
What Health Centers Need to Know
February 17 & 18, 2010**

“Clinical Risk Management Basics”
archived on Web site

www.ecri.org/Clinical_RM_Program



ECRIInstitute
The Discipline of Science. The Integrity of Independence.

ECRIInstitute
The Discipline of Science. The Integrity of Independence.



Questions?

clinical_RM_program@ecri.org

610-825-6000, ext. 5200

More info at:
www.ecri.org/clinical_RM_program

Thank You!