



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

Developing a Risk Management Plan:  
A Step by Step Approach

March 24 & 25, 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](http://www.kepro.org)

## 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](http://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

3

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

## Objectives

- ▶ Recognize the elements of a risk management plan
- ▶ Recall the steps to implement a risk management plan
- ▶ Identify the functions of a risk management committee
- ▶ Recognize the benefits of a risk management program manual

4

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

## Why is a Risk Management Plan an essential part of quality care?

- ▶ Demonstrates health center's support for risk management and patient safety
- ▶ Provides authority and responsibility for enacting the plan
- ▶ Achieves consistency of purpose within the organization



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

5

## Elements of a Risk Management Plan

- ▶ Statement of purpose
- ▶ Authority and responsibility for implementation
- ▶ Goals and objectives
- ▶ Scope and functions
- ▶ Administrative and committee structure
- ▶ Monitoring and improvement



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

6

## Statement of Purpose

▶ *“The Risk Management Plan is designed to ...”*

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

Sample Risk Management Plan for a Community Health Center  
Patient Safety and Risk Management Program

7

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

## Authority and Responsibility for Implementation

*“The governing body empowers leadership and management teams to implement risk management strategies...”*

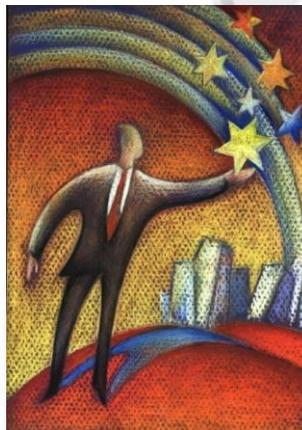


8

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

## Goals and Objectives

- ▶ Improve patient safety
- ▶ Prevent errors, system breakdowns, and harm
- ▶ Minimize clinical risks and liability losses
- ▶ Support regulatory, accreditation compliance
- ▶ Protect organization resources



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

9

## Scope and Functions

- ▶ Risk Management spans the entire operation and most functional areas
- ▶ Note specific areas with a high impact on risk and safety
- ▶ Describe risk management functions and responsibilities



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

10

## Administrative and Committee Structure

- ▶ Risk manager's authority and responsibility
  - Focal point for risk/safety communications
  - Analysis and feedback
- ▶ Flow of information
- ▶ Committee recommendations



11

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

## Monitoring and Improvement

- ▶ Risk Management Data
  - Number of claims, costs, adverse events
- ▶ Risk Management Plan
  - Structure
  - Process
  - Outcome
- ▶ Goal and objective achievement



12

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

## A Word About Measures

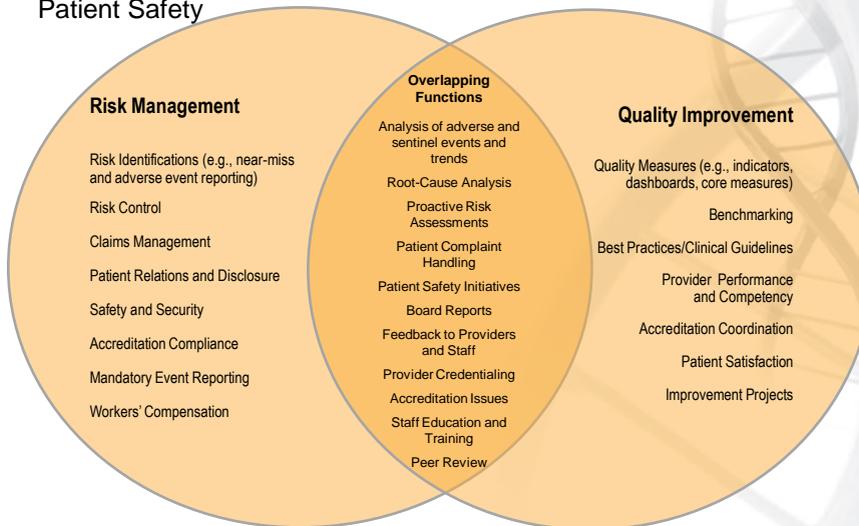


In an environment that supports a just culture, as part of a culture of safety, event reports will increase.

13

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

## Risk Management and Quality Improvement Functions Overlap in Patient Safety



14

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

## Integrated Committee Structure

- ▶ Risk Management
- ▶ Quality Improvement
- ▶ Patient Safety



15

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

## Risk Management Committee

- ▶ Multidisciplinary
- ▶ Review risks and actions to prevent and control risks
- ▶ Reports of events and near-misses
- ▶ Also:
  - Quality of care issues
  - Safety and security



16

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

## Steps to Implementation

- ▶ Develop written plan
- ▶ Educate managers, providers and staff
- ▶ Establish systems for communication and information flow
- ▶ Implement systems to support risk identification, prevention, and control



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

17

## Develop the Risk Management Plan

- ▶ Develop risk management plan or examine an existing plan
- ▶ Does the plan include the elements listed above?
- ▶ Does the plan reflect the actual practice of your health center or clinic?



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

18

## Educate About the RM Plan

- ▶ Risk management basics, patient safety concepts
- ▶ Roles of governance, management, providers, and staff
- ▶ Special emphasis on physicians and other providers



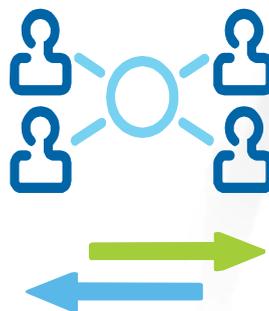
### ▶ Web site Resources:

- Education and Training Tools
- Guidance Articles
- Self-Assessment Questionnaires

19

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

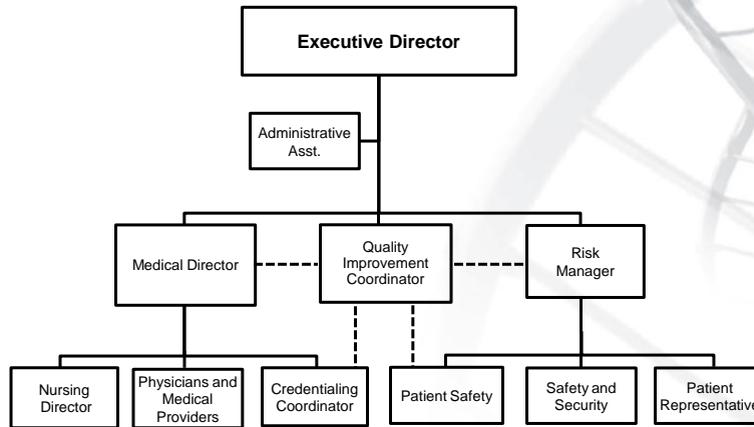
## Establish Systems for Communication and Information Flow



20

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

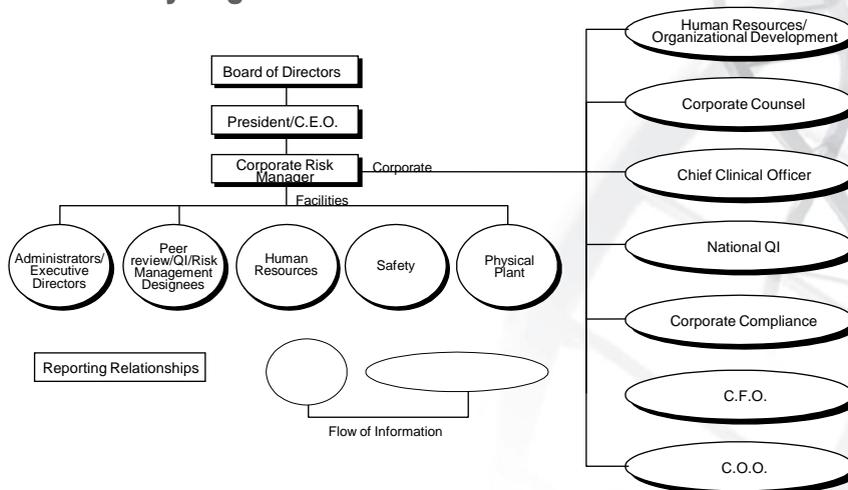
## Sample Risk Management/Patient Safety/Quality Improvement Organization Structure



Reporting  
21 Communication

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

## Sample Risk Management Organizational Structure for Multi-Facility Organizations



22

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

## Implement Support Systems

- ▶ Risk Identification
  - Operational assessments
  - Event reporting system
- ▶ Risk Prevention
  - Education and Training
  - Credentialing
  - System improvement
- ▶ Risk Control



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

23

## Maintaining the Risk Management Plan

- ▶ Review on an annual basis
- ▶ Revise
  - Changes in services, stakeholders, functions, linkages
  - Program growth
- ▶ Evaluate indicators at least annually
- ▶ Report to the Board of Directors annually



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

24

## Benefits of Compiling a Risk Management Manual

- ▶ Serves as a reference guide
- ▶ Serves as a training manual for providers and staff
- ▶ Helpful for orientation/cont. education
- ▶ Supports commitment to the program



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

25

## The Risk Management Manual

- ▶ Describes the program
- ▶ Contains policies and procedures of the program
- ▶ Risk manager job description
- ▶ Algorithms
  - Flow of information to and from the program
  - Event reporting and management
- ▶ Committee structure
  - Integration with other committees and functions (e.g., Quality Improvement, Patient Safety)



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

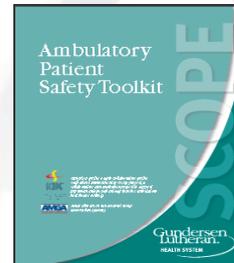
26

## Web Site Resources



Web site resources:

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



27

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

## Challenges

## Successes

## Experiences

28

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

**“Developing a Risk Management Plan”  
archived on Web site**



29

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

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



Questions?

[clinical\\_RM\\_program@ecri.org](mailto:clinical_RM_program@ecri.org)

610-825-6000, ext. 5200

More info at:

[www.ecri.org/clinical\\_RM\\_program](http://www.ecri.org/clinical_RM_program)

Thank You!