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Risk Management 101:
Strategies for a Successful Season

WHAT'S YOUR
GAME PLAN

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EXPLORE August 8-10 , 2018

**Today's speaker is Brenda Wehrle, BS, LHRM, CPHRM,
Senior Patient Safety & Risk Consultant, MedPro Group
(Brenda.Wehrle@medpro.com)**

Brenda is an industry-recognized patient safety and risk management professional with more than 25 years of experience. Most recently, Brenda served as a corporate leader in clinical risk management. Her professional background also includes broad experience in community healthcare facilities, including acute care, long-term care, ambulatory surgery, behavioral health, and physician practices. These opportunities have afforded Brenda valuable insight into the challenges of providing healthcare in today's world and have provided her with extensive experience conducting site surveys, leading root cause analysis teams, developing innovative loss-prevention programs, and providing consultative risk management guidance.

Brenda also has been an instructor at the Florida Risk Management Institute and has presented training and educational sessions to introduce best practices at the national level. She has experience in infection control, patient and employee safety, quality, accreditation, and credentialing. As a TeamSTEPPS master trainer, Brenda helps healthcare leaders, providers, and staff use communication and teamwork strategies to improve working relationships, enhance patient safety, and reduce the risk of error.

Brenda earned a bachelor of science degree in medical microbiology from the University of Wisconsin. She is licensed as a healthcare risk manager in Florida, is a member of the American Society for Healthcare Risk Management (ASHRM), and has had her American Hospital Association certification as a professional risk manager (CPHRM) since 2004.

Objectives

Understand essential risk management processes

Understand the role of the risk management professional

Identify strategic principles of the risk management plan

Design a risk management plan with meaningful goals and objectives

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Core Elements for Effective Risk Management

A designated risk manager

Well-defined authority and accountability for risk management functions (e.g., risk control, risk financing)

A structured process for the flow of information and communication between operating departments and managers and the risk manager

A written plan that describes the risk management program's scope and objectives, accountability for implementation, elements, systems for identifying and managing risks, and policies and procedures

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Risk management professional's responsibilities

Culture of safety

Risk identification & assessment

Proactive activities

Compliance with laws & regulations

Compliance with standards

The Organizational Value of a Plan

- Staff and leadership focus on common goals
- Integration in processes throughout the organization
- Open communication regarding risk management activities
- Risk management that penetrates all aspects of the organization (i.e., enterprise risk management)
- Staff and leadership accountability in protecting and promoting the organization

Risk Management Plan

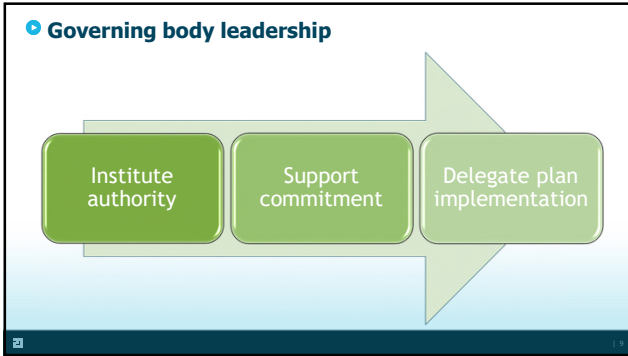| Plan elements include the following:	Purpose
	Guiding principles
	Authority
	Scope and functions
	Goals and objectives
	Administrative & committee structure
	Monitoring & continuous improvement
	Confidentiality
	Governing board approval

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Purpose

- Aligns with Mission of the organization
- Executive level statement
- Samples:
  - The risk management program is intended to protect the assets of facility name thru a proactive approach of risk reduction and control.
  - The mission of the Risk Management Department is to minimize and reduce the negative impact on the organization from adverse events
  - The risk management plan is designed to support the mission and vision of (organization name) as it pertains to clinical risk and patient safety, as well as potential business, operational, and property risks.

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Definitions

- **Loss Control** is the minimization of the severity of losses through methods such as claims investigation and administration, early identification and management of events, and minimization of potential loss of reputation.

- **Loss prevention** is a primary, proactive goal of risk management. It is a technique that focuses on the prevention of injuries , also a primary goal of patient safety.

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Governing body leadership

Institute authority → Support commitment → Delegate plan implementation

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Governing Body

- The success of the (organization name) Patient Safety and Risk Management Program requires leadership commitment and support. The governing board authorizes the formal program and adoption of this plan through a resolution documented in board meeting minutes.
- The internal risk management program is the responsibility of the governing board of <u>facility name</u>. <u>Facility name</u> shall hire a risk manager who is responsible for implementation and oversight of the facility's internal risk management program and who demonstrates competence.

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Guiding principles

- "The Patient Safety and Risk Management Program supports the (organization name) philosophy that patient safety and risk management are everyone's responsibilities. Teamwork and participation among management, providers, volunteers, and staff are essential for an efficient and effective patient safety and risk management program. The program will be implemented through the coordination of multiple organizational functions and the activities of multiple departments. "

- Just Culture
- Proactive implementation of techniques to reduce harm
- Evidence based clinical approach
- Collaborative

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Program Scope : Enterprise Risk Management

- Operational
- Strategic
- Legal/Regulatory
- Human Capital
- Clinical Patient Safety
- Technology
- Hazard
- Financial

Functional interfaces

Administration	Corporate compliance	Environmental safety and security	Finance
Human resources	Infection control	Information technology	Nursing
Patient satisfaction	Products and materials management	Quality and process improvement	

Functions

Claims management	Confidentiality	Culture of safety	Data collection, analysis, and trending
Environment of care	Event oversight	Loss prevention	Complaints
Patient safety initiatives	Physician and staff education	Risk assessments	

Key Risk Management policies and procedures

- Claims management
- Complaint resolution
- Confidentiality
- Risk Assessments
- Management of adverse events
- Provider and staff education
- Root cause analysis
- Event investigation/ Disclosure
- Incident Reports

Administrative and committee structure

Governing body

Risk management committee

- Senior management
- Operations
- Finance

Medical staff
Quality
Patient safety
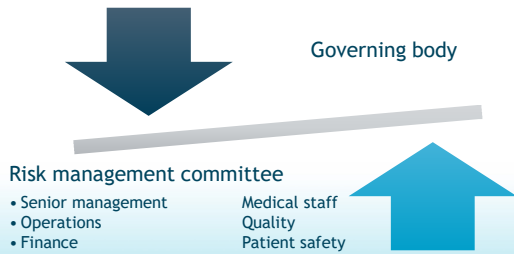
Risk Management Process

Identify risks – Formal sources

Closed claims data

Device reports and tracking logs

Employee satisfaction surveys

Event reports

Proactive risk assessments

Sentinel event data

Security reports

Health record review using occurrence screening and trigger tools

Safety culture surveys

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Identify risks – Informal sources

Medical staff relationships

Patient complaints & grievances

Rounding

Informal discussions with staff

Hotline calls

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Analyze risks

A process of determining:

The potential severity of the loss associated with an identified risk

The probability that such a loss will occur

The frequency of such a loss

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Prioritizing your focus

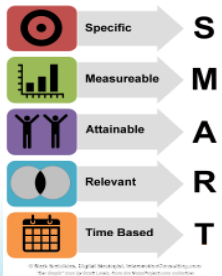| Severity				
	Catastrophic (4)	Critical (3)	Marginal (2)	Negligible (1)
Frequent (4)	16	12	8	4
Probable (3)	12	9	6	3
Occasional (2)	8	6	4	2
Remote (1)	4	3	2	1

(Probability shown vertically on left)

- Frequency
- Severity
- Financial impact
- Public relations
- Multiple vs. single domains
- Organizational priority

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Program Goals

- Improve patient safety
- Minimize adverse effects
- Minimize losses
- Ensure compliance
- Protect assets
- Assure safeguarding and confidentiality

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Goals vs Objectives

- **S** Specific
- **M** Measureable
- **A** Attainable
- **R** Relevant
- **T** Time Based

- Goals
  - Statements of purposes, intents and aims that reflect what you want to accomplish
  - Broad general statements
  - Long term outcomes

- Objectives
  - Derived from goals
  - Describe specifically what will be done
  - Defined measures
  - "SMART"

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Selecting your Risk Technique

- Risk Avoidance
- Risk Mitigation
- Risk Financing
- Risk Transfer
- Risk Acceptance

Risk Management Plan Goal

Goal:

- Continuously improve patient safety and minimize and/or prevent the occurrence of errors, events, and system breakdowns leading to harm to patients

Defining Objectives and Measures

- Objective:
  - Reduce injurious falls by 30% within the next 6 months
  - Conduct RCA's on all incidents resulting in harm*

Measure:
- Process
  - Charter multi disciplinary team to develop program
  - Train staff to understand the difference between risk of injury vs. risk of falls
  - Implement a Risk assessment focusing on injury
  - Identify and implement specific strategies to reduce injury
- Outcome
  - Reduce falls with injuries (i.e. require first aid, increased monitoring, change in treatment plan, surgery)

Risk Management Plan Goal

Goal:

- Enhance the culture of safety to support event and near miss reporting.

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Defining Objectives and Measures

Objective: Improve understanding of incident report and near miss value by instituting closed loop feedback and communication process.

Measure(s)

Process
- Develop process for feedback to staff submitting reports
- Distribute quarterly updates on actions taken as a result of reporting
- Distribute case studies or PI team updates that use data

Outcome
- 20% increase in reporting

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Risk Management Plan Goal

Goal:

- Enhance the culture of safety by improving teamwork.

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Defining Objectives and Measures

Objective: Implement Teamstepps for two clinical departments

Measure(s)
- Process
  - Survey readiness assessment
  - Select 2 departments and champions
  - Training for leaders, team and staff

- Outcome
  - Improved Culture of safety scores

Monitor and evaluate for effectiveness

You can't improve what you don't measure

| Claims activity |
| Repeated self-assessments |
| Trigger tools |
| Event reports |
| Culture of patient safety surveys |
| Root Cause Analysis / HFMEA |
| Patient safety & performance improvement data |
| Grievances |

Risk management plan

Monitoring and continuous improvement

Confidentiality and governing board approval

- Analysis of data
- Assessment of the program
- Reporting to the board

- Confidential and privileged documents
- Governing board approval

Building a Risk Management program

- Evaluate the risk management needs of the organization.
- Determine whether systems are in place to effectively support the identification, analysis, and management of risks.
- Develop a prioritized action plan based on the risk management assessment.
- Implement the program, establish a written plan and written policies and procedures, and provide education to leadership and staff.
- Roll out event reporting systems in conjunction with support services such as information technology.
- Establish formal systems for communication and information flow, including a risk management committee.
- Implement risk management metrics to monitor the effectiveness of the program and identify opportunities for improvement.

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Are you poised for a successful season?

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Resources

- American Society for Healthcare Risk Management. (2014). *CPHRM Exam Preparation Guide*. 3rd ed. Chicago, IL: ASHRM.
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Questions, comments, concerns?