

CONTENTS

Exhibits, Figures, Tables, and, Photos	ix
The Contributors	xiii
Preface	xxvii
About the Book	xxix
ONE DEVELOPMENT OF A RISK MANAGEMENT PROGRAM	1
Learning Objectives	1
Risk Management Program Development	3
Key Structural Elements of the Risk Management Program	4
Scope of the Risk Management Program	8
The Risk Management Process	13
Evolution of the Risk Management Program	21
Selecting an Appropriate Risk Management Program Structure	22
Assessing Areas of the Organization That Need Risk Management	23
Key Components for Getting Started	26
Writing a Risk Management Program Plan	27
Achieving Program Acceptance	27
TWO THE HEALTH CARE RISK MANAGEMENT PROFESSIONAL	31
Learning Objectives	31
The Risk Manager's Job: Functional Areas of Responsibility	33
Health Care Risk Management Across a Spectrum of Settings	53
Required Skills for the Successful Health Care Risk Management Professional	76
Risk Management Ethics	77

A Profile of the Health Care Risk Management Professional	78
Education and Professional Recognition Programs	78
THREE PATIENT SAFETY AND THE RISK MANAGEMENT PROFESSIONAL	87
Learning Objectives	87
The Scope of Medical Errors	89
Seeking Solutions: What Are the Causes of Medical Errors?	91
FOUR HEALTH CARE LEGAL CONCEPTS	115
Learning Objectives	115
Legal Issues Common to All Health Care Providers	116
Legal Issues Related to Specific Health Care Providers	134
FIVE GOVERNANCE OF THE HEALTH CARE ORGANIZATION	157
Learning Objectives	157
Essential Responsibilities of the Hospital Board	159
Basic Legal Duties of Health Care Trustees	160
Lessons from the Panel on the Nonprofit Sector	162
Federal Sentencing Guidelines for Organizations	165
The Sarbanes-Oxley Act of 2002	167
The Volunteer Protection Act of 1997	169
Risk Management and the Board	170
The Medical Staff, Risk Management, and the Board	175
SIX EARLY WARNING SYSTEMS FOR THE IDENTIFICATION OF ORGANIZATIONAL RISKS	181
Learning Objectives	181
Early Identification of Exposure to Loss	182
Food and Drug Administration	206
Institute for Safe Medication Practices, United States Pharmacopeia, and National Coordinating Council for Medication Error Reporting and Prevention	208
Medical Event Reporting System—Transfusion Medicine	212
Intensive Care Unit Safety Reporting System	212

Pittsburgh Regional Healthcare Initiative	212
Other Voluntary Programs	212
Standardizing a Patient Safety Taxonomy:	
The National Quality Forum	213
Protecting Sensitive Information	213
SEVEN THE RISK MANAGEMENT PROFESSIONAL AND MEDICATION SAFETY	219
Learning Objectives	219
Latent and Active Failures	220
Systems Thinking	221
Risk Management: A Prioritizing Approach	252
EIGHT ETHICS IN PATIENT CARE	261
Learning Objectives	261
Ethical Principles and Moral Obligations	263
Research	263
Institutional Review Boards	266
Patient Self-Determination Act	275
“Do Not Resuscitate”: Withholding or Withdrawing Treatment	277
NINE DOCUMENTATION AND THE MEDICAL RECORD	287
Learning Objectives	287
Documentation	291
Record Retention	310
Release of Records	310
Ownership of Medical Records	311
Medical Record Audits	312
Documentation and Risk Management	313
Emerging Risk Exposures	320
The Risk Management Professional’s Role	321
TEN STATUTES, STANDARDS, AND REGULATIONS	327
Learning Objectives	327
Patient Care	328
Medicare Modernization Act	331

Medical Staff	332
Life Safety Code	350
Federal Health Insurance Laws and Regulations	354
Tort Reform	357
Policy and Procedure Manuals	359
Case Law	360
ELEVEN BASIC CLAIMS ADMINISTRATION	367
Learning Objectives	367
The Claims Environment	368
The Claims Process	369
The Risk Management Professional's Responsibilities	371
Regulatory Reporting of Claims	378
TWELVE INTRODUCTION TO RISK FINANCING	381
Learning Objectives	381
Risk Financing in the Context of the Risk Management Process	384
Risk Retention	384
THIRTEEN INSURANCE: BASIC PRINCIPLES AND COVERAGES	395
Learning Objectives	395
Definition of Insurance	396
Specific Types of Insurance for the Health Care Industry	408
FOURTEEN INFORMATION TECHNOLOGIES AND RISK MANAGEMENT	427
Learning Objectives	427
Risk Management Information Needs	430
Risk Management Information Systems	431
Using Information Systems to Generate Reports	432
Integrating Risk Management, Quality Assurance, and Patient Safety	433
Electronic Mail	434
Internet- and Web-Based Technology	435
Personal Health Record	435

Electronic Health Records and Systems	436
Clinical Information Systems and “Smart” Technologies	437
Infrastructure Technology	440
Point-of-Care Technology	442
Telemedicine	442
Appendix 14.1: IT Glossary for Risk Managers	447
FIFTEEN RISK MANAGEMENT METRICS	451
Learning Objectives	451
Benchmarking Defined	453
Claims	456
Measuring Change	459
Developing New Metrics	461
SIXTEEN ACCREDITATION, LICENSURE, CERTIFICATION, AND SURVEYING BODIES	467
Learning Objectives	467
The Consumer Era of Health Care	468
What the Health Care Risk Management Professional Needs to Know	469
Mandatory Surveying Bodies	471
Voluntary Surveying Bodies	475
URAC	489
Appendix 16.1: Accreditation and Licensure Organizations, Surveying Bodies, and Government Agencies	501
SEVENTEEN EMERGENCY MANAGEMENT	503
Learning Objectives	503
The Steps of Emergency Management	505
Prevention	506
Planning and Preparation	511
Implementation and Response	525
Recovery	526
Recommended Web Sites	528

EIGHTEEN	OCCUPATIONAL SAFETY, HEALTH, AND ENVIRONMENTAL IMPAIRMENT	529
	Learning Objectives	529
	Administrative Procedure Act	530
	Administrative Enforcement	532
	Specific Occupational Safety and Health Issues	535
APPENDIX A	A RISK MANAGEMENT PROGRAM (EXAMPLE)	543
APPENDIX B	REQUEST FOR RECORDS FORM (EXAMPLE)	549
APPENDIX C	A GUIDE TO MEDICAL TERMINOLOGY	551
	GLOSSARY	565
	INDEX	623

EXHIBITS, FIGURES, TABLES, AND, PHOTOS

EXHIBITS

2.1	Patient Safety Officer Job Description	34
2.2	Risk Manager Position Description, Level One	36
2.3	Risk Manager Position Description, Level Two	41
2.4	Risk Manager Position Description, Level Three	46
2.5	Chief Risk Officer Position Description	59
2.6	Physician Risk Manager Job Description	71
3.1	The 2009 National Patient Safety Goals	100
6.1	MedWatch Form 3500	207
6.2	USP Medication Errors Reporting Program Form	209
6.3	NCC MERP Index for Categorizing Medication Errors	210
6.4	NCC MERP Index for Categorizing Medication Errors Algorithm	211
9.1	Questions for Medical Record Review	312
10.1	MedWatch Form for Reporting Serious Patient Injury or Death	341
10.2	Sample Board Resolution	359
10.3	Sample Legislative Update	360
14.1	Security Checklist for Information Technologies	440
15.1	Total Cost of Risk Report	458
17.1	Vulnerability Analysis Chart	506
17.2	Training Drills and Exercises Schedule	508
17.3	Hazard Vulnerability Analysis	512
17.4	Emergency Management Planning—Standards and Regulations	517

FIGURES

1.1	Steps in Risk Management Decision Making	14
3.1	Most Frequent Adverse Events in Hospitalized Patients	90
3.2	The Swiss Cheese Model of Accident Causation	93
3.3	The Blunt End/Sharp End Model of Accident Causation	94
3.4	Human-Machine Interface	103
3.5	Components of Human Factors Assessment	104
7.1	Entry for Benzathine on the Patient's Chart	223
7.2	Faxes Don't Always Resolve Order Communication Problems	230
7.3	Error Reduction Strategies	253
12.1	Risk Management Process Structure	385
12.2	Risk Financing Continuum	391

TABLES

2.1	Types of Organizations	54
2.2	Level of Education	79
2.3	Highest Level of Educational Training	80
2.4	Job Functions and Titles	80
6.1	Common Barriers to Incident Reporting	191
6.2	Key Points to Remember About Incident Reports	193
6.3	Emergency Department Occurrence Reporting Criteria	197
7.1	Essential Patient Information	225
7.2	Patient-Controlled Analgesia (PCA) Problems and Safety Recommendations	239
7.3	Using Failure Mode and Effect Analysis to Predict Failures with Infusion Pumps	245
7.4	Effects of Fatigue	249
7.5	High-Alert Medications by Class or Category	254
7.6	Specific High-Alert Medications	255
7.7	High-Risk Patient Populations	256
7.8	Error-Prone Processes	256
9.1	What Constitutes a Medical Record?	288
9.2	Types of Documents of Interest to Health Care Risk Managers	289

9.3	Advantages and Disadvantages of the SOAP Model of Documentation	298
9.4	Documentation Dos and Don'ts	308
9.5	What Plaintiff's Attorneys Look for in the Medical Record	314
9.6	Essential Charting Components of Interest to the Health Care Risk Management Professional	318
12.1	Types of Insurance	389
16.1	CMS Regional Offices	474
16.2	Major Requirements of ISO 9001 Standards	482

PHOTOS

3.1	Poorly Designed Paper Towel Dispenser and Disposal Unit	106
7.1	Door Handle	224
7.2	Capsule Quantity Is Often Mistaken for Product Strength	232
7.3	Top Six Vials Are Brethine; Bottom Eight Are Methergine	233
7.4	Mix of Ophthalmic and Respiratory Medications	234
7.5	Tubing Lines	243
7.6	IV Tubing to Oxygen	244
7.7	IV Misconnection	245

