

RISK ASSESSMENT CHECKLISTS



Program Overview



Innovative Self-Assessment Tool

Leveraging its vast database of healthcare liability and property claims, HIROC developed the Risk Assessment Checklists, a web-based self-assessment tool enabling healthcare organizations to systematically self-assess compliance with a number of actionable mitigation strategies for top risks leading to medical malpractice claims. With the aim of improving patient safety and decreasing claims, the tool assists organizations with identifying and prioritizing areas of improvement.

In recognition of organizations' proactive efforts to identify and manage risks, a 5% liability premium discount is conferred annually upon submission of the risk modules.

Knowledge Translation Strategy

An extensive review of claims was conducted to develop a **ranked list of high-cost risks** for each healthcare sector; these lists were disseminated to help organizations prioritize risks. HIROC then developed **Risk Reference Sheets**, concise three-page resources on each risk to facilitate knowledge transfer; they highlight claims themes, case examples, and contain a checklist of a "vital few" mitigation strategies. The top 10 most impactful mitigation strategies for each risk were incorporated into a risk module for the **Risk Assessment Checklists** program.

HIROC's Approach



Program Overview

The Risk Assessment Checklists program follows a three-year cycle, outlined below. Each year, organizations complete or update a set of risk modules, which are then submitted to HIROC for review and feedback.

Year 1	Complete self-assessment within a year
Year 2	Implement mitigation strategies; provide update to Year 1 responses
Year 3	Implement mitigation strategies; provide update to Year 2 responses
Year 4	Start at Year 1 with updated risk module content

Organizations determine whether each mitigation strategy is fully, partially, or not in place within the organization; partial and no responses require an action plan. The system has standardized dropdowns for responses and actions plans which facilitates reporting and benchmarking with peers.

Category	Risk Module Title	Average Implementation score	HIROC risk rank
Obstetrics	Failure to Interpret/Respond to Abnormal Fetal Status	95	1
Diagnosis	Misinterpretation of Laboratory Tests	95	2
Diagnosis	Misinterpretation of Laboratory Tests - Organizations using external/regional	95	2
Medical	Inadequate Triage Assessment	95	3
Obstetrics	Management of Induction/Augmentation Medications	90	4
Diagnosis	Failure to Communicate Critical Test Results	90	5
Obstetrics	Failure to Monitor Fetal Status	88	6
Falls	Visitor Falls	60	7
Obstetrics	Failure to Communicate Fetal Status	84	8
Property	Water Damage	80	9
Medical	Failure to Appreciate Status Changes/Deteriorating Patient Condition	80	10
Infection Control	Healthcare Acquired Infections	75	11
Medication	Medication Adverse Events	90	12
Falls	Patient Falls	100	13
Medical	Failure to Identify/Monitor Hyperbilirubinemia	80	14
Medical	Inadequate Quality Checks for Contracted/Agency Nursing Staff	90	15
Safety and Security	Abuse of Patients	60	16
Medical	Failure to Provide Adequate Discharge/Follow-up Instructions	100	17
Equipment	Equipment Malfunction	90	18
Medical	Failure to Identify/Manage IV Infiltration	85	19
Fiduciary	Employee Fraud	95	20
Surgical	Unnecessary/Obsolete Procedures	85	21
Surgical	Wrong Patient/Site/Procedure	95	22
Employment	Wrongful Dismissal	64	23
Mental Health	On-Premises Suicides/Attempts	20	24
Medical	Healthcare Acquired Pressure Ulcers	70	25
Employment	Failure to Pay Benefits/Overtime	69	26
Surgical	Retained Foreign Bodies	100	27
Property	Fire Damage	85	28
Surgical	Inadequate Sterility	80	29
Rights	Privacy Breach	85	30
Administration	Inadequate Management of Look-Backs/Multi-Patient Events	40	Core

From responses for each mitigation strategy, an overall compliance score for each risk is determined. A summary report listing the risk modules and their compliance scores is available at the end of each cycle year and can be used to support risk reporting and prioritization.

The Risk Assessment Checklists has a flexible roll-out and can accommodate large health regions as well as single site organizations. The risk modules can be completed by the coordinator for the organization or assigned to subject matter experts (e.g. clinical and operational leaders).



