



## HIROC Tools and Resources

# Working Together to Advance Patient Safety and Risk Management

**HIROC RISK REFERENCE SHEETS (RRS)** - Connected with the Risk Assessment Checklists program, are Risk Reference Sheets. HIROC developed a list of top risks based on claims costs. For each of the top risks a Risk Reference Sheet was developed including a description of HIROC claims data findings, case examples, and impactful and actionable mitigation strategies.

**HIROC RISK NOTES** - Concise documents providing need to know risk management information about the healthcare environment.

**HIROC RISK CASE STUDIES** - Detailed case studies on topics extracted from HIROC's extensive claims database.

**HIROC RISK RESOURCE GUIDES** - Comprehensive guides on subjects such as critical incidents, integrated risk management, responding to complaints and concerns, documentation and cyber risk management.

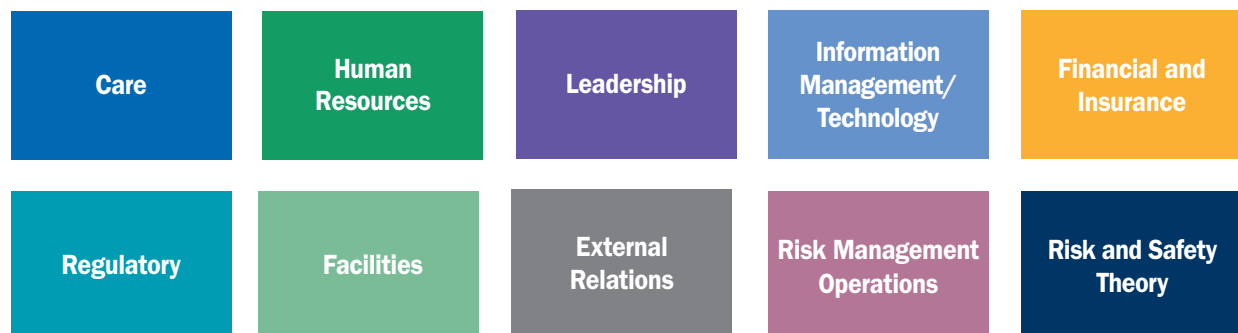
**HIROC RISK PROFILES** - Connected with HIROC's Integrated Risk Management (IRM) Risk Register program are Risk Profiles. Risk Profiles contain information gleaned from knowledge entered by HIROC Subscribers in the Risk Register application with the aim of sharing best practices and knowledge amongst healthcare organizations.

**HIROC RISK WATCH** - Monthly round-up of peer-reviewed articles, best practices and related literature.

## JOINT REPORTS AND STATEMENTS WITH PARTNER ORGANIZATIONS

**PROFESSIONAL DEVELOPMENT** - Monthly webinars, and annual HIROC conference.

**Tools and resources are identified by category and topic and list an example of a strategic priority. Categories Include:**



# CARE **Deliver High Quality, Compassionate, Respectful and Safe Care**

<b>TOPIC</b>	<b>Document Title and Type</b>
<b>Access</b>	<ul style="list-style-type: none"> <li>• Not Seen Not Found (NSNF) (Risk Reference Sheet)</li> <li>• Access – Care – (Risk Profile)</li> </ul>
<b>Airway</b>	<ul style="list-style-type: none"> <li>• Feeding and Swallowing (Risk Note)</li> <li>• Mismanagement of Ventilated Patients (Risk Reference Sheet)</li> </ul>
<b>Communication/Coordination</b>	<ul style="list-style-type: none"> <li>• Care - Communication/coordination (Risk Profile)</li> <li>• Documentation: Learning from Medico-Legal Claims (Webinar)</li> <li>• Electronic Health Records: The Cost of Progress (Webinar)</li> <li>• Failure to Perform/Communicate Critical Test Results (Risk Reference Sheet)</li> <li>• Inadequate Care Coordination (Risk Reference Sheet)</li> <li>• Strategies for Improving Documentation: lessons from Medical-Legal Claims (Risk Resource Guide)</li> <li>• Surgical Safety in Canada (Webinar)</li> <li>• Why Documentation Matters (videos)</li> </ul>
<b>Consent</b>	<ul style="list-style-type: none"> <li>• Obtaining Informed Consent to Treatment (Risk Note)</li> <li>• Substitute Decision Makers (Risk Note)</li> </ul>
<b>Complaints Management</b>	<ul style="list-style-type: none"> <li>• Administration - Mismanagement of Client Complaints (Risk Reference Sheet)</li> <li>• Management of Patient/Client/Resident Complaints (Risk Reference Sheet)</li> <li>• Responding to Complaints and Concerns: A Letter Writing Guide for Healthcare Providers and Administrators (Guide and Webinar)</li> <li>• Working with the Office of the Patient Ombudsman (Webinar)</li> </ul>
<b>Contracted Services Monitoring</b>	<ul style="list-style-type: none"> <li>• Inadequate Quality Checks for Contracted/Agency Nursing Staff (Risk Reference Sheet)</li> </ul>
<b>Deteriorating Patient</b>	<ul style="list-style-type: none"> <li>• Failure to Appreciate Status Changes/Deteriorating Patients (Risk Reference Sheets)</li> <li>• Patient Deterioration – Intensive Care Unit (Risk Case Study)</li> <li>• Patient Deterioration – Neurology (Risk Case Study)</li> <li>• Patient Deterioration – Post Surgical (Risk Case Study)</li> <li>• Patient Deterioration – Emergency Department (Risk Case Study)</li> </ul>
<b>Diagnostics</b>	<ul style="list-style-type: none"> <li>• Diagnostic Errors (Risk Profile)</li> <li>• Misinterpretation of Laboratory/Diagnostic Imaging (Risk Reference Sheets)</li> </ul>
<b>Discharge Transitions</b>	<ul style="list-style-type: none"> <li>• Failure to Provide Adequate Discharge/Follow-up Instructions (Risk Reference Sheet)</li> <li>• Discharge/Transitions (Risk Profile)</li> <li>• Discharge Transportation to Home (Risk Note)</li> <li>• Post Discharge Phone Calls (Risk Note)</li> </ul>
<b>Emergency Department</b>	<ul style="list-style-type: none"> <li>• Inadequate Triage Assessment/Reassessment (Risk Reference Sheet)</li> </ul>
<b>Falls</b>	<ul style="list-style-type: none"> <li>• Patient Falls (Risk Reference Sheets)</li> <li>• Patient/Resident Falls (Risk Reference Sheet)</li> <li>• Visitor Falls (Risk Reference Sheet)</li> <li>• Falls (Risk Profile)</li> </ul>
<b>Healthcare Acquired Burns</b>	<ul style="list-style-type: none"> <li>• Healthcare Acquired Burns (Risk Reference Sheet)</li> </ul>
<b>Infection Control</b>	<ul style="list-style-type: none"> <li>• COVID-19 (Risk Profile Special Edition)</li> <li>• Healthcare Acquired Infections (Risk Reference Sheet)</li> <li>• Infection Control (Risk Profile)</li> </ul>
<b>Medications</b>	<ul style="list-style-type: none"> <li>• Failure to Identify/Manage Intravenous (IV) Infiltration (Risk Reference Sheet)</li> <li>• Failure to Perform/Communicate Therapeutic Drug Monitoring (Risk Reference Sheets)</li> <li>• Practical Guidance for Medical Cannabis (Risk Note)</li> <li>• Medication Adverse Events (Risk Reference Sheets)</li> <li>• Medication Adverse Event – Heparin (Risk Case Study)</li> <li>• Medication Adverse Events (Risk Profile)</li> <li>• Supply Shortages (Risk Profile)</li> </ul>

<b>Mental Health</b>	<ul style="list-style-type: none"> <li>• Elopement and Self Harm and/or Harm to Third Parties (Risk Reference Sheet)</li> <li>• Failure to Appreciate Status Changes/Deteriorating Patients (Risk Reference Sheet)</li> <li>• Mismanagement of Physical Restraints (Risk Reference Sheet)</li> <li>• On-Premises Suicides/Attempts (Risk Reference Sheets)</li> <li>• Patient Deterioration – Mental Health (Risk Case Study)</li> <li>• Patient Deterioration – Mental Health – Understaffing (Risk Case Study)</li> <li>• Respecting Patients'/Clients' Rights (Mental Health) (Risk Reference Sheet)</li> <li>• Restraints and Self Harm (Risk Case Study)</li> </ul>
<b>Monitoring</b>	<ul style="list-style-type: none"> <li>• Hiring External Care Providers (Risk Note)</li> <li>• Monitoring (Risk Profile)</li> </ul>
<b>Obstetrics</b>	<ul style="list-style-type: none"> <li>• Assisted Vaginal Deliveries (Risk Reference Sheet)</li> <li>• Delivery in Focus: Strengthening obstetrical care in Canada (Joint Report)</li> <li>• Failure to Communicate Fetal Status (Risk Reference Sheet)</li> <li>• Failure to Identify/Manage Hyperbilirubinemia (Risk Reference Sheet)</li> <li>• Failure to Interpret/Respond to Abnormal Fetal Status (Risk Reference Sheet)</li> <li>• Failure to Monitor Fetal Status (Risk Reference Sheet)</li> <li>• FAQ – Obstetrics Services in Canada: Advancing Quality and Strengthening Safety (Joint)</li> <li>• Induction and Augmentation and the “Crash” C-Section (Risk Case Study)</li> <li>• Induction and Augmentation of Labour &amp; Fetal Health Surveillance (Risk Case Study)</li> <li>• Maternal Cord Prolapse (Risk Case Study)</li> <li>• Mismanagement of Induction/Augmentation Medications (Risk Reference Sheet)</li> <li>• Neonatal Hyperbilirubinemia (Risk Case Study)</li> <li>• Obstetrics Services in Canada: Advancing Quality and Strengthening Safety (Joint Guide)</li> <li>• Photographs Audio-Video Recording Births (Risk Note)</li> <li>• Post-Epidural Placental Abruption (Risk Case Study)</li> <li>• Quality and Safety of Obstetrics in Canada (Webinar)</li> <li>• Surrogacy - Practical Considerations (Ontario) (Risk Note)</li> <li>• Taking Placental/Fetal Remains Home (Risk Note)</li> <li>• Vaginal Birth after Prior C-Section (Risk Case Study)</li> </ul>
<b>Security Assault</b>	<ul style="list-style-type: none"> <li>• Abuse of Patients (Risk Reference Sheets)</li> <li>• Security/assault (Risk Profile)</li> </ul>
<b>Surgery</b>	<ul style="list-style-type: none"> <li>• Surgical Safety in Canada: A 10-year review of CMPA and HIROC medico-legal data (Joint Report) (summary document and detailed analysis document)</li> <li>• Retained Surgical Items (Risk Reference Sheet)</li> <li>• Surgical Safety in Canada: A 10-year review of CMPA and HIROC medico-legal data (Joint Report)</li> <li>• Unnecessary/Obsolete Procedures (Risk Reference Sheet)</li> <li>• Wrong Patient/Site/Procedure (Risk Profile)</li> <li>• Wrong Patient/Site/Procedure (Risk Reference Sheet)</li> </ul>
<b>Wound Care</b>	<ul style="list-style-type: none"> <li>• Healthcare Acquired Pressure Ulcers (Risk Case Study)</li> <li>• Healthcare Acquired Pressure Ulcers (Risk Reference Sheets)</li> <li>• Mismanagement of Wounds and Retained Objects (Risk Reference Sheet)</li> </ul>

## HUMAN RESOURCES **Provide a Safe and Engaging Work Environment**

TOPIC	Document Title and Type
<b>Labour Relations</b>	<ul style="list-style-type: none"> <li>• Development (Risk Profile)</li> <li>• Failure to Pay Benefits/Overtime (Risk Reference Sheet)</li> <li>• Labour Relations (Risk Profile)</li> <li>• Recruitment/retention (Risk Profile)</li> <li>• Shortage (Risk Profile)</li> <li>• Wrongful Dismissal (Risk Reference Sheet)</li> </ul>
<b>Occupational Health</b>	<ul style="list-style-type: none"> <li>• Physical injuries (Risk Profile)</li> <li>• Psychological injuries (Risk Profile)</li> <li>• Workplace Violence/Disruptive Behaviour (Risk Profile)</li> <li>• Workplace Violence in the Community (Webinar)</li> </ul>

## LEADERSHIP Positive Leadership that Fosters Organizational Values

TOPIC	Document Title and Type
<i>Emergency Response</i>	<ul style="list-style-type: none"> <li>• Emergency response (Risk Profile)</li> <li>• Our Journey to Code Silver (Webinar)</li> </ul>
<i>Governance</i>	<ul style="list-style-type: none"> <li>• 21 Questions: Guidance For Healthcare Boards on What They Should Ask Senior Leaders About Risk.</li> <li>• Leadership - Governance (Risk Profile)</li> </ul>
<i>Strategy</i>	<ul style="list-style-type: none"> <li>• Strategic projects (Risk Profile)</li> <li>• Strategy alignment (Risk Profile)</li> <li>• Leadership - Change Management (Risk Profile)</li> </ul>

## INFORMATION MANAGEMENT/TECHNOLOGY

### Implement Clinical Information Systems to Improve Care

TOPIC	Document Title and Type
<i>Information Technology</i>	<ul style="list-style-type: none"> <li>• Alarm Fatigue (Risk Note)</li> <li>• Breach/loss of information (Risk Profile)</li> <li>• Cyber Risk Management - A Guide for Healthcare Administrators and Risk Managers (Risk Resource Guide)</li> <li>• Responding to Medical Device Issues (Risk Note)</li> <li>• Systems/technology failure (Risk Profile)</li> <li>• Systems/technology needs (Risk Profile)</li> </ul>

## FINANCIAL AND INSURANCE Make the Best Use of Resources

TOPIC	Document Title and Type
<i>About HIROC</i>	<ul style="list-style-type: none"> <li>• The HIROC Story</li> <li>• Total Cost of Risk</li> </ul>
<i>Contracts</i>	<ul style="list-style-type: none"> <li>• Agency Agreements - Is Your Organization Protected? (Webinar)</li> <li>• Contracts - Overview of Key Principles (Risk Note)</li> <li>• Contracts - Resources to Help You (Webinar)</li> <li>• Contracts - Commercial Lease Agreements (Risk Note)</li> <li>• Contracts - Data Sharing Agreements (Risk Note)</li> <li>• Contracts - Data Sharing Agreements PHI to Third Parties (Risk Note)</li> <li>• Contracts - Education Affiliation Agreements (Risk Note)</li> <li>• Contracts - Important Clauses (Risk Note)</li> <li>• Contracts - Indemnification Clause with Hold Harmless and Defense Provisions (Risk Note)</li> <li>• Contracts - Insurance Clauses (Risk Note)</li> <li>• Waivers (Risk Note)</li> <li>• Waivers in Healthcare: The Good, Bad and the Ugly (Webinar)</li> </ul>
<i>Financial</i>	<ul style="list-style-type: none"> <li>• Costs (Risk Profile)</li> <li>• Inefficiencies (Risk Profile)</li> <li>• Revenue/Funding (Risk Profile)</li> </ul>
<i>Fraud</i>	<ul style="list-style-type: none"> <li>• Employee Fraud (Risk Reference Sheet)</li> <li>• Employee Fraud and Mismanagement of Patient/Client/Resident Funds (Risk Reference Sheet)</li> <li>• Investigating Suspicions of Fraud (Risk Note)</li> <li>• Employee Cheque Fraud (Risk Case Study)</li> <li>• Employee Cheque and Credit Card Fraud (Risk Case Study)</li> </ul>
<i>Insurance</i>	<ul style="list-style-type: none"> <li>• Constructions insurance (Risk Note)</li> <li>• Errors and Omissions/Directors' and Officers' Liability Insurance Policy (Risk Note)</li> <li>• Healthcare Foundations - Insurance Protection (Risk Note)</li> <li>• Insurance Coverage for Regulated Staff, Students and Volunteers (Webinar)</li> <li>• Non-Owned Automobile Coverage (Risk Note)</li> <li>• Occurance vs. Claims-Made Policy (Risk Note)</li> <li>• Understanding HIROC's Non-Owned Automobile Coverage (Webinar)</li> </ul>

**Insurance  
And  
Non-Resident or Foreign  
Residents**

- Governing Law and Jurisdiction Agreement (GLJA) Liability Protection for Midwives and Physicians:  
Joint Statements with the Canadian Medical Protective Association
- Health Care Organizations
  - Physician in Private Practice
  - Instructions for Midwives Completing GLJA Forms
  - Midwives in Private Practice (Form)
  - Midwife Practice Group Agreement in Respect of Foreign Residents
  - Non-Residents of Canada and Governing Law and Jurisdiction Agreements (“GLJA”) (Risk Note)

## REGULATORY OR REGULATION PROFESSIONAL

### Compliance with Relevant Legal and Regulatory Requirements

TOPIC	Document Title and Type
<b>Regulatory or Privacy</b>	<ul style="list-style-type: none"> <li>• Accreditation (Risk Profile)</li> <li>• Breach of Personal Health Information (Risk Case Study)</li> <li>• Complaints and Resolution - Mismanagement of practitioner/member complaints (Risk Reference Sheet)</li> <li>• Disclosure of personal health information to police (Risk Note)</li> <li>• Inappropriate Credentialing, Re-Appointment and Performance Management (Risk Reference Sheet)</li> <li>• Inappropriate Release and/or Denial of Request to Access Information (Risk Reference Sheet)</li> <li>• Overview of Medical Malpractice Actions (Risk Note)</li> <li>• Privacy (Risk Profile)</li> <li>• Privacy Breach (Risk Reference Sheet)</li> <li>• Privilege (Risk Note)</li> <li>• Registration and Licensure - Failure to Register and License in a Fair and/or Consistent Manner (Risk Reference Sheet)</li> <li>• Regulations/legislation (Risk Profile)</li> <li>• Rights - Privacy breach (Risk Reference Sheet)</li> <li>• Secure Communication with HIROC (Webinar)</li> <li>• Video or Closed Circuit TV (CCTV) Surveillance (Risk Note)</li> </ul>

## FACILITIES

### Strategically Invest in Facilities

TOPIC	Document Title and Type
<b>Property/Equipment</b>	<ul style="list-style-type: none"> <li>• Automatic Fire Protection Impairment Program (Risk Note)</li> <li>• Building Project/Construction (Risk Profile)</li> <li>• Burglary and Theft (Risk Note)</li> <li>• Disposal of Medical Devices (Risk Note)</li> <li>• Donating Used Medical Devices to Third Parties (Risk Note)</li> <li>• Emergency Power Systems - Existing Installations (Risk Note)</li> <li>• Emergency Power Systems - Future Upgrades/New Installations (Risk Note)</li> <li>• Equipment Malfunction (Risk Reference Sheets)</li> <li>• Facilities Plant System Failure (Risk Profile)</li> <li>• Fire Damage (Risk Reference Sheet)</li> <li>• Fire Extinguished: A Subscriber’s Success Story (Webinar)</li> <li>• FM Global - Emergency Checklist: Freeze-up</li> <li>• FM Global - Liquid Damage Guidelines</li> <li>• FM Global - New Construction Specification Guideline</li> <li>• FM Global - Sample Water Leakage Emergency Response Plan</li> <li>• Hot Work Management (Risk Note)</li> <li>• Idle/Vacant Buildings (Risk Note)</li> <li>• Oil Tank Leaks (Risk Reference Sheet)</li> <li>• Reselling Used Medical Equipment to Third Parties (Risk Note)</li> <li>• Reselling, Donating and Disposal of Used Medical Devices (Webinar)</li> <li>• Rooftop Solar Panel System (Risk Note)</li> <li>• Server Room-Data Centre (Risk Note)</li> <li>• Sewer Backup (Risk Reference Sheet)</li> <li>• Water Damage (Risk Reference Sheet)</li> <li>• Windstorm Emergencies (Risk Note)</li> </ul>

# EXTERNAL RELATIONS Listen to the Needs of Our Community

TOPIC	Document Title and Type
<i>Community Relations</i>	<ul style="list-style-type: none"> <li>• Community Relations (Risk Profile)</li> </ul>
<i>Social Media</i>	<ul style="list-style-type: none"> <li>• Communicating Through Social Media (Risk Note)</li> <li>• Social Media in Healthcare: Understanding the Impact and Risks (Webinar)</li> </ul>

## RISK MANAGEMENT OPERATIONS

TOPIC	Document Title and Type
<i>Risk Management Operations</i>	<ul style="list-style-type: none"> <li>• Critical Incidents - Disclosure Documentation (Risk Note)</li> <li>• Critical Incidents - Interviews (Risk Note)</li> <li>• Critical Incidents - Written Analysis Report (Risk Note)</li> <li>• Critical Incident Management &amp; Involvement of Patients and Families (Webinar)</li> <li>• Critical Incidents &amp; Multi-Patient Events (Guide)</li> <li>• Disclosure of Incidents (Risk Note)</li> <li>• Documentation - Answer Your Frequently Asked Questions (Webinar)</li> <li>• Guide to Using the Risk Management Claims Analysis Reports</li> <li>• Healthcare Risk Management - Working With You</li> <li>• HIROC Claims Management (Risk Note)</li> <li>• Incident Reporting (Risk Note)</li> <li>• Learning from Claims (3 Webinars)</li> <li>• Medical Directives (Risk Note)</li> <li>• Multi-Patient Lookback and Notification Guide</li> <li>• Policy, Procedure and Guideline Development (Risk Note)</li> <li>• Preparing Staff to Give Evidence (Risk Note)</li> <li>• Second Victim (Risk Note)</li> <li>• Special Events (Risk Note)</li> <li>• Special Events, Fundraisers and Foundations (Webinar)</li> <li>• Types of Incident Reviews (Risk Note)</li> </ul>

## RISK AND SAFETY THEORY

TOPIC	Document Title and Type
<i>Theory and Process</i>	<ul style="list-style-type: none"> <li>• Frequently Asked Questions: Risk 101 - Resources to Help You (Webinar)</li> <li>• Human Error and Human Factors (Risk Note)</li> <li>• High Reliability and Resiliency (Risk Note)</li> <li>• Just Culture (Risk Note)</li> <li>• Lean in Healthcare (Risk Note)</li> <li>• Patient Engagement (Risk Note)</li> <li>• Patient Safety (Risk Note)</li> <li>• Quality Improvement (Risk Note)</li> <li>• Risk - Concepts and Misconceptions (Risk Note)</li> <li>• Risk Management Educational Opportunities (Risk Note)</li> <li>• The Link Between Risk Management, Patient Safety and Quality Improvement (Risk Note)</li> </ul>

<p><b><i>Integrated Risk Management (IRM)</i></b></p>	<ul style="list-style-type: none"> <li>• Integrated Risk Management (IRM/ERM) (Risk Note)</li> <li>• IRM for Healthcare Organizations - Risk Resource Guide</li> <li>• IRM in Focus: Lessons from the Field (Webinar)</li> <li>• IRM Policy Template</li> <li>• IRM Program Overview</li> <li>• IRM Program Pitfalls and leading Practices in ERM/IRM</li> <li>• IRM Program Simplified/Evidence-based Implementation Process</li> <li>• Lessons from the Field: Implementing IRM (Webinar)</li> <li>• Risk Assessment (Risk Note)</li> <li>• Risk Identification (Risk Note)</li> <li>• Risk Management (Risk Note)</li> <li>• Top Healthcare Risks 2016 - Report on a Shared System for IRM</li> <li>• Top Healthcare Risks 2017 - Report on a Shared System for IRM</li> <li>• Top Healthcare Risks 2017 &amp; Tips on Engaging Leaders in IRM (Webinar)</li> <li>• Top Healthcare Risks 2018 - Report on a Shared System for IRM</li> <li>• Top Healthcare Risks 2019 - Report on a Shared System for IRM</li> </ul>
<p><b><i>Risk Register (RR)</i></b></p>	<ul style="list-style-type: none"> <li>• HIROC Risks Taxonomy (detailed)</li> <li>• HIROC Risks Taxonomy (summary)</li> <li>• HIROC's IRM Risk Register Intro (Video)</li> <li>• IRM Risk Register FAQs (Webinar)</li> <li>• Risk Register Reports User Guide</li> <li>• Risk Register Training (Video)</li> <li>• Risk Register User Guide</li> <li>• Risk Rating Card</li> <li>• Risk Register Excel Worksheet</li> </ul>
<p><b><i>Risk Assessment Checklist (RAC)</i></b></p>	<ul style="list-style-type: none"> <li>• New RAC Tools for Non-Acute Sectors (Webinar)</li> <li>• RAC Program Overview</li> <li>• RAC Coordinator Guide</li> <li>• RAC Participant Guide</li> <li>• RAC Summary results of the first complete three-year cycle: Findings from the acute care sector</li> <li>• RAC FAQs</li> <li>• Risk Assessment Checklists: Experiences from the Rehabilitation Sector (Webinar)</li> <li>• Risk Assessment Checklist Program - RAC Demo (Video)</li> <li>• Risk Ranking by Sector</li> </ul>

\*HIROC Tools resources available as of July 2020