



## Applications of Healthcare Risk

### Management Reading List

This reading list is supplementary material to the course and is not required reading for participation in the course.

#### GENERAL REFERENCE MATERIALS:

Risk Management Handbook for Healthcare Organizations, 3 Volume Set, 6th Edition, R.Carroll, Series Editor. San Francisco: Jossey-Bass for ASHRM, 2011.

***Please note that the Risk Management Handbook for Healthcare Organizations, 6<sup>th</sup> Edition covers all the subheading topics found in this reading list. Participants are encouraged to reference this three-volume set for specific topics in healthcare risk management.***

American Health Lawyers Association ERM Handbook for Healthcare Entities - 2nd Edition. R. Carroll, Editor-in-Chief. Washington, DC: AHLA, 2013.

ASHRM Enterprise Risk Management Playbook- An Implementation Guide for Healthcare Professionals

ARC Toolkit, 2013/2014, Alan Card and ASHRM  
[http://www.ashrm.org/resources/member/pdfs/ARC\\_Toolkit\\_7-08-14\\_w-fields.pdf](http://www.ashrm.org/resources/member/pdfs/ARC_Toolkit_7-08-14_w-fields.pdf)

ASHRM Patient Safety Risk Management Playbook

ASHRM RCA Playbook

ASHRM PEARLS Series accessed at: [www.ashrm.org/pubs/](http://www.ashrm.org/pubs/)

ASHRM/AON 2015-2016 Hospital and Physician Professional Liability Benchmark Report

Health Care Organizations Risk Management, Third Edition. J.L. Conley and F.A. Rozovsky, Editors. New York: Wolters Kluwer Law and Business, 2009 with annual updates.

## Accreditation Applications Module

### ***Recommended Reading:***

Please review relevant accreditation information for a particular accreditation organization by accessing the following websites:

The Joint Commission  
[www.jointcommission.org](http://www.jointcommission.org)

DNV GL  
[www.dnvglhealthcare.com](http://www.dnvglhealthcare.com)

Accreditation Association for Ambulatory Healthcare, Inc.  
[www.aaahc.org](http://www.aaahc.org)

AABB – formerly known as the American Association of Blood Banks  
[www.aabb.org](http://www.aabb.org)

Association of American Medical Colleges  
[www.aamc.org](http://www.aamc.org)

Accreditation Council for Graduate Medical  
Education [www.acgme.org](http://www.acgme.org)

Association for the Accreditation of Human Research Protection Programs, Inc.  
[www.aahrpp.org](http://www.aahrpp.org)

College of American Pathologists (CAP)  
[www.cap.org](http://www.cap.org)

COLA Program  
[www.cola.org](http://www.cola.org)

Liaison Committee on Medical Education  
[www.lcme.org](http://www.lcme.org)

National Committee for Quality Assurance  
[www.ncqa.org](http://www.ncqa.org)

See also:

CMS Quarterly Report of Deficiencies from Hospital  
Surveys  
<http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/CertificationandCompliance/Hospitals.html>

Certificate Program in Healthcare Risk Management

**Balancing Rights in the Healthcare Workplace  
Applications Module**

U.S. Codes- Title VII of Civil Rights Act, Age Discrimination Act, and Americans with Disability Act  
42 USC §2000E-2  
29 USC § 206 (D)  
29 USC § 621  
42 USC § 12101

Family and Medical Leave Act  
<http://www.dol.gov/compliance/laws/comp-fmla.htm>

Uniformed Services Employment and Reemployment Rights Act  
<http://www.dol.gov/elaws/vets/userra/userra.asp>

Equal Employment Opportunity Commission  
<http://www.eeoc.gov/>

Centers for Disease Control and Prevention  
<http://www.cdc.gov/>

Drug Free Workplace  
divisor <http://www.dol.gov/elaws/drugfree.htm>

National Institute for Occupational Safety and Health (NIOSH) Resources  
<http://www.cdc.gov/niosh/>

Workplace Violence  
<http://www.cdc.gov/niosh/violcont.html>

## **Clinical Risk Management and Patient Safety Applications Module**

### ***Recommended Reading: Apology and Disclosure***

#### **Disclosure of Unanticipated Events Materials**

Prologue to the Re-Release of the Three ASHRM Disclosure Monographs  
Geri Amori, PhD, ARM, CPHRM, DFASHRM with updated resources  
Perspective on Disclosure of Unanticipated Outcomes of Care, ASHRM White  
Paper, July, 2001.

Perspective on Disclosure of Unanticipated Outcomes of Care, ASHRM White  
Paper, July, 2001.

ASHRM Disclosure Monograph Series (1-3), 2003.

Sorry Works!

<http://www.sorryworks.net/>

State Apology and Sympathetic Gesture Laws – National Conference of State  
Legislatures – <http://www.ncsl.org/research/financial-services-and-commerce/medical-professional-apologies-statutes.aspx>

Sorry Works! And The Sullivan Group free webinar 1/2016 covered how to teach  
disclosure and empathy to front-line healthcare professionals

<https://www.thesullivangroup.com/RSQSolutions/rsq-corner/webinars/>

#### ***Clinical Risk Management, Patients Rights and Patient Safety***

AHRQ, Surveys on Patient Safety Culture (Multiple types of healthcare settings)  
Agency for Healthcare Research and Quality, accessible at:

<http://www.ahrq.gov/professionals/quality-patient-safety/patientsafetyculture/index.html>

AHRQ Toolkits

<http://www.ahrq.gov/professionals/quality-patient-safety/hais/index.html>

Born-Alive Infants Protection Act for 2002, PL 107-207, August 5, 2003.

CDC Healthcare-associated Infections

<http://www.cdc.gov/HAI/prevent/prevention.html>

*Clinical Research Compliance Manual*, P. Brent, Editor. Chicago, Aspen  
Publishers, 2006.

Applications Module  
“Closing the Quality Gap: A Critical Analysis of Quality Improvement Strategies, Volume 6 – Prevention of Healthcare-Associated Infections”, AHRQ *Evidence Report/Technology Assessment* No. 9. January, 2007.

Common Rule for Human Research Protection, 45 Code of Regulations Part 46.

“Critical Care Decisions in Fetal and Neonatal Medicine: Ethical Issues”, Nuffield Council on Bioethics, November 2006, available at  
[http://www.nuffieldbioethics.org/fileLibrary/pdf/CCD\\_web\\_version\\_8\\_November.pdf](http://www.nuffieldbioethics.org/fileLibrary/pdf/CCD_web_version_8_November.pdf)

IOM Report on Diagnosis Error in Healthcare  
<https://iom.nationalacademies.org/Activities/Quality/DiagnosticErrorHealthCare.aspx>  
Society to Improve Diagnosis in Medicine  
<http://www.improvediagnosis.org/?page=IOMReport>

Milbank quarterly article “High Reliability: Getting Here from There” Dr. Mark Chassin:  
[http://www.jointcommission.org/assets/1/6/Chassin\\_and\\_Loeb\\_0913\\_final.pdf](http://www.jointcommission.org/assets/1/6/Chassin_and_Loeb_0913_final.pdf)

Patient Self-Determination Act of 1990 PL 101-508 1990 as amended

Patient Self-Determination Regulations, Federal Register 57: 8203, et seq., March 5, 1992.

Practice Brief: “Laws and Regulations Governing the Disclosure of Health Information.” AHIMA Updated 2002.

F. A. Rozovsky, *Consent to Treatment: A Practical Guide*, 5<sup>th</sup> Edition. New York: Wolters Kluwer Law and Business, 2015, with annual supplements.

The Joint Commission Center for Transforming Healthcare (High Reliability in

## **Credentialing Applications Module**

***Recommended Reading:***

Federation of State Medical Boards – Credentialing  
<https://www.fsmb.org/credentialing/>

National Practitioner Data Bank  
<http://www.npdb.hrsa.gov/>

NPDB Guidebook, April 2015, accessed at:  
<http://www.npdb.hrsa.gov/resources/NPDBGuidebook.pdf>

National Practitioner Glossary of Terms, accessed at:  
<http://www.npdb.hrsa.gov/resources/glossary.jsp>

F.A. Rozovsky, C. Giles, M. Kadzielski, and Jee-Young Kim Health Care Credentialing: A Guide to Practical Innovations, New York: Aspen, 2007, with regular updates.

National Association Medical Staff Services  
<https://www.namss.org/>

## **Laws and Regulations Affecting Risk Management Applications Module**

### ***Recommended Reading:***

#### ***ASHRM Resources***

F. Rozovsky, "How to Use and Understand Statutes, Regulations, Guidelines, Interpretations and Model Guidance," 2003 ASHRM Monograph Series.

J. West. "An Introduction to American Law."

#### ***Selected Websites***

Affordable Care Act Resources

<http://www.hhs.gov/healthcare/about-the-law/read-the-law/index.html>

Emergency Medical Treatment and Active Labor Act – Resources

<https://www.cms.gov/Regulations-and-Guidance/Legislation/EMTALA/>

HHS Laws and Regulations

<http://www.hhs.gov/regulations/additional-regulations/index.html>

HHS Office of the Inspector General

<http://oig.hhs.gov/>

HIPAA Administrative Simplification

<http://aspe.hhs.gov/admsimp>

Office for Civil Rights – HIPAA, Medical Privacy – National Standards to Protect the Privacy of Personal Health Information

<http://www.hhs.gov/ocr/hipaa/>

U.S. Department of Education FERPA Web Site

<http://www.ed.gov/offices/OM/fpco/ferpa/index.html>

U.S. Department of Justice Privacy Act Web Site

<http://www.usdoj.gov/04foia/1974intro.htm>