

Physician Office Risk Management Tool Kit

SAMPLE EXCERPT

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TOOL KIT INSTRUCTIONS

This product is intended to be instructional and informative. It is meant to be generic in nature, so that you can customize the contents to the needs of your organization. **NOTE: While this sample is a PDF, the actual tool kit also is composed of Word documents and PowerPoint files.**

Some suggested uses for this Tool Kit include the following:

- Staff, board and physician education.
- Self-study/Self assessment.
- Orientation.
- Talking points for a consistent message about risk management issues for office practices.
- Resources for further information on the subject.

The Tool Kit has been divided into sections to provide checklists for self-assessment of practice, educational programs (visual aids with corresponding handouts), forms or samples and resources. The disk allows you to customize and update the contents as desired. ASHRM will not be responsible for Tool Kit content that is changed or modified by the user.

The Tool Kit is neither intended to provide legal advice nor to serve as a professional standard. The contents are only for purposes of information and education. It is recommended that consultation be obtained with legal counsel for advice on particular issues or concerns. In addition, consideration of all state laws and statutes is beyond the scope of this product.

Once you have had an opportunity to use the Tool Kit, we would appreciate your feedback. Please complete the evaluation form and return to ASHRM with your suggestions and comments.

We hope you enjoy your Tool Kit. Look for other Tool Kits in this series:

- Informed Consent Tool Kit
- Risk Management Program Development Tool Kit
- Confidentiality Tool Kit
- Self-Assessment Tool for Risk Management Programs & Functions

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PHYSICIAN OFFICE RISK MANAGEMENT TOOL KIT TRAINING OBJECTIVES

Upon completion of this training program, you will learn:

1. Principles of documentation for the office practice;
2. What to report to the insurance claims representative;
3. Medical practice office systems risk prevention strategies;
4. Four qualities of effective patient relations for office staff; and
5. Risks and strategies related to effective telephone communication.

PRACTICE ASSESSMENT CHECKLISTS

Introduction

The purpose of the Physician Office Practice Tool Kit assessment checklists is to assist the risk manager in identifying potential risks within the physician office setting. It covers the usual systems found within the office practice including reception, medical assisting and back office functions, medical records and release of information and other common policies and procedures. There are a number of ways in which the Tool Kit can be of value to a physician practice. A risk manager auditor can use this tool to conduct an on-site survey of a practice. Underwriting can use the Tool Kit to assess the insurability of a practice. It can be used as a pre-assessment tool for practices to perform a self-assessment for potential risk areas. The checklists cover the common office systems and practices that are known factors in malpractice claims. Finally, the risk manager can use this as a baseline tool to develop additional checklist items.

Practice Assessment Checklists

Outline:

- Office Practice Survey
- Medical Office Practice Survey
- Front Office Systems
 - Reception (Front Desk) and Scheduling Survey
- Back Office Systems
 - Staffing/Back Office Check List
- Patient Relations and Communication Survey
- Medical Records Documentation and Release of Information Survey
- Consent and Patient Education Survey
- Medication and Drug Therapy Survey
- Premises and Regulatory Liability Survey
- Personnel and Vicarious Liability Survey
- Midlevel Providers Survey
- Managed Care Survey

Office Practice Survey

Assessment Tool	
Number of Providers	
Number by Title:	
Physicians	
Nurse Practitioners	
Physician Assistants	
Other (list):	
Type/Number of Staff Employed:	
Registered Nurses	
LPN/LVN	
Medical Assistants	
Nurses Aides	
Receptionists	
Medical Records Personnel	
Billing Personnel	
Other (list)	
In-Office Services:	
Laboratory	
Radiology	
Other (list)	

NOTE:

This assessment tool can be provided to an office practice for self-assessment purposes or can be completed by the Health Care Risk Management Advisor. If the assessment is completed by the advisor, please make available all existing policy and procedure manuals, twenty current patient medical records, five inactive patient records, and any external agency reports. The advisor should also review the physical facility.

III. Practice Assessment Checklists

Facility Review		Yes	No
1.	Furniture is stable, clean and in good repair.		
2.	Seating appears to be comfortable and adequate in number for patients and visitors.		
3.	Carpet/flooring is clean and in good condition.		
4.	There are no physical hazards that might cause someone to fall or be injured.		
5.	Reading material is current.		
6.	If the practice cares for children, there are safe, appropriate clean toys.		
7.	There is appropriate preventative maintenance performed on equipment. A schedule is maintained.		
8.	Fire extinguishers are readily accessible, full and state a maintenance check date. How recent? _____		
9.	Smoke detectors are installed and functioning.		
10.	Emergency equipment is available and is checked routinely. Equipment should include oxygen, oxygen mask, oral airway, bag, resuscitator and IV Epinephrine.		
11.	There is an emergency lighting source.		
12.	There are an adequate number of telephone lines (patients aren't often put on hold because lines are full).		
13.	Lengthy voice mail, with various options, is not used to screen calls. It is easy to access a person to answer the phone.		
14.	Patients in the waiting area cannot overhear telephone conversations.		
15.	If there are open areas that cannot be structurally changed, there is an area where sensitive and confidential issues can be discussed so that others cannot hear.		
16.	All equipment is functioning properly and staff is properly instructed in its use.		
17.	Emergency exits are designated/unobstructed.		
18.	Smoking regulations are posted.		
19.	Handrails on stairs/restrooms are secure.		
20.	Waste receptacles are emptied before full.		

III. Practice Assessment Checklists

Facility Review		Yes	No
21.	MSDS sheets are readily accessible to all employees.		
22.	Equipment is inventoried.		
23.	Hazardous material is inventoried.		
24.	All electrical outlets are childproof.		

Policies & Procedures

Human Resources Review		Yes	No
1.	There are current job descriptions for all positions.		
2.	Licenses, certificates, infection control education and CPR training are verified and employee files are current.		
3.	References are checked.		
4.	Staff members do not perform tasks beyond the scope of licensure, certification or training.		
5.	There is an orientation process for new staff members.		
6.	There is a documented evaluation/disciplinary process.		
7.	Evaluations of staff are completed at appropriate intervals with ongoing processes to assure/assess staff competency.		
8.	Employees sign a confidentiality agreement.		
9.	Staff meetings are held on a periodic basis.		
10.	There is an employee grievance process.		

Emergencies Review		Yes	No
1.	Staff are trained in BLS and are periodically re-certified		
2.	Emergency supplies, drugs and equipment are checked at least semi-annually (present, functional, not beyond expiration date).		
3.	The local EMS is called to respond to emergencies.		
4.	Staff are trained to recognize symptoms that require immediate involvement of the provider, e.g. chest pain, hemorrhage, etc.		

VII. Evaluation

1.					
2.					
3.					
4.					
5.					