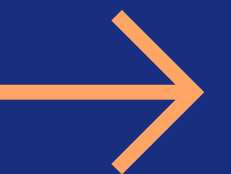


# Enhancing Risk Assessment Models: Strategies for a Proactive Approach



# Presenters



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Please note that the information shared today reflects the presenter's views only and does not represent our organization's position. I have no real or perceived conflicts of interest that relate to this presentation.

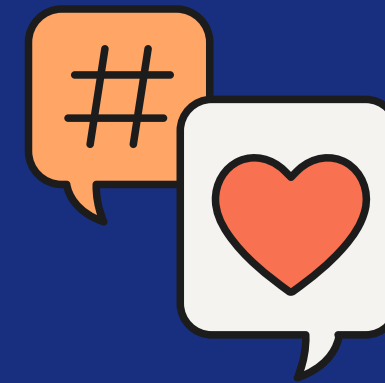
# Learning Objectives



Assess the strengths and limitations of existing risk assessment models and identify areas for improvement.



Explore strategies that can enhance the accuracy and predictive power of risk assessments.



Discuss how improved risk assessment models can inform better decision-making and resource allocation.

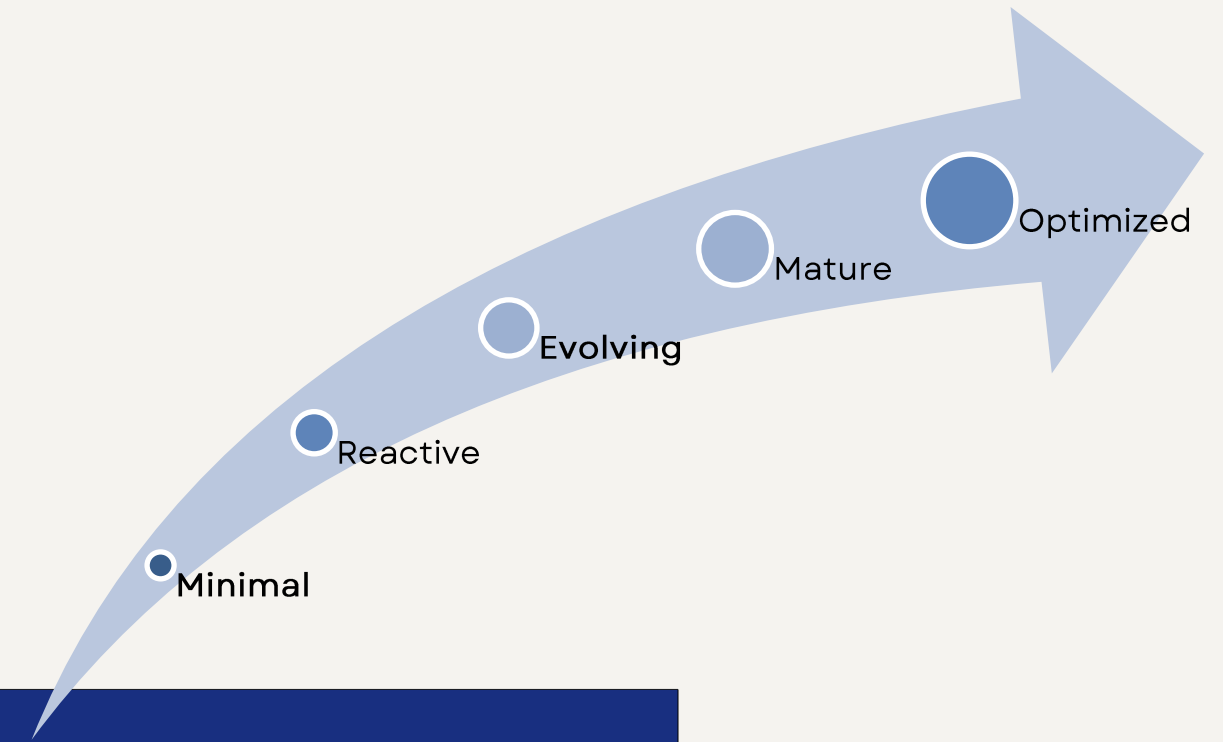
# What is the cost of inaction?



**When we see a problem but don't address its source:**

- 1** Small issues become major problems.
- 2** Resources are wasted on recurring symptoms.
- 3** Patient safety and quality of care may be compromised.
- 4** Regulatory compliance is at risk.
- 5** Team morale suffers from persistent issues.

# Risk and Maturity



**Compliance risks stem “from violations of law, regulations, or other legal requirements.” - GCPC**

- Is the program well-designed?
- Is it applied earnestly and in good faith?
- Does it work in practice?

**Use the risk assessment process as an education tool and to gain an understanding of what keeps your organization up at night.**

- What are the key compliance risks?
- What is the likelihood of the risk occurrence?
- What would the impact of the risk occurrence be?
- What current controls are in place and how effective are they?

**Make top risks part of your work plan.**

Demonstrate program effectiveness by documenting your efforts.

# Risk maturity models help prioritize resource allocation.

- Some risks are so inherent to healthcare operations making them difficult to eliminate.
- Risk maturity models help prioritize what risks need addressed by looking at the likelihood of occurrence, what the impact will be, and what controls are in place to prevent risk occurrence.
- Create definitions for what effective control measures look like.
- High risk items, without effective controls should be prioritized.
- Document efforts to help demonstrate risk management initiatives.

## Training control example:

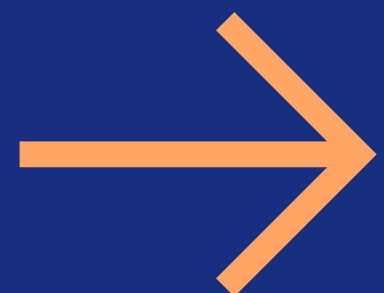
Minimal	Reactive	Evolving	Mature	Optimized
No training.	Post-event training.	Periodic, planned training.	Periodic, planned training tailored to specific audiences.	Periodic, planned training tailored to specific audiences that is evaluated for effectiveness.



# Are you reactive or proactive in your approach?

Differences between correction, corrective action, and preventive action.

Correction	You put the fire out at the time it occurs.
Corrective action	You identify what caused the fire and how to prevent recurrence after the event.
Preventive action	You stop the fire from happening in the first place.



# Leading vs. Lagging Indicators



**Proactive approaches  
help detect the smoke,  
before it becomes a fire.**

- Lagging indicators show what went wrong.
- Leading indicators help you spot issues before they occur.
- In risk assessments, leading indicators help identify risks before it matures into an event.

# Indicators in Practice

## Lagging Indicators

## Leading Indicators

<b>Compliance</b>	<ul style="list-style-type: none"><li>• Hotline report about a policy violation.</li></ul>	<ul style="list-style-type: none"><li>• Decrease in training attendance; staff expressed confusion about policy</li></ul>
<b>Revenue Cycle</b>	<ul style="list-style-type: none"><li>• Claim denied due to missing documentation.</li></ul>	<ul style="list-style-type: none"><li>• High volume of documentation queries or late cosigns.</li></ul>
<b>Patient Safety</b>	<ul style="list-style-type: none"><li>• Reported harm event.</li></ul>	<ul style="list-style-type: none"><li>• Increase in near miss reports.</li></ul>
<b>Operations</b>	<ul style="list-style-type: none"><li>• Increase in ED boarding due to inpatient bed availability.</li></ul>	<ul style="list-style-type: none"><li>• Increased length of stay; delayed discharges; imaging or lab turnaround time lags.</li></ul>



**Can you identify any leading indicators for a current issue at your organization?**

# Elevating Your Risk Management Program

	Where are you at?	Where do you want to be?	What will it take to get there?
<b>Minimal, Reactive</b> →	We respond when things go wrong.	Compliant enough to stay out of trouble.	Basic reporting processes, risk is owned in silos.
<b>Evolving</b> →	We investigate trends and repeat issues.	We learn from problem to prevent recurrence.	We perform root cause reviews and share risk ownership.
<b>Mature, Optimized</b> →	We anticipate risks and monitor trends.	We predict issues before they occur.	We share risk trends and have clear escalation processes.

# Risk Escalation Pathways

- Risk escalation requires clear handoffs.
- Different departments should own different risks; compliance helps with oversight.
- Use escalation grids to define trigger points and notification pathways.

**It's not risk management if no one owns the fix.**

# RACI for Risk Response

- **R = Responsible:** who does the work.
- **A = Accountable:** who owns the result.
- **C = Consulted:** who gives input.
- **I = Informed:** who needs to stay in the loop.

Task	Clinical Leader	Compliance	Legal	Quality	Finance and Revenue Cycle
Patient Safety Event	<b>A/R</b>		<b>I/C</b>	<b>I/C</b>	
Billing / Coding Error	<b>C</b>	<b>C</b>	<b>I</b>		<b>A/R</b>
Privacy Incident	<b>A</b>	<b>R/C</b>	<b>I</b>		
Credentialing or Licensure Issue	<b>A/R</b>	<b>I</b>	<b>C</b>		



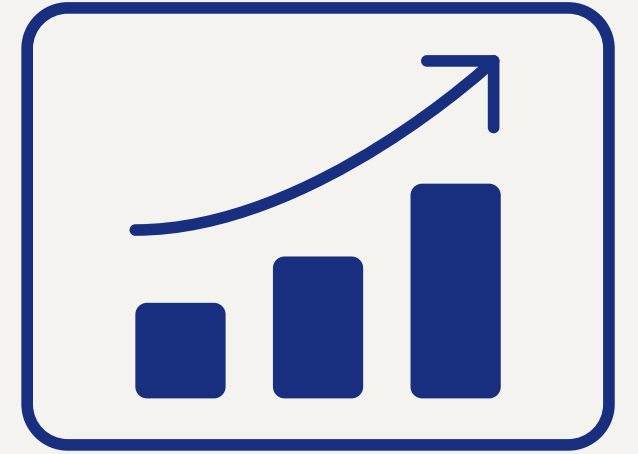
# Leveraging Resources



**Identify current resources and assess if they're being optimized.**

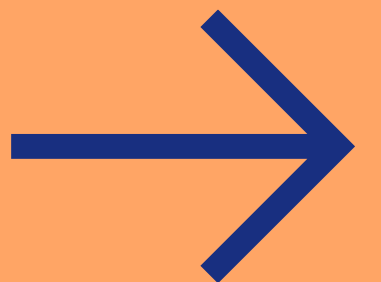
Task	What to Look For	Why it Matters
Identify existing tools	Incident reporting systems, compliance hotline, Electronic Health Record data models.	These systems already exist, reducing the burden of having to implement a new system.
Assess optimization	How could this data help spot trends or track mitigation efforts?	Most tools are used reactively, mature programs use them proactively.
Apply a risk lens	What does this data tell me about potential harm, control gaps, or operational weakness?	Turn operational data into strategic intelligence.

# Data Analytics and AI

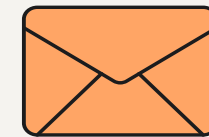


- Data analytics and AI can help alert you of issues sooner.
- Data quality and integrity are key.
- Workforce members must be knowledgeable on how tools work and ask critical questions.

“AI won’t replace us, but **those who use AI** may replace those who don’t.” – Andrew



# Thank you for attending!



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