Risk Management Roles and Responsibilities

This document describes specific activities and responsibilities that support the Office of Developmental Programs’ (ODP) core risk management functions by role. As you review the document, keep in mind that the functions and activities would be tailored to the needs and size of the organization as well as ODP’s priorities and policies.

Individual

- Self-advocates
- Participates in implementing prevention and promoting own health
- Asks questions
- Communicates preferences and needs
- Participates in health related decision-making process
- Exercises rights
- Implements own risk mitigation/prevention health and safety plan

Family Member/Guardian (includes Family Living and Life Sharing)

- Degree of involvement depends upon individual
- In some cases, acts on behalf of individual or makes decisions on behalf of individual
- Implements health, safety and prevention activities documented in consumer’s risk mitigation/prevention health and safety plan
- Advocates on behalf of the individual
- Informs provider and support coordinator as necessary
- Supports individual to self-advocate and promote/participate in healthful activities (such as plan, smoking cessation, etc.)

Direct Support Professional

- Knows the individual’s potential risk factors
- Demonstrates knowledge of and competency in implementing person-centered plans that are intended to minimize risk
- Identifies contributing environmental factors that may require remediation
- Supports the individual to balance choices and potential risk factors
- Helps individual understand how her choices can influence own health, safety and quality of life
- Supports the individual in doing own healthful activities; e.g., commends person for not having another dessert; reminds person to chew slowly, etc.
Provider Risk Manager

- Identifies individual, environmental and systemic factors that contribute to adverse events
- Implements both person-centered and systemic strategies that are effective, adequate and appropriate to manage incidents and mitigate risk
- Assures compliance with regulations, laws, contracts, etc. as related to health and safety
- Reviews and analyzes provider risk management data monthly
- Participates in state, regional, and AE risk management improvement priorities
- Identifies and develops provider risk management improvement priorities
- May participate on AE risk management workgroup

Supports Coordinator

- Implementation of the current ODP incident management bulletin including:
  - Timely incident reporting
  - Adequate and appropriate management of an incident
  - Identify incidents putting individuals at risk
  - Monitoring and following of to ensure the individuals health and safety including incident corrective action plans
    - Conduct or participate in certified investigations
    - Utilize HCSIS for incident management
- Participate in risk prevention activities
- Be a part of the risk management reporting processes

Administrative Entity (AE) Risk Managers

- Identifies and facilitates staff education at initial orientation and annually on the Risk Management program, risk identification and reduction expectations and strategies
- Assures identified strategies are put into place
- Reviews and analyzes AE risk management data monthly
- Participates in state and regional risk management improvement priorities
- Identifies and develops AE risk management improvement priorities
- Functions as liaison between regional office and provider in following through with region-wide and statewide risk management initiatives
- Assures flow of information from state to provider; and vice versa
- Participates in local region-wide risk management forum
- Chairs AE risk management workgroup made up of representative provider risk managers (encouraged)
Regional Risk Manager

- Identifies and facilitates staff education at initial orientation and annually on the Risk Management program, risk identification and reduction expectations and strategies
- Convenes and Chairs both the region-wide risk management forum and Regional Risk Management Workgroup
- Functions as Lead for risk management in regional office and region
- Assures ODP risk management policies and improvement strategies are implemented within scope of responsibility
- Organizes regional and AE risk management data for graphical display and analysis
- Assures all risk management activities are aligned with ODP’s risk management priorities
- Provides risk management technical assistance to AEs as needed
- Participates in ODP’s Risk Management Workgroup and policy development
- Functions as a liaison between ODP Central Office Risk Management and region, AEs and providers
- Facilitates communication between and among all entities with risk management responsibilities
- Informs ODP Central Office Risk Management of emerging issues, trends in region

ODP Central Office Risk Management

**ODP RM Lead**

- Receives/reviews reports, dashboards, minutes, etc. within the system that are risk related
- Leads risk management policy development
- Functions as liaison with other offices related to risk management
- Reviews all Department of Health surveys and ODP licensing citations to identify systemic risk and safety improvement opportunities
- Makes recommendations for risk remediation and/or system improvement based on data analyses, and report findings
- Works with information management system leads to assure requirements for incident and risk information are viable
- Coordinates risk management activities with regulatory and licensing organizations
- Convenes and chairs the ODP’s Risk Management Workgroup
- Reviews all quality and risk related reports to identify trends, patterns, etc.
- Monitors legislative activities that may affect risk management
- Assures identified strategies are put into place
- Develops and monitors completion of annual RM improvement action plan
- With ODP Risk Management Workgroup members, develops RM policy
**ODP Medical Director**

- Functions as the subject matter expert on infectious and chronic health conditions
- Leads initiatives to gather robust population-based evidence
- Provides state-of-the-art information on quality of care best practices
- Recommends health-related protocols and practices to achieve improved health outcomes
- Participates in ODP’s Risk Management Workgroup as needed
- Leads and initiates clinical/medical risk management activities
- Reviews death incidents to identify cause and key risk and contributing factors for Mortality database entry
- Supervises and coordinates the regional nurses
- Leads the statewide Health Care Quality Unit (HCQU) Workgroup
  - Health Care Quality Units provide technical assistance in the areas of medical and behavioral health, training on specific health topics and informs the Medical Director of needs and patterns within the respective HCQU geographic area
- Functions as liaison for ODP with other Offices within the Department of Public Welfare

**ODP Quality Management Lead (Bureau of Programs for People with Intellectual Disabilities)**

- Provides leadership and direction in the application and integration of quality management (QM) as it applies to risk management system and processes
- Provides leadership and direction in the collection, organization and display of data for analysis and interpretation
- Facilitates the analysis and interpretation of data
- Assures that QM tools and techniques are used appropriately in achieving the group’s goals and objectives
- Facilitates the development of recommendations, improvement and action plans, operational definitions, performance measures, indicators and reports
- Advocates for, utilizes and demonstrates public health and population-evidence based approach to mitigating risk

**ODP Behavioral Health Director**

- Leads the ODP’s Positive Practices Committee
- Assures behavioral and mental illness needs of individuals are identified
- Assures implementation of ODP policies related to behavioral and mental illness services
- Functions as liaison between ODP and Office of Mental Health and Substance Abuse Services to address needs of individuals with an intellectual disability in mental illness programs
- Collaborates with ODP Leads to develop curriculum and regulation implementation job aids for staff working with those individuals who are dually diagnosed with an intellectual disability and a mental illness
- Advocates for training and professional development of ODP and provider behavior specialist staff