

# H606: Healthcare Risk Management and Quality Improvement Spring 2005

**Instructor:** Gordon P. Hall, MBA, FASHRM  
**Office:** 111 Monument Circle  
Suite 4300  
Indianapolis, In 46202  
**Time/Location:** (T) 5:45-8:25, NU 221  
**Voicemail/Phone:** 261-9315

**Office Hours:** By appointment  
**Fax:** 261-9333  
**E-mail:** gordon.p.hall@marsh.com  
**Course URL:** TBD

## Course objectives and description:

The central objectives of this course are that the student be able to:

1. Define risks in a healthcare institution and identify causes of loss.
2. Identify and apply risk management techniques to manage healthcare risk
3. Improve oral and written communication skills

These course objectives will be achieved by: (a) in-class lectures, (b) a test on basic principles, (c) in-class participation and discussion, (d) 1 journal article assignment, and (e) 1 group project requiring both written and oral presentation.

**Prerequisites:** TBD

## Grading and Assessment:

Grades will be based on:	<u>Percent</u>	<u>Points</u>
Class participation	(5%)	50
1 Exam,	(35%)	350
1 journal Article Assignment	(25%)	200
1 group presentation	(35%)	400

**PLEASE NOTE:** All assignments are expected on the day assigned. Assignments may be submitted via e-mail prior to class (*this is the preferred means*) or handed to the professor at the beginning of class. *Late assignments will be given one lower grade for each day they are late.* Assignments handed in after the start of class will be considered one day late. Only in extreme cases will this procedure be waived.

Grades will be awarded on the following scale:

92-100% = A	90-92% = A-
88-90% = B+	82-88% = B
80-82% = B-	70-80% = C
	Below 70% = Big trouble

All students are expected to observe the Indiana University honor code in all portions of this class. Plagiarism or any other form of cheating or deception will not be tolerated. Policies regarding P/F, W marks, and I are provided in the **SPEA Graduate Programs Bulletin**. Policies regarding academic dishonesty are described in the **IUPUI Code of Student Rights, Responsibilities, and Conduct (1997)** available electronically at [www.hoosiers.iupui.edu/studcode/stucode.htm](http://www.hoosiers.iupui.edu/studcode/stucode.htm).

## Description of Assignments

### 1. Class Participation (50 pts)

Class contribution is extremely important. Individuals should read all assigned materials prepare each assignment to be able to comfortably participate in class discussion. Students must learn to contribute their ideas in class. Students that are absent without a prior approved excuse may lose points for lack of participation. Although there is no set rule for the number of times a student must participate per class to gain full points for participation, a general rule of thumb is that students should minimally participate once per class. If you are doing less than this you may be in jeopardy of losing points. However, the issue is also not totally one of quantity, but quality. Learn to contribute.

### 2. Examination (350 pts.)

One examination will be completed at the end of the semester. The Exam will cover the principles of Risk Management, Quality Improvement that we have assigned lecture upon and discussed up to the date of the exam. The exam will consist of objective and subjective questions. The objective portion of the exam will consist of multiple-choice questions and the subjective portion will consist of short answer and essay questions. The exam will be released on Oncourse on April 27 and will be take-home open book/note. Students will have until 8:00 A.M May the 5<sup>th</sup> to upload/e-mail their exam. Students are forbidden to collaborate, discuss, or seek out assistance from with any other person. All questions regarding the exam should be directed to me.

### 3. Journal Article Assignment (250 Pts.)

One Journal Article Assignment will be completed on either Healthcare Risk Management or Quality Improvement. The purpose of the assignment is to educate the student on the subject matter that preoccupies both disciplines and the methods by which these subject areas are analyzed and then for that student to educate the rest of the class on the article's subject matter, its relevance to the course and to discuss their recommendations for the topic discussed.

The assignment shall be completed by the submission of two parts:

Part 1: The first part of the assignment is to select and read an article on a contemporary topic on Healthcare Risk Management or Quality Improvement taken from a journal or publication dedicated to this subject matter, (e.g. The Journal of Healthcare Quality Improvement or the Journal of the American Society for Healthcare Risk Management). The student will then produce no more than five page (single spaced) summary of the article and executive analysis of the article.

Part 2: The student will present the article to the class and lead the class in a discussion of the subject matter of the article and/or their executive summary. The discussion should apply the concepts of the article to contemporary healthcare administration settings, potentially current positions where students work or relate it to past coursework in previous subjects. In other words give examples of why the subject is relevant. This portion of the assignment will equal 50% of the overall grade for this assignment.

Students are encouraged to use articles in areas of health care that are of interest to them. Students are not to share articles with each other. This assignment must be performed individually and although groups may discuss the requirements of the assignment together,

all work should be original and distinct.

In preparing the assignment answering those questions that are applicable to your article from the following list would likely meet the objectives of the assignment.

- \* Describe the Environment or setting Summarize the Article
- \* What are Risk and/r Quality Issues?
- \* Identify or list Risk Management Techniques that may be used to treat the issues
- \* What decisions are to be made?
- \* Who is the decision maker in the case?
- \* Describe how one would measure improvements/outcomes
- \* How should this matter be communicated up through the administrative hierarchy?
- \* Who should be aware of the issues related to this issue, VP, president, the Board?
- \* What are the decision maker's objectives?
- \* Are there other important actors? What are their objectives?
- \* What are the key issues, i.e., questions which must be addressed or points which must be resolved in order to reach a decision?
- \* What is the environment in which the decision is to be reached, i.e., specific constraints and opportunities affecting the decision?
- \* What specific alternative actions can the decision maker take? With what consequences?
  - \* What would I do? And Why?

#### 4. Group Project (350) Points

The largest single class assignment is the group project. This assignment should be similar to a written or oral presentation you would make to an executive team as part of a consulting (internal or external) project. The group project has two parts: a written report and a group presentation. The written report should have a maximum text of 5 single spaced pages, plus additional supporting appendices. (Turn in only one write-up per group) You will also present your group's analysis to the class in a presentation of 25-30 minutes. You will complete this assignment in groups of (TBB based on class size) students. Once groups are formed, I will create e-mail groups to commutate with you regarding your groups status, provide feedback or any other matter worthy of discussion. I will require at least one meeting (outside of class) with each group to assure that the group is on track. (More may be held if necessary)

Students will be asked to assist in assessing the level of performance of each team presentation. General performance criteria include thoroughness of analysis (25%), logic of recommendations (25%), excellence of communication (25%), and professionalism of presentation materials (25%). The group project is the equivalent of a final exam, and should reflect the cumulative learning of the course. The group written report and the oral presentations will be due on April 27<sup>th</sup>.

You will be randomly assigned a subject from the following topics found in the course text: Risk Management Operations, Employment Practices, Monitoring & Improving, Risk Financing, Regulatory Accreditation & Compliance and Ethics and Patient care. The setting that has been chosen for the project is the new Clarian West Hospital. Using the techniques learned in the course create a risk management plan for that setting. Your project may not be based on a project or effort being put for in another course.

## Course Chapters by Topic Theme

### **Risk Management Operations**

(Chapters 1,2,3,4,5,6,7,8,and 31,)

### **Employment Practices Risk management**

(Chapters32, 33, 34, and 37)

### **Monitoring and Improving**

(Chapters 44,46,47, and 48)

### **Risk Financing**

(Chapters 20,21,22,23,and 24)

### **Regulatory Accreditation & Compliance**

(Chapters, 38,39,40, and 41)

**Ethics and Patient Care** (Chapter 28, 29 30 and 45)

*All assignments are to be typed in a legible font (prefer Times New Roman 12 font) and single-spaced. Font smaller than this will be deemed unprofessional.*

---

### **Required texts:**

Carroll, R, 2001. Risk Management Handbook for Healthcare Organizations 4<sup>th</sup> Ed. AHA Press

This Text is available at the IUPUI bookstore from the American Hospital Association Website and Amazon.com

---

## **Schedule, H606 Spring 2005**

**Assignment/Due Dates are in Yellow**

### **Lecture 1 (Jan 11)**

#### **Introduction to the Course**

##### *Class Assignments/Discussion*

Review Course Requirements- Readings, Assignments, and schedule  
Discuss the text  
Introduction

##### *Required Readings*

Carroll: Chapters: 1, 2 (no appendices)

**Select Journal Article Due Dates (randomly)**

**Form Groups**

---

### **Lecture 2 (Jan 18)**

#### **Risk Management Program**

##### *Required Readings*

Carroll Chapters: 4, 5 (skim)

**Assign Group Presentation Topics**

---

**Lecture 3 (Jan 25)**  
**Risk Mapping**

*Required Readings*

Carroll Chapters: Ch 6, 7,

---

**Lecture 4 (Feb 1)**  
**Risk Financing**

*Required Readings*

Carroll Chapter 20, 22,

---

**Lecture 5 (Feb 8)**  
**Risk Financing**

*Required Readings*

Carroll: Chapters 21, 23

---

**Lecture 6 (Feb 15)**  
**Contractual Risk Transfer/Due Diligence**

*Required Readings*

Carroll: Chapters 18, 25, 26

---

**Lecture 7 (Feb 22)**  
**Credentialing/Managed Care**

*Required Readings*

Carroll Chapters: 8 19,

---

**Lecture 8 (Mar 1)**  
**Regulation/Accreditation**

*Required Readings*

Carroll: Chapters 38, 39,

---

**Lecture 9 (March 8)**  
**Managing Risk in Acute Care Settings**

*Required Readings*

Carroll: Chapter 11 & 14

---

**SPRING BREAK (March 15) No Class**

---

**Lecture 10 (March 22)**  
**Patient Safety Monitoring & Improving**

*Required Readings*

Carroll: Chapter 12, 46

---

**Lecture 11 (March 29)**  
**Patient Safety Monitoring & Improving**  
**Patient Safety**

*Required Readings*

Carroll: Chapters 47, 48

---

**Lecture 12(April 5)**  
**Ethics and Patient Care/ Informed Consent**

*Required Readings*

Carroll Chapters 28, 29, 30

---

**Lecture 13 (April 12)**  
**Advertising Liability and Communications with Patients**

*Required Readings*

Carroll: Chapters 27, 31

---

Lecture 14 (April 19)  
**Information Technologies/Evolving Risks in Cyberspace**

*Required Readings*

Carroll Chapter 42, 43

Review for Examination

---

**Lecture 15 (April 26)**

**Present Group Presentations**  
**Group Presentation Write-ups due**

**Exam Released**

---

**Exams Due May 3<sup>th</sup> @8:00 A.M.**

---

The following materials may be of assistance in your preparation.

- <http://www.clarian.org/hospitals/west/index.jhtml>
- <http://www.clarian.org/mission/facts.asp>
- <http://www.commhospindy.org/>
- <http://www.stvincent.org>
- <http://www.ssfpa.org/>
- <http://www.fedstats.gov/>
- <http://www.naphsis.org/>
- <http://www.cdc.gov/nchs/index.htm>
- <http://www.ac.org/links.html>
- <http://www.hschange.com/>
- <http://www.healthycommunities.org/>
- <http://www.hcfa.gov/>
- <http://www.hcqualitycommission.gov/>
- <http://knowledge.wharton.upenn.edu/>
- <http://www.sookoo.com/>
- <http://www.ashrm.org>
- <http://www.irmi.org>
- <http://www.rims.org>
- <http://www.ishrm.org>
- <http://www.ecri.org>

## **SPEA 2005 Policies Addendum to Syllabus**

### **Academic Dishonesty**

All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic dishonesty promptly and thoroughly. Faculty members also have the responsibility of taking appropriate action when academic dishonesty occurs. The penalties for academic dishonesty include but are not limited to lowering a grade on an assignment, lowering a course grade, or failing a student for a course. SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic dishonesty. If you have not done so, you should read the IUPUI *Code of Student Rights, Responsibilities, and Conduct*, which can be accessed at <http://www.hoosiers.iupui.edu/studcode/stucode.htm> so you will be sure to understand what these terms mean and what penalties can be issued for academic dishonesty. Significant violations of the Code can result in expulsion from the University. If you have any questions about what constitutes academic dishonesty for a course you are taking, be sure to ask the instructor for an explanation.

The *IUPUI Code of Student Rights, Responsibilities, and Conduct* defines four areas of academic misconduct: cheating, fabrication, plagiarism, and interference. The prohibited activities and actions include the following:

1. **Cheating.** A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
  - a. A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
  - b. A student must not use another person as a substitute in the taking of an examination or quiz.
  - c. A student must not steal examinations or other course materials.
  - d. A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted. Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.
  - e. A student must not collaborate with other persons on a particular project and submit a copy of a written report which is represented explicitly or implicitly as the student's individual work.
  - f. A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on field work.
  - g. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor to whom the work is being submitted.
  - h. A student must not alter a grade or score in any way.
2. **Fabrication.** A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.
3. **Plagiarism.** A student must not adopt or reproduce ideas, words, or statements of another person without appropriate acknowledgment. A student must give credit to the originality of others and acknowledge an indebtedness whenever he or she does any of the following:
  - a. Quotes another person's actual words, either oral or written;
  - b. Paraphrases another person's words, either oral or written;
  - c. Uses another person's idea, opinion, or theory; or
  - d. Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.
4. **Interference.**
  - a. A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.
  - b. A student must not give or offer a bribe, promise favors, or make threats with the intention of affecting a grade or the evaluation of academic performance.

### **Civility**

Civility is important in an academic community to ensure that all parties—students, staff, and faculty—are working in an environment that fosters achievement of the individual’s and community’s goals and objectives. Civility requires all parties to demonstrate personal integrity and conduct themselves in a manner that shows respect, courtesy and tolerance to others. Examples of discourteous behaviors during class include reading the newspaper, listening to headphones, talking or laughing with others, chronically arriving late, and so forth. These behaviors are distracting to the instructor and classmates, and SPEA faculty will address these problems as they arise. Maintaining and fostering civility inside and outside the classroom is especially important to SPEA, which is a professional school.

Pursuant to the Indiana University Student Code of Conduct, disorderly conduct which interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be immediately reported to the Office of The Dean of Students for appropriate disposition which may result in disciplinary action including possible suspension and/or expulsion from the university.

### Communication between Faculty and Students

In order to verify the identity of all parties involved, effective September 1, 2004, all email communication from current SPEA students to SPEA staff must originate from an Indiana University email account. For email communication with SPEA faculty, current SPEA students should refer to course syllabi for instructors’ preferences (Oncourse, Webmail, etc.). This policy applies to current students only. Instructions for forwarding your IUPUI email to another account can be found at

<http://support.uits.iu.edu/scripts/ose.cgi?http://kb.indiana.edu/data/beoj.ose.help?osecat=email>

### Course Withdrawals

Students who stop attending class without properly withdrawing from the class may receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. **Poor performance in a course is not grounds for a late withdrawal.**

No withdrawal forms will be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar’s website at <http://registrar.iupui.edu/withdraw.html> for more information. To withdraw, obtain a withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

Withdrawal Deadlines	
Course deleted from record, no grade assigned, 100% refund (Advisor signature <b>IS NOT</b> required)	Week 1 (last day)
Withdrawal with automatic <a href="#">grade of W</a> (Advisor signature <b>IS</b> required)	Week 2– Week 7 (regular session) Week 2 – Week 3 (summer session)
Withdrawal with <a href="#">grade of W or F</a> (Advisor and instructor signatures <b>ARE</b> required)	Week 8 – Week 12 (regular session) Week 3 – Week 4 (summer session)

### Incompletes

A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. **Poor performance in a course is not grounds for**

**an incomplete.** SPEA follows the campus guidelines, which may be accessed at the Office of the Registrar's website at <http://registrar.iupui.edu/incomp.html>, in awarding incompletes. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an 'F' if the work is not completed within the allotted timeframe established by the instructor.

### **Grade Changes**

Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar's Office. **This petition must be filed within 1 year of the date when the student was enrolled in the course.** In cases of extenuating circumstances, SPEA may consider petitions filed after this date, but in no case will it consider petitions filed 5 years or more after the date the course is taken. SPEA will review the request and make a final decision. The Change of Grade petition form is located at the Office of the Registrar's website at <http://registrar.iupui.edu/grdfm.html>.

### **Students Called to Active Duty**

SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar's website at <http://registrar.iupui.edu/activeduty.html>.

### **Final Exam Schedule**

If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. Exams may not be given in the week before the final exam week. If a student is not able to resolve a final exam problem with the instructor, the student may report the problem to the Director of Undergraduate or Graduate programs. See the Office of the Registrar's website at <http://registrar.iupui.edu/accal.html> for the final exam week schedule.