

Ambulatory Surgery Center Risk Management Plan Checklist



This Ambulatory Surgery Center (ASC) Risk Management Plan Checklist is designed to support the development, implementation, and ongoing evaluation of a comprehensive risk management program within ASC settings. This checklist outlines key components and best practices across critical domains, ensuring alignment with regulatory requirements, accreditation standards, and patient safety goals. By systematically addressing governance, risk identification, incident reporting, patient and staff safety, compliance, and technology, ASCs can foster a proactive culture of safety, minimize potential liabilities, and continuously improve quality of care.

GOVERNANCE & OVERSIGHT

- ☐ Designating a Risk Manager or Risk Management Team
- ☐ Defining roles and responsibilities for risk oversight
- ☐ Evaluating the risk management program & plans for future risk initiatives annually
- ☐ Integrating with Quality Assurance and Performance Improvement (QAPI) program

RISK IDENTIFICATION & ASSESSMENT

- ☐ Providing methods for identifying clinical and non-clinical risks
- ☐ Conducting routine risk assessments (re: annual facility risk assessment)
- ☐ Using data sources (incident reports, patient complaints, patient satisfaction, chart audits)
- ☐ Prioritizing risks based on severity and likelihood

INCIDENT REPORTING & INVESTIGATION

- ☐ Standardizing the process for reporting adverse events and near misses
- ☐ Using Root Cause Analysis (RCA) process for review of significant adverse events
- ☐ Incorporating RCA findings to prevent recurrence

PATIENT SAFETY & CLINICAL RISK MANAGEMENT

Important policies to develop include, but are not limited to:

- ☐ Surgical safety (re: time-outs, site marking)
- ☐ Medication safety
- ☐ Infection prevention and control measures (re: SSI prevention)
- ☐ Fall prevention strategies
- ☐ Handoff communication
- ☐ Informed consent
- ☐ Workplace violence prevention
- ☐ Surgical fire prevention
- ☐ Discharge criteria and policy

EMERGENCY PREPAREDNESS & ENVIRONMENTAL SAFETY

- ☐ Fire safety protocols
- ☐ Emergency response plans and drills (re: code blue, evacuation)
- ☐ Hazardous materials handling and disposal
- ☐ Facility and equipment safety inspections
- ☐ Medical transfer plan for medical emergencies

LEGAL & REGULATORY COMPLIANCE

- ☐ Reviewing contracts and subawards for risk exposure
- ☐ Adhering to state and federal regulations
- ☐ Ensuring adequate malpractice and liability insurance coverages
- ☐ Ensuring HIPAA and patient privacy protections

STAFF EDUCATION & TRAINING

- ☐ Conducting orientation and ongoing training for risk management policies
- ☐ Conducting competency assessments and drills (e.g., fire, emergency)
- ☐ Training on incident reporting and patient safety culture
- ☐ Providing regular staff training on risk management and compliance
- ☐ Training employees on workplace violence and safety

OPERATIONAL RISK MANAGEMENT

- ☐ Maintaining emergency preparedness and response plans
- ☐ Conducting regular facility safety inspections
- ☐ Reviewing and updating infection control policies
- ☐ Ensuring a workplace safety plan is in place

DATA MONITORING & EVALUATION

- ☐ Tracking key performance indicators (KPIs) for risk management
- ☐ Regularly reviewing incident trends and outcomes
- ☐ Improving initiatives based on findings
- ☐ Documenting progress toward risk management goals
- ☐ Creating proactive strategies for risk control

PATIENT ENGAGEMENT & EDUCATION

- ☐ Promoting a culture of safety with targeted strategies
- ☐ Integrating strategies that represent clinical best practices and minimize or eliminate patient harm
- ☐ Including patient perspectives in safety planning

TECHNOLOGICAL RISK MANAGEMENT

- ☐ Ensuring HIPAA compliance and data security protocols
- ☐ Ensuring EHR systems are secure and backed up
- ☐ Creating contingency plan for EHR outages
- ☐ Implementing cybersecurity protocols
- ☐ Conducting staff training on cybersecurity
- ☐ Securing telehealth systems