

FQHC Risk Management Plan Checklist



This checklist is designed to serve as a practical tool to guide FQHC leadership, compliance officers, and risk managers through the key components of an effective Risk Management Plan. It includes essential areas such as governance, incident reporting, credentialing, privacy and security, emergency preparedness, and quality improvement integration. By regularly reviewing and updating your risk management practices using this checklist, your health center can minimize liability, foster a culture of safety, and ensure continuous improvement in care delivery.

Use this checklist as a baseline for assessing current risk management efforts and identifying opportunities for enhancement—aligning with best practices and ensuring your FQHC is well-positioned to navigate an increasingly complex healthcare environment.

GOVERNANCE & OVERSIGHT

- ☐ Designation of a Risk Management Officer or Committee
- ☐ Board of Directors' review and documentation of risk activities, including annual summary, risk assessments, and safety inspections
- ☐ Integration of risk management into strategic planning

QUARTERLY CLINICAL RISK ASSESSMENTS

- ☐ Focus on clinically related areas that could lead to malpractice claims
- ☐ Documentation of methodology, findings, and follow-up action plans
- ☐ Risk assessments conducted at least quarterly

SAFETY INSPECTIONS

- ☐ Regular facility inspections (typically quarterly or semi-annually)
- ☐ Identification of environmental, equipment, and infection control risks
- ☐ Documentation of findings and corrective actions

PERFORMANCE MONITORING

- ☐ Incident reporting process, including review and analysis of events
- ☐ Tracking of sentinel events, adverse events, and near misses
- ☐ Documented RCA to review significant adverse events
- ☐ Incorporation of RCA findings to develop interventions to prevent recurrence
- ☐ Tracking of complaints and grievances
- ☐ Use of data dashboards and trend analysis
- ☐ Evaluation of progress toward risk management goals
- ☐ Incorporation of data into the organizational PI program
- ☐ Proactive strategies to control risks

PATIENT SAFETY & ENGAGEMENT

- ☐ Strategies to promote a culture of safety
- ☐ Strategies are integrated that represent clinical best practices and that minimize or eliminate patient harm
- ☐ Use of patient satisfaction data to identify risks
- ☐ Patient involvement in safety initiatives
- ☐ Credentialing and privileging of providers is integrated to reduce risks to patients

TRAINING & EDUCATION

- ☐ Annual board risk management training
- ☐ New hire staff training on safety, compliance, and risk protocols
- ☐ Ongoing staff training on safety, compliance, and risk protocols
- ☐ Documentation of training plans and participation
- ☐ Workplace safety training for staff

TECHNOLOGY & DATA SECURITY

- ☐ Risk assessments related to EHRs, cybersecurity, and telehealth
- ☐ Data integrity, access control, and HIPAA compliance
- ☐ Contingency planning for system failures

DOCUMENTATION & REPORTING

- ☐ Annual Risk Management Report (required for FTCA deeming)
- ☐ Summary of completed and proposed risk management activities
- ☐ Proof of board review (e.g., signed minutes or letters)

PROPOSED RISK MANAGEMENT ACTIVITIES

- ☐ Planned initiatives for the upcoming year
- ☐ Targeted interventions for high-risk areas
- ☐ Introduction of the next year's training plan