The Risk Data Journey

From entry (RDE) to the final fork in the road – do I submit this to my PSO?

John Playford, Midas+ Senior Solutions Advisor

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A Snapshot of Our Journey

Lets start out by recording an event and following the data.

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Segments of the Journey

Part I – Using Remote Data Entry

Part II – The Risk Event Module

Part III – The PSO Toolkit

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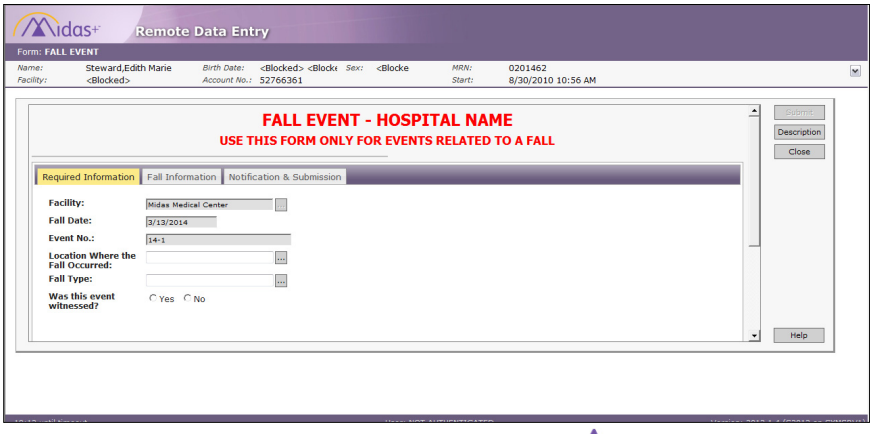
Part I – Using Remote Data Entry



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Remote Data Entry for Risk Events

What is Remote Data Entry (RDE)?

Remote Data Entry (RDE) can be used to input data in to the Risk Event Report and the Patient Relations modules. With RDE, users with minimal training can enter data through a Web browser interface on a facility's local intranet instead of the Midas+ Care Management system. The information then populates a regular Risk Event Report or Patient Relations record that can later be accessed through Care Management.

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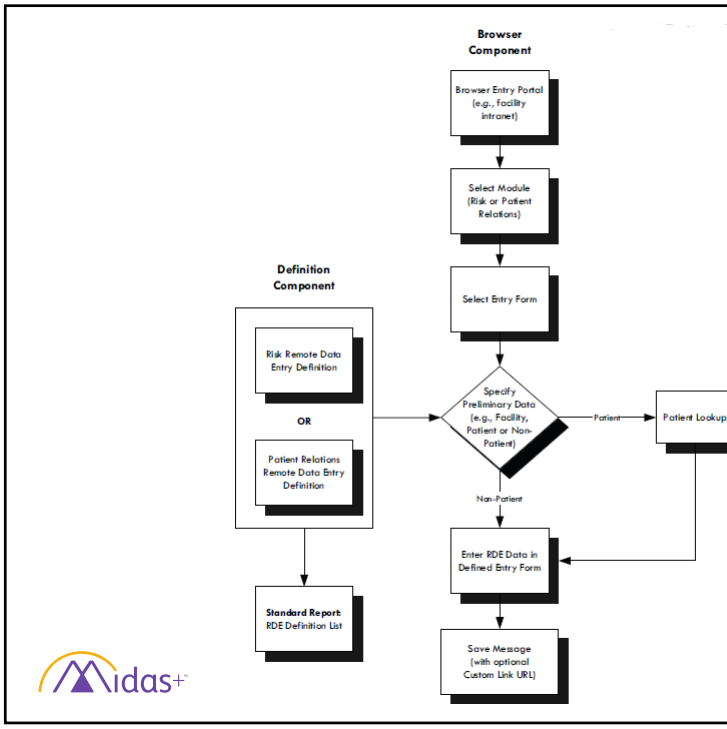

Remote Data Entry for Risk Events

Why Use RDE to Capture Risk Events?

- Ease of reporting
- Quick turnaround of events
- Accountability
- Simplified maintenance of forms

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Remote Data Entry for Risk Events

How many forms do I need?

One form with Rules

Pros

- One form for user to select and it is rule-driven based on event type/class selected.
- Single URL for single form placed on the hospital webpage

Cons

- Form can be very lengthy and not friendly, not easy to use.
- Things can get very complicated when troubleshooting the RDE form with many rules.
- Mandatory fields cannot be conditionally based on rules

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Remote Data Entry for Risk Events

How many forms do I need?

Forms Based on Major Classes

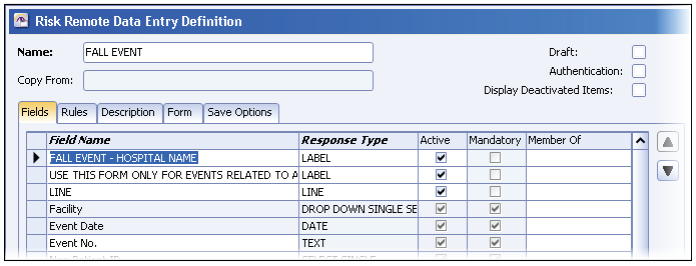
Pros

- Forms simple to set up.
- Forms can be named using the Class.
- Can make fields mandatory that are specific to an event class/type.

Cons

- User must select correct form (form title must be intuitive enough that user knows what form to choose based on their event).
- Multiple forms to maintain.

Define the form(s)



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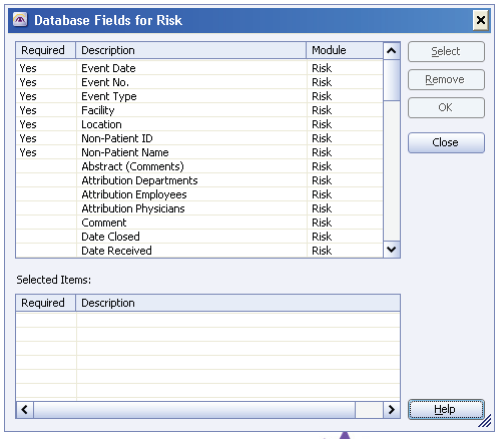
Remote Data Entry for Risk Events

What fields to include on the forms?



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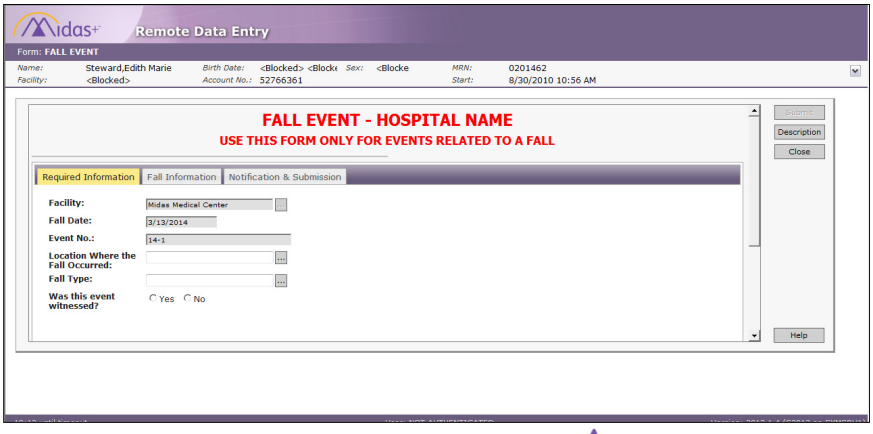
Once the form is designed



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Deeper dive into process

- Remote Data Entry (RDE) Form – Obtain the report
- Data Flows into Risk Module
- Notification Process?

Let's take a closer look at the Risk data flow.

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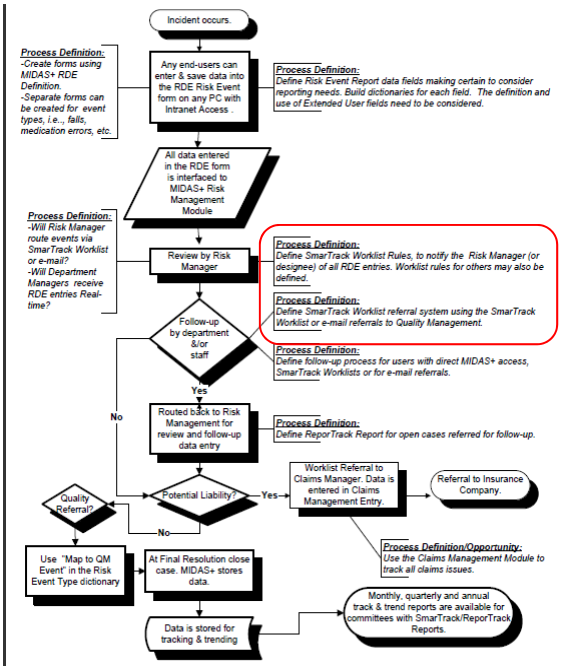


Worklist Notifications

Who needs to be notified when event occurs?

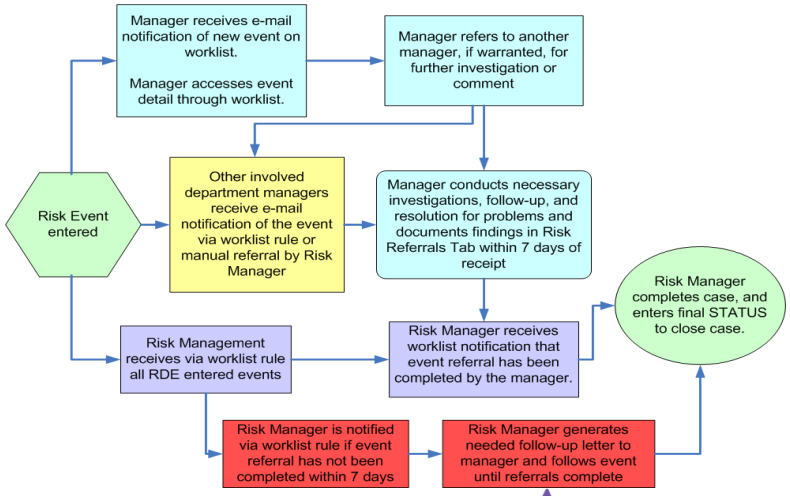
- Risk Manager
- Manager of Location
- Senior Management

Worklist Notifications

As a manager, If I get notified of a new event – What am I supposed to do?

- Sign off on the event
- FYI only
- Look for a new job

Worklist Notifications



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Worklist Process

Worklist referral to managers vs. manual referral by Risk Manager?

Consider:

- ❑ VOLUME
- ❑ TIMELINESS
- ❑ ACCURACY

Manager can refer to another Manager vs. only the Risk Manager can make a secondary referral?

Consider:

- ❑ CLIMATE
- ❑ TIMELINESS
- ❑ NEED TO KNOW

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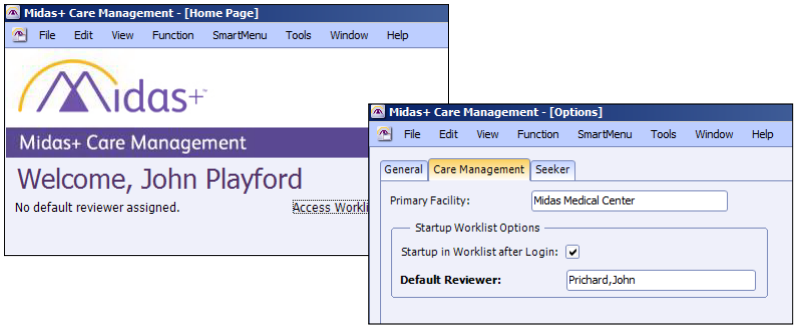
Worklist Process

If you are someone who does not usually access Midas+, you may want to set your default to open your Worklist when you log in.



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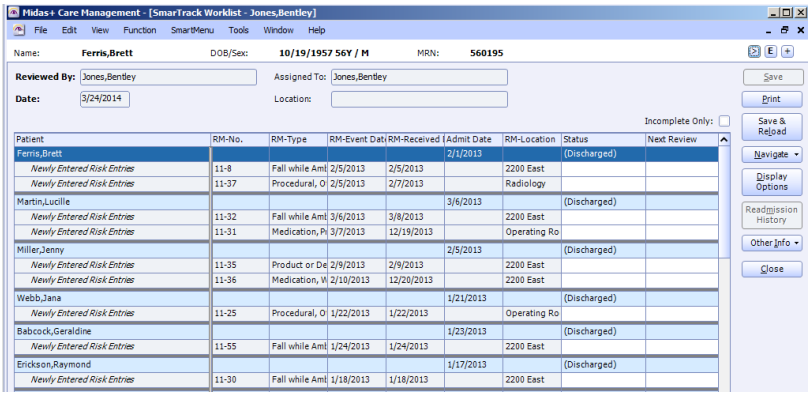
Worklist Process



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Worklist Display Options

RM-Action
RM-Closed Date
RM-Disposition
RM-Entered By
RM-Event Date
RM-Facility
RM-From Dept
RM-From Employee
RM-Info Source
RM-Location
RM-No.
RM-Received Date
RM-Significance
RM-Status
RM-To Dept
RM-To Employee
RM-Type

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Worklist Display Options

- Choose the column headings to display on the Worklist.
- Specify the fields by which to sort the Worklist.
  - You can even sort by fields that are not selected for display.
- Choose to display only the Incomplete Worklist tasks or all the tasks.
  - These display options remain even when you log out.
- Change the order in which columns are displayed.
  - As a column moves up in the list, it moves to the left in the display
  - Moving the column down in the list moves it to the right in the display.

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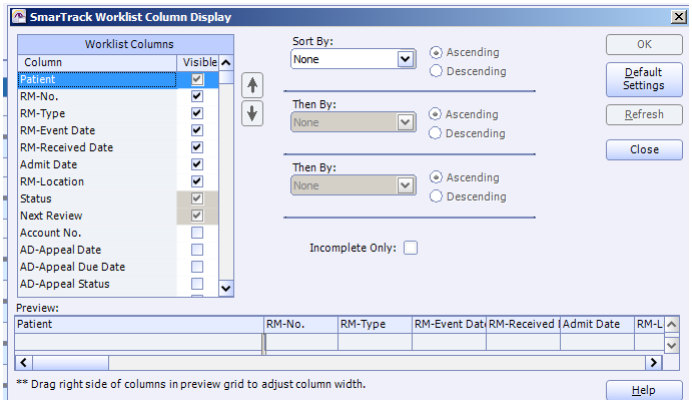
SmarTrack Worklist Display Options



Worklist Display Options

- The fields selected must be from the Module/Multiple being monitored.
  - For example, a rule monitoring Patient Relations will not display data in a column from Risk Management.
- The fields selected must monitor the table at the level of the field to be displayed.
  - For example, if the rule is monitoring "RISK MANAGEMENT EPISODES" and the field chosen to display is RM-Disposition, nothing will display in that field, even if it exists in the episode.
    - This is because the Risk Disposition field is from the multiple RISK MANAGEMENT REFERRALS level.

Worklist Display Options

- When monitoring the multiple level fields, the display options will include episode-level fields.
    - For example, if you are monitoring the multiple RISK MANAGEMENT REFERRALS, you can still select the RM-NO field to display even though it occurs at the episode level.

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SmarTrack Column Name	Monitored Level	Module	Field Monitored
RM-Action	Multiples	RM Episodes:Referrals: Actions	RM:Referrals:Actions:Referral Action
RM-Disposition	Multiples	RM Episodes:Referrals	RM:Referrals:Referral Disp
RM-Entered By	Module	RM Episodes:Referrals	RM:Entered by
RM-Event Date	Module	RM Episodes	RM:Event Date
RM-Facility	Encounter	Entered by default from Encounter Facility	RM:Facility
RM-From Dept	Multiples	RM Episodes:Referrals	RM:Referrals:Ref From Department
RM-From Employee	Multiples	RM Episodes:Referrals	RM:Referrals:Ref From Employee
RM-Info Source	Module	RM Episodes	RM:Info Source
RM-Location	Module	RM Episodes	RM:Location
RM-No.	Module	RM Episodes	Risk Management:(Any)
RM-Received Date	Module	RM Episodes	RM:Received Date
RM-Significance	Module	RM Episodes	RM:Significance
RM-To Dept	Multiples	RM Episodes:Referrals	RM:Referrals:Ref To Department
RM-To Employee	Multiples	RM Episodes:Referrals	RM:Referrals:Ref To Employee
RM-Type	Module	RM Episodes	RM:Type

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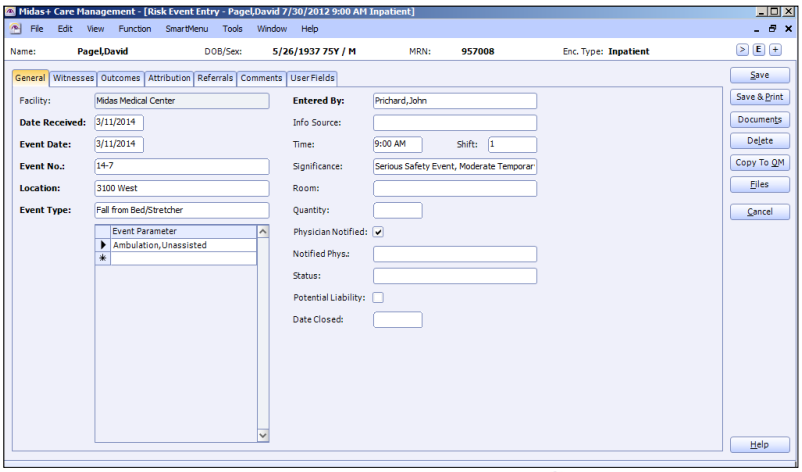
Part II – The Risk Event Module



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Risk Event Module

Dictionary Considerations

- Event Class
  - AHRQ Considerations
  - Type, Parameter, and PSO Toolkit
- Significance
  - General Considerations
  - PSO Toolkit Thoughts
- Copy to Quality
  - Background mapping

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Risk Event Class

AHRQ Classifications:

- Blood or Blood Product
- Device or Medical/Surgical Supply
- Fall
- Healthcare-Associated Infection
- Medication or Other Substance
- Perinatal
- Pressure Ulcer
- Surgery or Anesthesia

Non-AHRQ Consideration

- Security
- Employee

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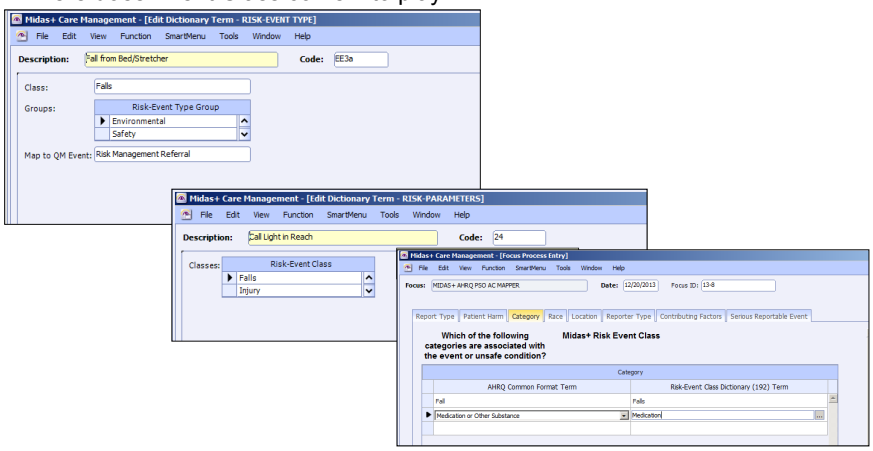
Risk Event Class

Where does Event Class come into play?



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Significance Dictionary

General considerations for Significance and why?

- Should users choose this on the RDE form?
- List should be short and sweet.
- Shared with Quality

How does the PSO Toolkit use these terms?

- Report Type
  - Is it an incident a near miss or an unsafe condition?
- Patient Harm
  - Evidence of Harm
  - Extent of Harm

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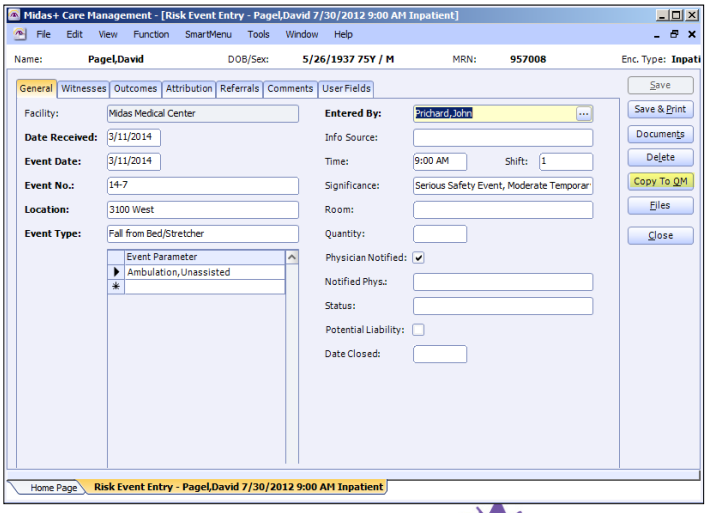
Copy to Quality



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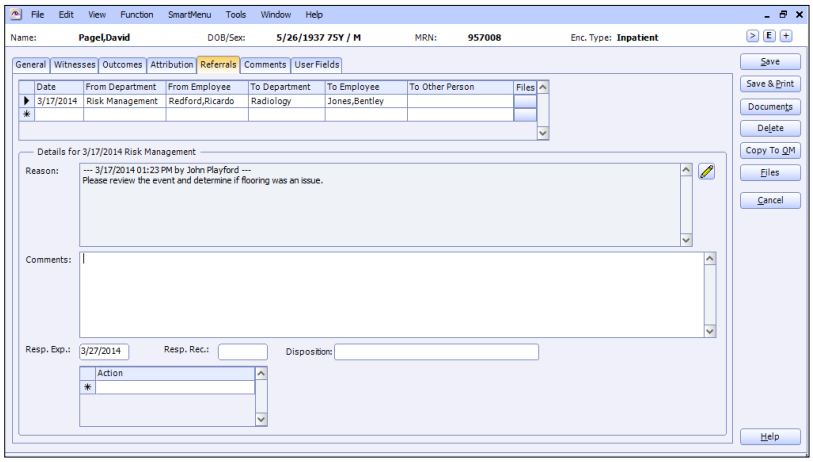
Referrals



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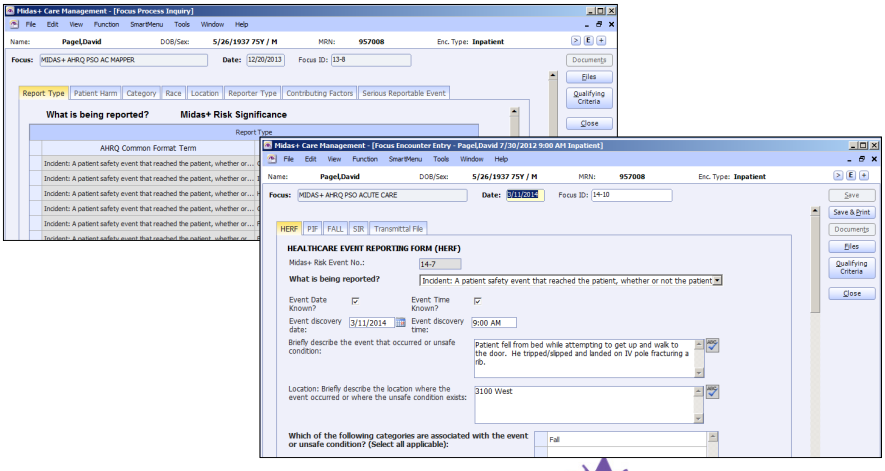
Part III – The PSO Toolkit



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The PSO Toolkit

- What is a PSO?
- What is the PSO Toolkit?
- How does it work?
- What do I need to do to implement it?

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What is a PSO?

A PSO is an entity or a component of another organization (component organization) that is listed by AHRQ based upon a self-attestation by the entity or component organization that it meets certain criteria established in the Patient Safety Rule.

The primary activity of an entity or component organization seeking to be listed as a PSO must be to conduct activities to improve patient safety and health care quality. A PSO's workforce must have expertise in analyzing patient safety events, such as the identification, analysis, prevention, and reduction or elimination of the risks and hazards associated with the delivery of patient care. See 42 CFR 3.102 for the complete list of requirements.

http://www.pso.ahrq.gov/psos/fastfacts.htm#ff01

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What is the purpose of a PSO?

The Patient Safety Rule establishes a framework by which hospitals, doctors, and other health care providers may voluntarily report information to PSOs, on a privileged and confidential basis, for the aggregation and analysis of patient safety events.

The Patient Safety Rule outlines how PSOs can be a source of confidential and privileged external advice for health care providers seeking to understand and minimize the risks and hazards in delivering patient care.
http://www.pso.ahrq.gov/psos/fastfacts.htm#ff01

What are the benefits to health care providers who work with a PSO?

PSOs serve as independent, external experts who can collect, analyze, and aggregate PSWP locally, regionally, and nationally to develop insights into the underlying causes of patient safety events. Communications with PSOs are protected to allay fears of increased risk of liability because of collection and analysis of patient safety events.

The protections of the Patient Safety Rule enable PSOs that work with multiple providers to routinely aggregate the large number of patient safety events that are needed to understand the underlying causes of patient harm from adverse events and to develop more reliable information on how best to improve patient safety.
http://www.pso.ahrq.gov/psos/fastfacts.htm#ff01

What is the PSO Toolkit?

The AHRQ PSO Event Reporting Toolkit is a package of components that can be installed on version 8.0 or newer of Midas+ to allow data entry and reporting on patient safety events to a contracted Patient Safety Organization (PSO). The package includes three Focus Definitions, four dictionaries, two Standard Reports, and various routines and utilities. The questions and allowable answers in the Encounter Focus are specified by AHRQ, as is the report that is eventually sent to the PSO.

Components of the PSO Toolkit

- An encounter Focus Study called 'Midas+ AHRQ PSO Acute Care'
- A process Focus Study called 'Midas+ AHRQ PSO AC Unsafe Cond'
- A process Focus Study called 'Midas+ AHRQ PSO AC Mapper'
- Distributed Dictionaries
  - AHRQ PSO Common Format (#4000)
  - CDC Race & Ethnicity (#4001)
  - AHRQ SNOMED Terms (#4002)
  - PSO (#4005)
- Midas+ AHRQ PSO Acute Care Extraction File Standard Report
- Midas+ AHRQ PSO Acute Care Original Data Standard Report
- Virtual Worklist Target
- PSO Transmittal User Role

Non-Midas+ Components

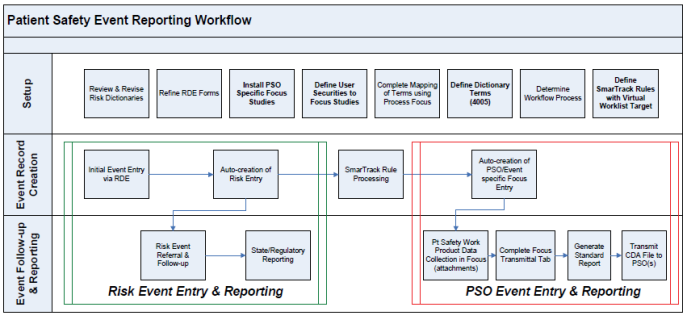
- Legal Counsel Advice
  - Define and document what is considered to be your Patient Safety Evaluation System (PSES) and Patient Safety Work Product (PSWP)
- Policy and Procedure Update
  - Identify those polices and procedures that need to be edited or those that need to be created due to new processes and protections.
- Contact or Contract with PSO
  - You can report to one or more PSOs.

Some assembly required

Midas+ AHRQ PSO AC Mapper
- Do I need to map terms?

Virtual Worklist Target
- Do I need to use the virtual worklist target functionality?
  - Better yet, what is the virtual worklist target functionality?

Midas+ Risk to PSO Data Flow



Standard Protection

Note that the original RDE entry and the auto-created Risk Event sit in this area and are available for internal performance improvement and mandatory reporting. The AHRQ Rule does not apply to data in this area. Only the System Manager, and those with special authorization, can identify the events that have been sent to the PSO, or access the data in the PSO event specific Focus.

AHRQ PSWP Protection

The Focus that is created by a SmarTrack rule is considered PSWP and is completed by the individual designated as part of the PSWP Team. Note that additional documentation can be attached to the Focus, and are also considered PSWP. The data here can be reported to the PSO, or at the discretion of the site, the PSO may access this data directly by logging into Midas+.

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Setup

Review & Revise Risk Dictionaries | Refine RDE Forms | Install PSO Specific Focus Studies | Define User Securities to Focus Studies | Complete Mapping of Terms using Process Focus | Define Dictionary Terms (4005) | Determine Workflow Process | Define SmarTrack Rules with Virtual Worklist Target

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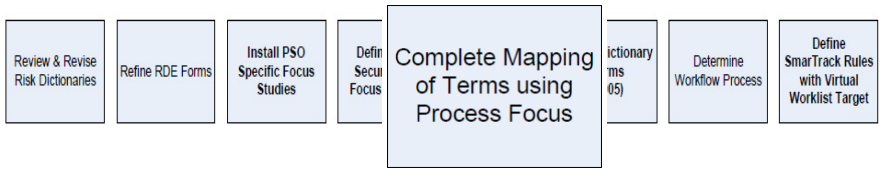
Mapping of Terms



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Mapping of Terms

Question	AHRQ Terms	Dictionary Name (Code)
What is being reported?	All related	Significance (106)
Was there any evidence of harm to a patient at the time of this report?	Yes only	Significance (106)
After discovery of the incident, what was the extent of harm to the patient?	All related	Significance (106)
Which of the following categories are associated with the event or unsafe condition?	All related	Risk Event Class (192)
Where did the event occur, or, if an unsafe condition, where does it exist?	All related	Location (5)
Who reported the event or unsafe condition?	All related	Info Source (97)
What factor(s) contributed to the event?	All related	Risk Parameters (139)
Was the event a Serious Reportable Event?	Yes only	Risk Outcome (36)
What was the applicable Serious Reportable Event?	All related	Risk Event Class (192) **or** Risk Event Type (8)
What is the patient's race?	All related	Registration: Ethnic Group (166)

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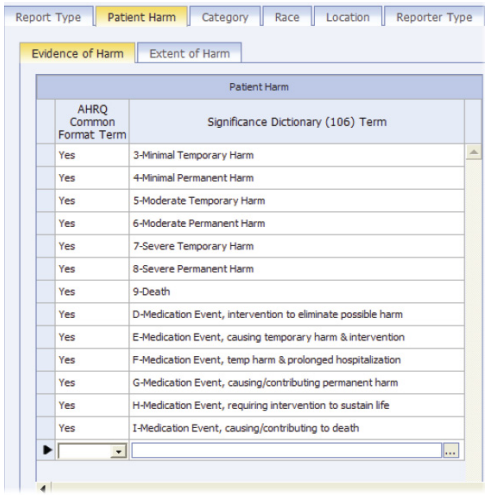
Mapping of Terms



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Fields that will populate without mapping

PSO Focus term	Copy from
Anonymous reporter?	Risk:Entered by if RDE,Risk@
Anonymous reporter?	Risk:Entered by if not RDE,Risk@ OR null
Description of event or unsafe condition	Risk:Comments
Description of location of event or unsafe condition	Risk:Location
Event discovery date?	Risk:Event Date
Event discovery time?	Risk:Event Time
Hispanic or Latino Descent	Registration: Hispanic
Initial report date (Focus Date)	Risk: Last Update Date upon creation of PSO Focus
Midas+ Risk Event No.	Risk:Event No.
Patient age at event	Calculated based on Date of Event and Date of Birth
Principal diagnosis code at discharge	Encounter:Diagnosis Principal (Code)
Reporter's Email Address	Risk:Entered by Employee Dictionary: Email
Reporter's Job or Position	Risk:Entered by Employee Dictionary:Job Title
Reporter's Name	Risk:Entered by Employee Dictionary: Name
Reporter's Phone	Risk:Entered by Employee Dictionary: Telephone

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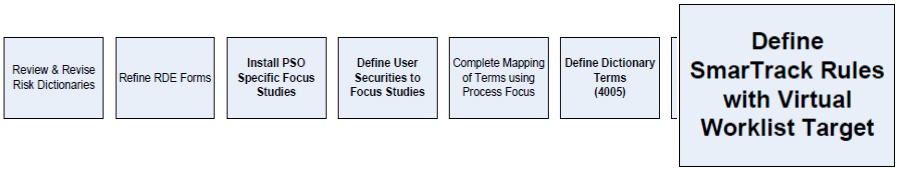
Minimum Data Elements Required by AHRQ

Data Element ID	Data Element Name
DE4	PSO OID
DE1	Provider ID
DE2	Event ID
DE3	Report type
DE21	Category(s) associated with event or unsafe condition
DE30	Initial report date
DE42	Patient gender
DE47	Patient date of birth*
DE45	Patient age*

** Either Patient date of birth (DE47) or Patient age (DE45) are required as part of the Validation Data Set.*

AHRQ Common formats Technical Specifications Version 1.2 – April 2012 – Implementation Guide

Virtual Worklist Target



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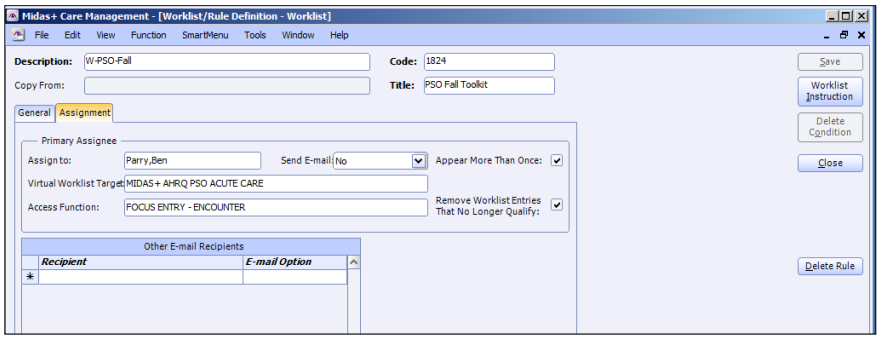
What is a virtual Worklist target?

Define the Worklist rule to trigger only after all applicable mapped data fields have been entered.

In the Virtual Worklist Target field, select the AHRQ PSO Acute Care Focus Study option.



The Virtual Worklist Target

In review:

- An Event takes place and is entered into an RDE Form
- The RDE form creates a Risk Event within Midas+ upon Save.
- When all appropriate fields are completed in the Event the Virtual Worklist Target creates an entry in the PSO Focus Study. This entry includes those fields listed earlier that are mapped as well as the list of fields that do not need to be mapped.
- The worklist also creates a traditional worklist within Midas for processing those entries in the toolkit.

Let's take a look inside one of these Focus Studies.

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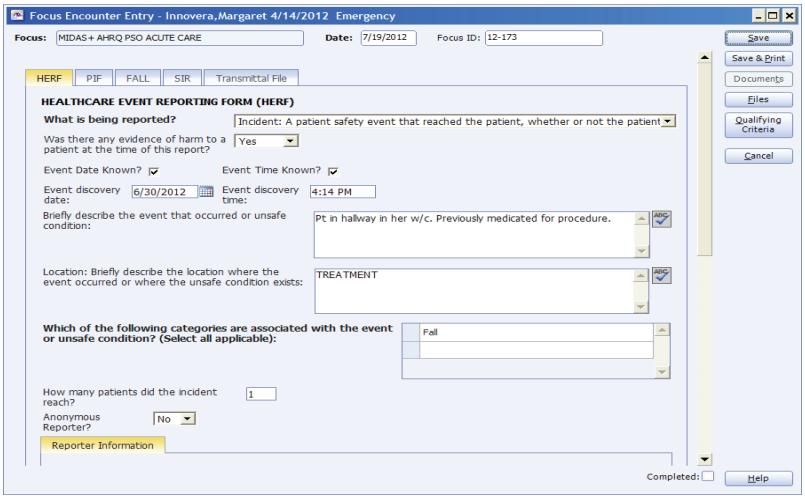
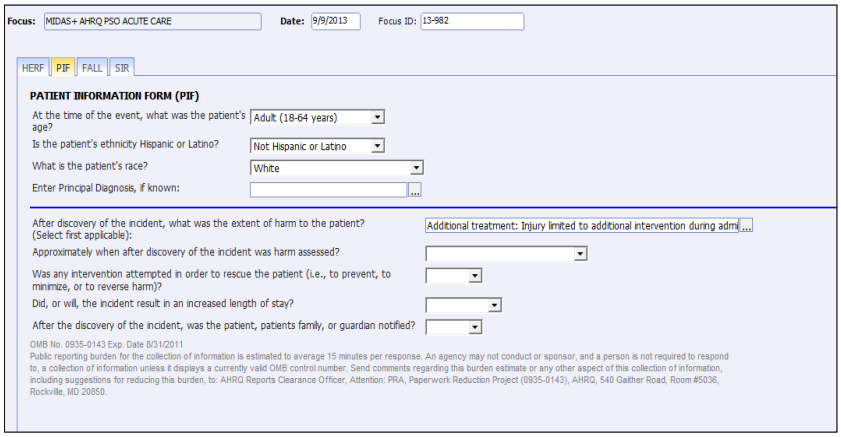
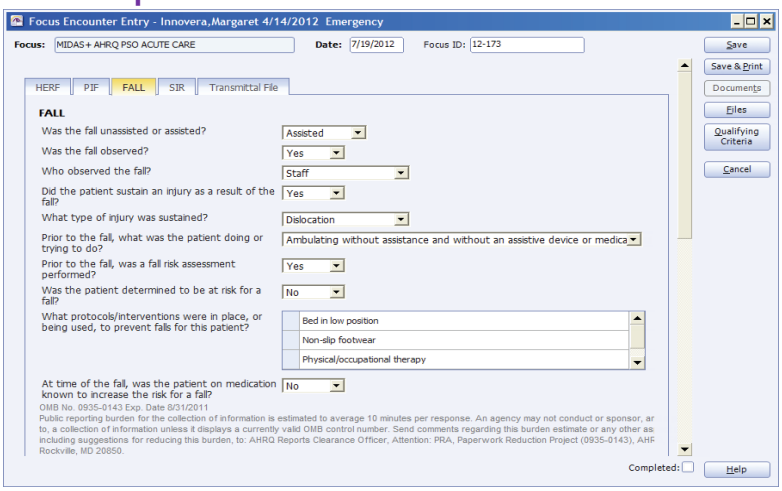
HERF


Focus Encounter Entry - Innovera,Margaret 4/14/2012 Emergency
Focus: MIDAS+ AHRQ PSO ACUTE CARE
Date: 7/19/2012
Focus ID: 12-173
Save
Save & Print
Documents
Files
Qualifying Criteria
Cancel
HERF
PIF
FALL
SIR
Transmittal File
HEALTHCARE EVENT REPORTING FORM (HERF)
What is being reported?
Incident: A patient safety event that reached the patient, whether or not the patient
Was there any evidence of harm to a patient at the time of this report?
Yes
Event Date Known?
Event Time Known?
Event discovery date:
6/30/2012
Event discovery time:
4:14 PM
Briefly describe the event that occurred or unsafe condition:
Pt in hallway in her w/c. Previously medicated for procedure.
Location: Briefly describe the location where the event occurred or where the unsafe condition exists:
TREATMENT
Which of the following categories are associated with the event or unsafe condition? (Select all applicable):
Fall
How many patients did the incident reach?
1
Anonymous Reporter?
No
Reporter Information
Completed:
Help

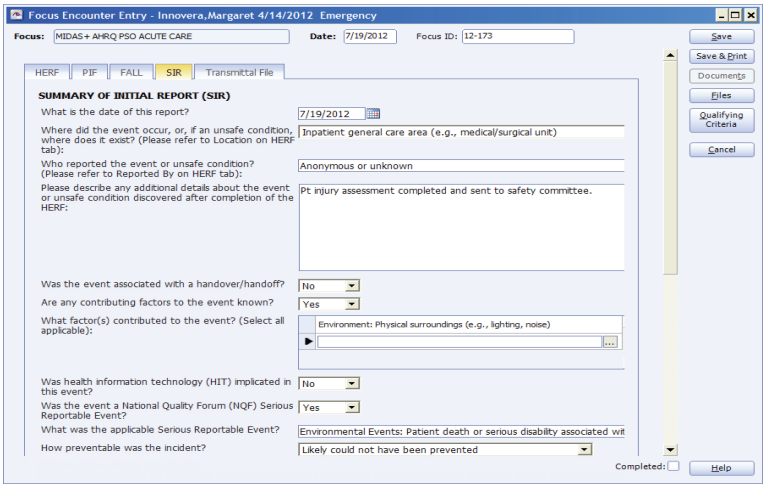
PIF


Focus: MIDAS+ AHRQ PSO ACUTE CARE
Date: 9/9/2013
Focus ID: 13-982
HERF
PIF
FALL
SIR
PATIENT INFORMATION FORM (PIF)
At the time of the event, what was the patient's age?
Adult (18-64 years)
Is the patient's ethnicity Hispanic or Latino?
Not Hispanic or Latino
What is the patient's race?
White
Enter Principal Diagnosis, if known:
After discovery of the incident, what was the extent of harm to the patient? (Select first applicable):
Additional treatment: Injury limited to additional intervention during adm
Approximately when after discovery of the incident was harm assessed?
Was any intervention attempted in order to rescue the patient (i.e., to prevent, to minimize, or to reverse harm)?
Did, or will, the incident result in an increased length of stay?
After the discovery of the incident, was the patient, patients family, or guardian notified?
OMB No. 0935-0143 Exp. Date 8/31/2011
Public reporting burden for the collection of information is estimated to average 15 minutes per response. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: AHRQ Reports Clearance Officer, Attention: PRA, Paperwork Reduction Project (0935-0143), AHRQ, 540 Gaither Road, Room #5036, Rockville, MD 20850.

Event-specific Tab



SIR Tab



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The PSO Toolkit

Now that I have:

- RDE forms set up
- Risk Module set up
- Selected a PSO
- Terms mapped in the focus
- SmarTrack Worklist with Virtual Worklist Target set-up
- Data is flowing into the AHRQ PSO

I'm done, right? Everything is now on Autopilot and time to hit the pool?

Don't put your flip-flops on just yet.

Maybe we better look back at the flow of data again.

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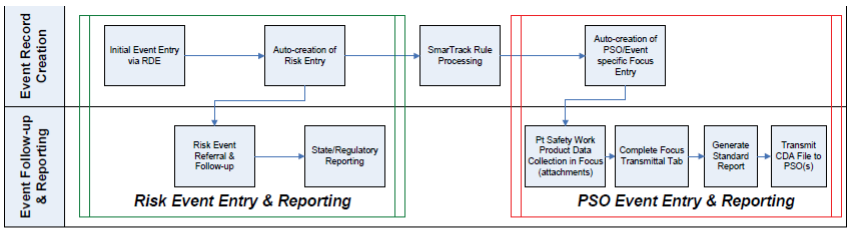
The PSO Toolkit



Standard Protection

Note that the original RDE entry and the auto-created Risk Event sit in this area and are available for internal performance improvement and mandatory reporting. The AHRQ Rule does not apply to data in this area. Only the System Manager, and those with special authorization, can identify the events that have been sent to the PSO, or access the data in the PSO event specific Focus.

AHRQ PSWP Protection

The Focus that is created by a SmarTrack rule is considered PSWP and is completed by the individual designated as part of the PSWP Team. Note that additional documentation can be attached to the Focus, and are also considered PSWP. The data here can be reported to the PSO, or at the discretion of the site, the PSO may access this data directly by logging into Midas+.

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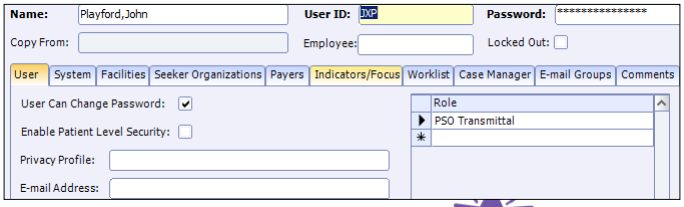
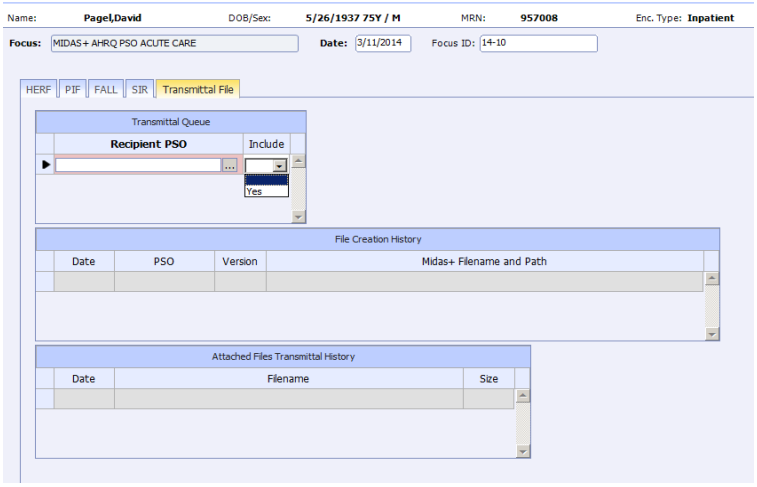
Completing and Preparing Event for Submission

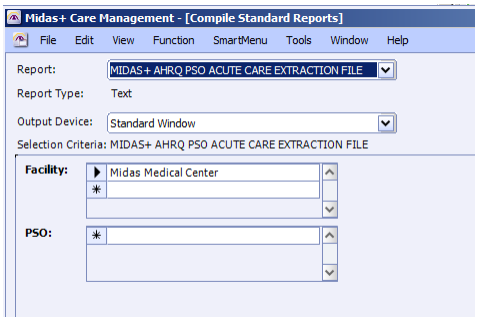
- I can submit the data without any additional input – however – we recommend completion of the Focus Study.
- Security will need to be granted (role assigned) to an individual in order to have the power to select those events to be submitted (PSO Transmittal Role).
- With additional security, the user will now have access to compile a standard report containing all events flagged for submission since last created.



Transmittal Tab



Generating the extraction file



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Once extraction is complete

Midas+ displays a printable report indicating that the extraction is complete.

```
5/31/2011                    MidasPlus 2011.2.0 Area                    PAGE 1
12:10 pm                  Midas+ PSO AC Extraction File
                        Facility: Midas+ General Hospital
                                  PSO: State PSO
                              Compiled By: Barnes,Jennifer
--------------------------------------------------------------------------------
File Path/Name                                                            Size
--------------------------------------------------------------------------------
F:\midas\midshare\midas extraction files\TEST\AHRQ PSO AC\STATE PSO\J\20110531\  28.8 KB
11-8388\P0001-20110531-11-8388.xml
F:\midas\midshare\midas extraction files\TEST\AHRQ PSO AC\STATE PSO\J\20110531\  27.4 KB
11-8389\P0001-20110531-11-8389.xml
```

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Does Midas Transmit My Files?

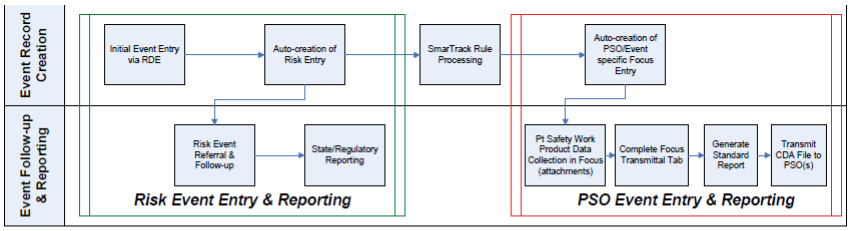
- There is no standard process for submission
- You must contact your PSO for instructions

What About Unsafe Conditions?

- Midas+ provides a process Focus entitled:
  - Midas+ AHRQ AC UNSAFE COND

This Process Focus Study is where one manually collects data that pertains to non-events, but conditions that may allow for an event or near-miss to occur

A Retrospective Look at Our Journey



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Thanks for attending. Are there any questions?

John Playford, Senior Solutions Advisor
John.Playford@Xerox.com

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