

Policy and Procedure Development: Risk Control Recommendations

The following risk control suggestions can serve as a starting point for healthcare business owners seeking to assess and improve their policy-making process. For additional risk control tools and information, visit the websites of [CNA](#), [NSO](#) and [HPSO](#).

RISK MANAGEMENT STRATEGIES	YES/NO	COMMENT/ACTION PLAN
DRAFTING POLICIES AND PROCEDURES		
When drafting policies and procedures, leadership is careful to:		
<ul style="list-style-type: none"> - Follow an approved template, style and format. 		
<ul style="list-style-type: none"> - Focus on patient/client safety issues. 		
<ul style="list-style-type: none"> - Write at an accessible, non-expert level to maximize readership. 		
<ul style="list-style-type: none"> - Use clear and concise language. 		
<ul style="list-style-type: none"> - Link new policies and procedures to other organizational documents. 		
<ul style="list-style-type: none"> - Comply with federal and state regulations. 		
<ul style="list-style-type: none"> - Assign specific responsibilities to staff categories rather than named individuals. 		
<ul style="list-style-type: none"> - Create statements that are informative, self-explanatory, practical and realistic. 		
<ul style="list-style-type: none"> - Avoid conflicting or interfering with existing practices and protocols. 		
MAINTENANCE OF POLICIES AND PROCEDURES		
Existing policies and procedures are reviewed on a regular basis to ensure their effectiveness and alignment with actual practice.		
Dates of policy implementation, review and revision are documented.		
RETENTION OF POLICIES AND PROCEDURES		
Policy statements are retained for a set period in conformity with federal, state, local and institutional requirements.		
Outdated or modified policies and procedures are properly archived for later retrieval in case of litigation.		
STAFF EDUCATION		
Relevant policies and procedures are provided to newly hired staff during initial orientation.		
Staff members review policies and procedures on a regular basis and acknowledge in writing that they have read them and understand them.		
Staff members are educated about new or revised policies and procedures prior to their implementation.		
All records concerning staff education about policies and procedures are retained in personnel files.		