



**ST JOHN OF GOD
BALLARAT HOSPITAL**

*ASSIGNMENT 3
RECORDKEEPING RISK
ASSESSMENT*



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INTRODUCTION TO ORGANISATION

Established in 1915 by the Sisters of St John of God.



**Domain
Private Healthcare**



Mission and Vision

**Recognized for care by
providing healing, hope and
greater sense of dignity to
those in need**

**Continue the healing mission
of Jesus**

**Located in Ballarat in
Victoria Region of
Australia**



Services offered

- **cardiac care**
- **emergency department**
- **surgery including day surgery**
- **maternity**
- **cancer care**
- **rehabilitation**
- **mental health.**

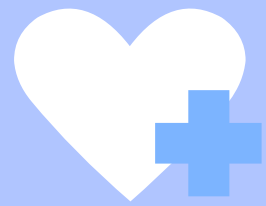
CONTEXT OF RECORDKEEPING IN THE ORGANISATION

- Continuity of care
- Compliance with healthcare regulations
- Billing Process
- Monitor and Enhance Quality
- Ensure Data Accuracy and Integrity
- Informed Patient Decision
- Maintain Healthcare Standards

Digital Records
via Telstra Health (Telstra, 2015)

Paper Records
are kept as scanned
records (St. John of God
Health Care, 2022)





TYPES OF RECORDS



Patient Care and Treatment Records

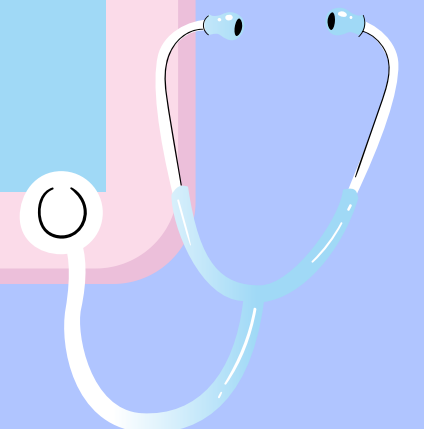
- Patient Health Records
- Prescription and Medicine Records
- Therapy Data Records
- Clinical Research Records
- Scanned Health Records

Legal and Compliance Records

- Health Insurance Records
- Health Compliance Records
- Patient Consent Forms

Digital and Administrative Records

- Patient Record



Specific Records



Health Insurance Records

Contain details about a patient's health insurance coverage, including policy numbers, coverage details, and claim history. Used by healthcare providers to verify eligibility and process claims for medical services provided to the insured individual



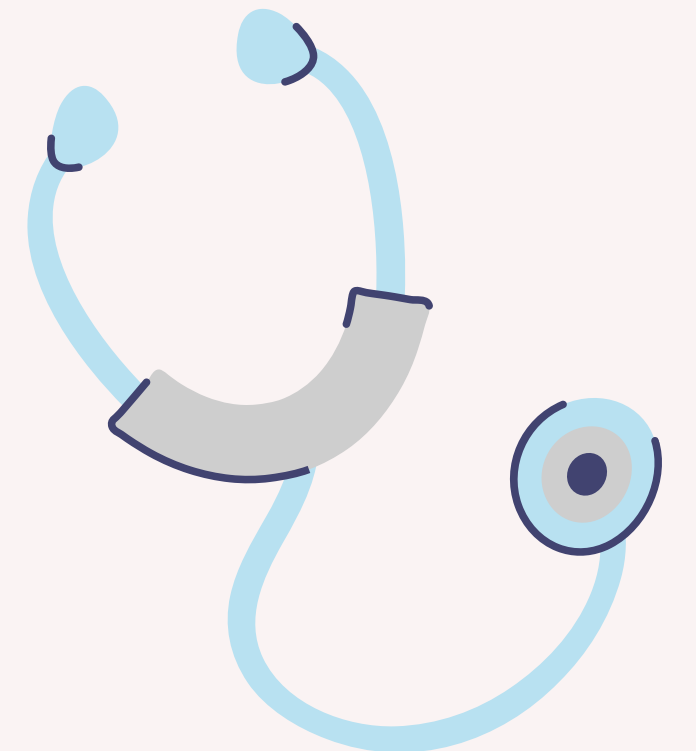
Scanned Health Records

Digital versions of traditional paper-based medical records. They include patient histories, diagnostic test results, and treatment plans, converted into electronic format for easier access and management.



Prescription and Medicine Records

Track prescriptions issued by healthcare providers and the medication provided to patients. They include information about the type, dosage, and duration of medications prescribed.



POTENTIAL RECORKEEPING RISKS

RISK-01

Unauthorized access and Data Breaches

Insurance records are prime targets for medical cyberattacks as it contains personal and financial information.

Unauthorized individual gaining access or an employee potentially exposing data can lead to these breaches.(Office of the Australian Information Commissioner, 2019.)

RISK-02

Loss of Records

Degradation can often occur for digital files as they become corrupt overtime. This primarily happens if no proper backups are kept or if the information are stored in sub optimal format. (Digital Preservation Coalition, 2015)

RISK-03

Compliance Violation

Scanned health records and health insurance records are properly validated. Compliance violation may occur if privacy act are not followed according to Australian Privacy Principles (APPs).(The Royal Australian College of General Practitioners, 2017)

RISK-04

Malpractice Copy-Pasting Risks

Common risk with electronic health records such as prescription record is copy pasting incorrect and outdated medical information. (Al Bahrani & Medhi, 2023)

RISK-05

Integrity Issues.

When Scanned records are created from paper to digital, there's a risk of information being lost or corrupted. This issues often occur if protocols are not followed to consistently record, manage and access these records

IMPACT RECORDKEEPING RISKS

IMPACT-01

Unauthorized access and Data Breaches

- Identity theft
- Fraud
- Damage to Organization's reputation
- Financial Loss

Anthem Data Breach of 2015 (Synopsis, n.d.)

IMPACT-02

Loss of Records

- Incorrect Diagnoses
- Delayed Treatment
- Inappropriate Medical Prescriptions
- Loss of Medical History

IMPACT-03

Compliance Violation

- Inaccuracy in health records
- Heavy financial loss
- Legal Repercussions
- Erode Patients trust
- Damage to Patients Health and Safety

IMPACT-04

Malpractice Copy-Pasting Risks

- Accuracy of patient records
- Patient Safety
- Outdated information
- Incorrect patient care and treatment plans

2014 Ebola Case in Dallas (WFAA, 2014)

IMPACT-05

Integrity Issues

- Medication Errors
- Increased Costs
- Compromised Patient Safety
- Operational Inefficiencies

RISK ASSESSMENT EVALUATION AND TREATMENT

Likelihood	Consequence				
	Negligible/ Insignificant 5	Low/ Minor 4	Medium/ Moderate 3	Major/ Very High 2	Catastrophic/ Extreme 1
E (Rare) - 5	25	20	15	10	5
D (Unlikely) - 4	20	16	12	8	4
C (Moderate) - 3	15	12	9	6	3
B (Likely) - 2	10	8	6	4	2
A (Almost Certain) - 1	5	4	3	2	1

Risk 01:

Unauthorized access and Data Breaches

Consequence: Major/Very High(2)

Likelihood: Moderate(3)

Risk Score: 6

Justification

The consequence rating for this risk would be very high(2) as this will definitely draw media attention. Huge financial issues would occur if regulatory measures are not undertaken.

Likelihood of this risk is Possible(C) given that Telstra Health has a good reputation of maintaining the records efficiently. However due to an infrastructure or employee error this risk may occur

TREATMENT:

There are two possible treatments:

Since the rating of risk falls in Red we would have to Change the likelihood of the risk. This can be done by taking measures such as Multi Factor Authentication or hiring an inhouse cybersecurity Engineer.(Cynet, n.d.)

Another way to solve this is to share the risk with a third party vendor which is Telstra Health for all records that come in Saint John God of Ballarat.

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Risk 02:

Loss of Records

Consequence: Low/Minor(4)

Likelihood: Almost Certain(1)

Risk Score: 4

Justification

The consequence rating for this risk would be low/minor(4) as this will affect the quality of the work but the record itself will still be available

The likelihood of this occurring is Almost Certain(A) as the whole process is meant to occur at some point. Moreover, according to the Annual Report in 2022-2023 these scanned records are still relatively new so the effect might not be visible yet.

TREATMENT

The possible treatment for this record is to —
Change the likelihood of the risk as degradation of quality can often occur for all forms of records. However by following protocols such as correct formatting and proper backups this risk can be minimized.

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Risk 03:

Compliance Violation

Consequence: Catastrophic/ Extreme(1)

Likelihood: Rare (5)

Risk Score: 5

Justification

The consequence rating for this risk would be Catastrophic/ Extreme(1) it will cause regulatory issues with business requirements.

Likelihood of this risk is Rare(E) as Saint John God of Ballarat Hospital has certain compliance rules that are mentioned in their websites.

TREATMENT:

Avoid the Risk is the only possible treatment for this risk as this may cause organizational damage. Proper measures should be followed to secure and Monitor all Protected Health Information(PHI).(PracticeMatch, n.d.)

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Risk 04:

Malpractice Copy-Pasting Risks

Consequence: Negligible/Insignificant (5)

Likelihood: Likely (2)

Risk Score: 10

Justification

The consequence rating for this risk would be negligible/insignificant(5) as most of the actions would be because of out dated information

Likelihood of this risk is Likely(B) as copy pasting is a common practice in prescription and medicine.

TREATMENT

Retain/accept the risk after careful consideration is Possible treatment to mitigate copy pasting risks.Proper protocols should be followed as this risk can't be completely mitigated since it is a common practice among health professionals.(Al Bahrani & Medhi, 2023)

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Risk 05:

Integrity Issues

Consequence: Low/Minor (4)

Likelihood: Likely (2)

Risk Score: 8

Justification:

The consequence rating for this risk would be low/minor(4) as some key information might get lost due to transfer from paper to digital

Likelihood of this risk is Likely(B) as moving from paper to scanned records often causes issues with missing information.

TREATMENT

The only possible treatment for this record is to – Retain/accept the risk after careful consideration as scanned record often have missing information which cannot be correctly transferred to the paper due to the limitations of the scanner. Proper validation check can be done so that the risk is accepted after validation.

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