

## Risk Management Plan Review Tool

Facility: \_\_\_\_\_ Date of Review: \_\_\_\_\_ Reviewer: \_\_\_\_\_

Regulation & Code	Regulation	Yes	No	Comments
<b>R0800 Risk Management (RM) Requirements KAR 28-52-1(a)</b>	<b>HAVE A FACILITY WIDE PLAN:</b> Each medical care facility shall establish a written plan for RM and patient care quality assessment <i>on a facility-wide basis.</i>			
<b>R0801-RM Annual Review of Plan KAR 28-52- 1(b)</b>	<b>PLAN APPROVAL:</b> The plan shall be approved and reviewed annually by the facility's governing body.			
<b>R0802 RM, KAR 28-52 - 1(c)</b>	<b>TRACKING THROUGH THE RM PROCESS:</b> Findings, conclusions, recommendations, actions taken, and results of actions taken shall be documented and reported through procedures established within the risk management plan.			
<b>R0803 RM, Quality Review of Contractors, KAR 28-52-1(d)</b>	<b>CONTRACTORS and CONSULTANTS:</b> All patient services, including those part-time services provided by outside contractors or consultants shall be periodically reviewed and evaluated <i>in accordance with the plan.</i>			
<b>R0804 RM, Plan Format KAR 28-52-1(e)(i)</b>	<b>PLAN FORMAT: Investigation and analysis:</b> Section I-A description of the system implemented for investigation and analysis of frequency and causes of reportable incidents.			
<b>R0805 RM, Plan Format KAR-28-52-1(e)(2)</b>	<b>PLAN FORMAT: Plan to minimize # of incidents</b> Section II-A description of measures used to minimize the occurrence of reportable incidents and the resulting injuries.			
<b>R0806 RM, Plan Format KAR-28-52- 1(e)(3)</b>	<b>PLAN FORMAT: Report directly to Adm, RM, Chief of MS:</b> Section III-Implementation of a reporting system based upon the duty of all health care providers to report reportable incidents to the: Chief Administrative Office; Chief of the medical staff; Risk Manager			
<b>R0807 RM Plan Format KAR-28-52-1(e)(4)(a)(b)</b>	<b>PLAN FORMAT: Demographic information:</b> Section IV-A description of the organization elements of the plan including: (A) Name and address of the facility (B) Name and title of the facility's Risk Manager			
<b>R0808, RM Plan Format KAR-28-52-1(e)(4)(c)</b>	<b>PLAN FROMAT: Medical Staff Involvement:</b> Section IV-Involvement of the medical staff in RM: Names and Titles of medical staff members involved in the RM process.			
<b>R0809, RM Plan Format KAR-28-52-1(e)(4)(d)</b>	<b>PLAN FORMAT: Organizational Chart:</b> Organizational chart indicating the position of the facility's review committee.			
<b>R0810, RM Plan Format KAR-28-52-1(e)(4)(e)</b>	<b>PLAN FORMAT: Report quarterly to KDHE:</b> Mechanism for quarterly reporting of incidents to KDHE			
<b>R0811, RM Plan Format KAR-28-52-1(e)(5)</b>	<b>PLAN FORMAT: Resource allocation to RM:</b> A description of resources allocated to implement the plan.			
<b>R0812, RM Plan Format KAR-28-52-1(e)(6)</b>	<b>PLAN FORMAT: Governing Body Annual Approval:</b> Documentation that the plan was approved by the governing body.			
<b>R0813, RM Plan Format KAR-28-52-1(t)</b>	<b>PLAN FORMAT: Plan submittal.</b> Any revisions are to be submitted to KDHE for approval.			

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<b>R0815, RM Plan Format KAR-28-52-1(i)</b>	<u>PLAN PUBLICATION: Staff Education.</u> The plan shared with the staff in accordance with the plan.			
<b>R0816, RM Plan KAR-65-4921(1)</b>	<u>DEFINITIONS: Reportable Incidents. Definitions of SOCs</u>			
<b>R0817, RM Plan KAR-65-4921(g)</b>	<u>RISK MANAGER:</u> Definition-designated by facility to administer the RM Program and receive reports.			
<b>R0819, RM Reporting Requirements: KAR-65-4923(a)(2)</b>	<u>REPORTING REQUIREMENTS:</u> RM= Committee=State=agency			
<b>R0820, Quarterly Reporting Requirements: KAR-65-4923(a)(3)</b>	<u>QUARTERLY REPORTING REQUIRMEENTS:</u> RM=Committee			
<b>R0821, RM, Impaired Providers KAR-65-4924(a)</b>	<u>IMPAIRED PROVIDERS</u> -Reporting of.			
<b>R0822, Confidentiality of Reports and Records: KAR-65-4925(a)</b>	<u>REPORTS AND RECORDS ARE CONFIDENTIAL</u>			
<b>R0823, Employer Retribution KAR-65-4928(a)(b)</b>	<u>PROTECTION NO RETRIBUTIONS FOR REPORTING</u>			
<b>R0824, Incident Reporting KAR-28-52-2(a)</b>	<u>INCIDENT REPORT FORM</u>			
<b>R0825, Report sent directly to . . KAR-28-52-2(a)</b>	<u>REPORT SENT DIRECTLY TO ONE OF THE THREE PEOPLE</u>			
<b>R0826, Incident Reporting KAR-28-52-2(b)</b>	<u>ACKNOWLEDGE REPORT:</u> date stamp, log it in, or database			
<b>R0827, Incident Reporting KAR-28-52-2 (c)</b>	<u>MAINTAINING RM FILES, RECORDS, etc. for ONE YEAR</u>			
<b>R0828 RM Committee KAR-28-52-3 (a)</b>	<u>RM COMMITTEE</u> - Making SOC determinations. Delineated in the RM plan as approved by the governing body.			
<b>R0829 RM Committee KAR-28-52-3 (b)</b>	<u>RM COMMITTEE</u> - Meets at least quarterly.			
<b>R0830-SOCs KAR-28-52-4(a)</b>	<u>STANDARD OF CARE DETERMINATIONS</u> -Analysis of incidents.			
<b>R0831-SOCs KAR-28-52-4(a)(1) thru (4)</b>	<u>STANDARD OF CARE DETERMINATIONS</u> -I-4 SOC's			

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R0832-SOCs: KAR-28-52-4(b)	SOC Each reported incident shall receive a SOC.			
R0833-SOCs KAR-28-52-4(d)	<u>SEPARATE SOC</u> s. Made for each provider & issue.			
R0834-SOCs KAR-28-52-4(b)	<u>REPORTING TO APPROPRIATE LICENSING AGENCY</u>			
R0835-SOCs- KAR-28-52-4(c)	SOC-Dated and signed by authorized individual			
R0836-SOCs- KAR-28-52-4(c)	SOC-Documented in minutes.			
R0837-SOCs- KAR-28-52-4(c)	SOC-Approval by RM Committee at least on a statistical basis.			