



Kansas Department of Health and Environment

Health Facilities Program

1000 SW Jackson, Suite 330, Curtis State Office Building, Topeka, Kansas 66612-1365

2016-2017 ANNUAL RISK MANAGEMENT REPORT

The Risk Management Program under the Kansas Department of Health and Environment (KDHE) is administered by the Health Facilities Program (HFP) under the direction of the Health Facilities Program Director Jim Perkins.

The Risk Management Program is driven by State Statutes and Regulations and is funded by both the Health Care Stabilization Fund (HCSF) and KDHE.

The identified objectives that the KDHE Risk Manager brought forward were to share and achieve the following RM goals and objectives:

- ✓ **Identify the new KDHE Risk Manager**
- ✓ **Describe the KDHE Risk Management approach and philosophy**
- ✓ **Identify changes and important tasks/dates regarding Risk Management**

The identified approach and philosophy being promoted to the Risk Managers were the following:

- ✓ **Just Culture**
- ✓ **Root Cause Analysis (RCA)**
- ✓ **Strong Investigative Methodologies such as 5W1H**
- ✓ **KDHE is a trusted advisor and partner in healthcare**

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Because changes in 2016 brought a new Risk Manager to the program, several goals were identified as areas of focus for this first year. Risk Managers across the State of Kansas at medical care facilities licensed as Hospitals, Critical Access Hospitals (CAHs) and Ambulatory Surgical Centers (ASCs) were requesting support, guidance, training, and consistency within the RM Program.

Areas that were requesting attention and requiring changes and important tasks/dates regarding RM:

- ✓ Reporting
 - ✓ Forms
 - ✓ When to use and which one?
- ✓ Referrals
 - ✓ Who do I report to?
 - ✓ When and why?
- ✓ RM Incidents and Complaints
 - ✓ Are they the same?
 - ✓ Do I treat them the same?

There are approximately 325-350 Risk Management Programs located within the State of Kansas. Each has an assigned Risk Manager who is responsible for the management of their risk and reporting; some wear multiple hats and some have multiple facilities. Each program has unique configuration elements and may have team support or be a one-person show. The position can be extremely challenging and historically speaking there can be a great deal of turnover in these positions.

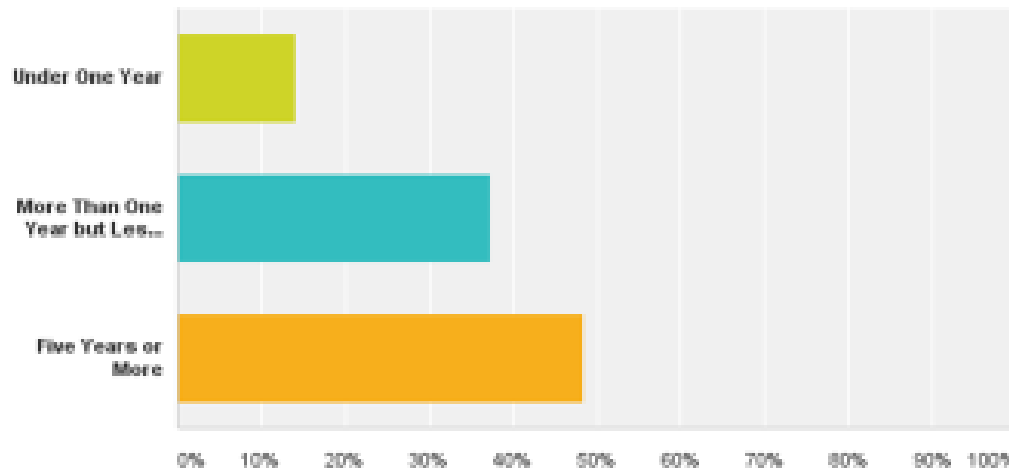
A KDHE Survey Monkey was sent out to help them identify some of the needs that they had in support of their efforts and the following are those results:

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Data Capture: How long have you been a Risk Manager?

KDHE RM Survey Data

Half of RMs have been in the position for 5 or more years.



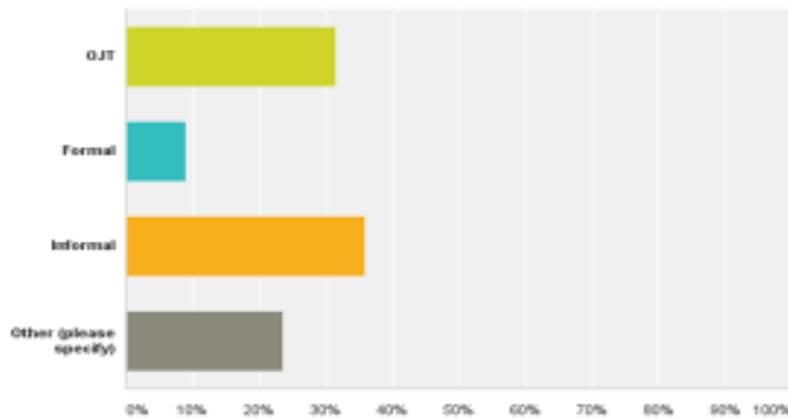
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KDHE RM Survey Data

Training is a key need.



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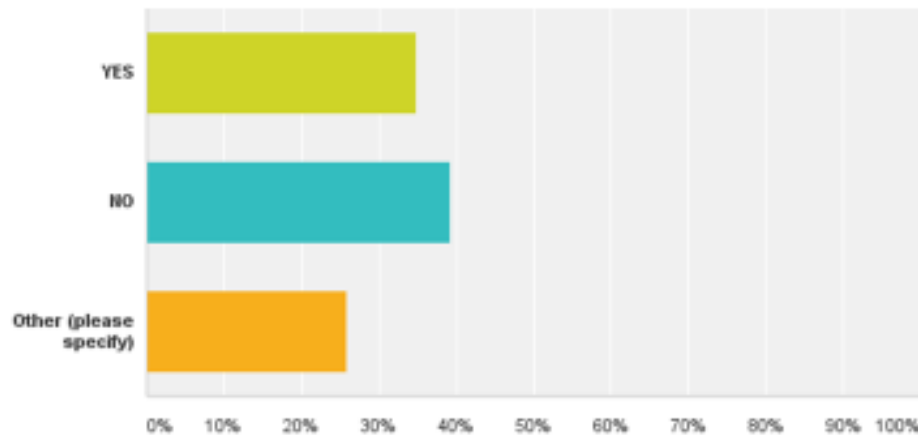


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Data Capture: What would assist in completion of your job?

KDHE RM Survey Data

Policies and procedures are needed.



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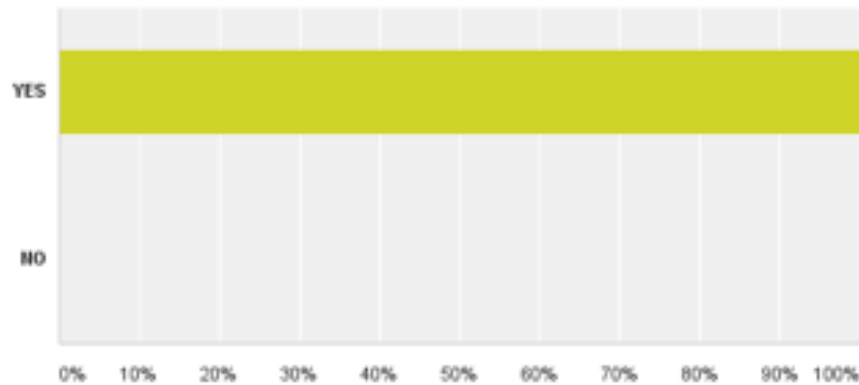


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Data Capture: What would you like from KDHE Risk Management Program?

KDHE RM Survey Data

Training and Resources from KDHE RM



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Annual Risk Management Report for Fiscal Year 2016-2017

FY 2016 - 2017 RISK MANAGEMENT REPORT

CATEGORY	III	IV	III+IV	BD H A	NURS	PHAR	OTHER	KDHE	TOTAL REFERRALS
2016 3rd Qtr	34	26	60	15	31	0	8	4	58
2016 4th Qtr	57	21	78	6	49	3	6	9	66
2017 1st Qtr	52	21	73	11	43	1	9		64
2017 2nd Qtr	51	32	83	13	57	12	32		114
TOTALS	194	100	294	45	180	16	55	13	309

In summary, Risk Managers were polled and shared some outstanding needs that they were requesting support from the KDHE Risk Management Program. There were concerns of changes in personnel, inconsistencies in forms, processes and procedures as well as reporting requirements and Risk Management Plan requirements.

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Once armed with this information, the KDHE Risk Manager began methodically reviewing and updating forms and processes and procedures to address these concerns. The first was with reporting forms and instructions for each type of reporting. As reflected in Figure 1.0 above, the trend is clear that with additional support and partnership from the KDHE Risk Manager—reporting and referrals increased. This has enabled and empowered the Risk Managers to better mitigate as well as remediate any identified risk within their medical care facilities.

Additionally, with meetings with other licensing agencies to align sights and increase collaboration, it was also determined that there was substantial assurance with compliance of referrals to the other appropriate licensing agencies. With this helpful determination, it is now only necessary to collect data points with each reported finalized Standard of Care (SOC) 3 and/or 4—which additional appropriate licensing agency or agencies had referrals completed for.

Looking forward, the checklist for the Risk Management Plan (RMP) review has been updated and was extremely well received. The majority of all of the Risk Management documents have been updated and are all online located on the KDHE website at: http://www.kdheks.gov/bhfr/state_ach_licensure_forms.html under Risk Management.

The Risk Management Plan process and procedure was updated to best mirror the statutory and regulatory requirements. Goals and objectives are being developed and addressed for the 2017-2018 Fiscal Year and the Risk Management Survey Monkey is prepared to be sent as an annual activity. ~ *Leda*

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Presenter Bio



- **New Risk Manager with Kansas Department of Health and Environment (KDHE).**
- **In this role, she manages all aspects of the Risk Management Program as part of her duties.**
- **Began in healthcare in 1982. Before joining KDHE in 2016, she worked for the last 17 years for a Global Corporation and was a full-time Risk Manager for the last 5 years.**
- **Leda's varied background in Healthcare Risk Management provides the perfect foundation for supporting your Risk Management efforts.**
- **She is passionate about the management of risk, and how it contributes to improving outcomes for patients and the institutions and professionals that serve them.**

Nelleda L. Faria, RN, BSN, MBA, PMP, CPHRM
Health Facility Surveyor- Risk Manager/ OASIS Education Coordinator
KDHE/BCHS/Health Facilities Program
1000 SW Jackson St., Suite 330
Topeka, KS. 66612-1365
Ph: 785-296-4714
Fax: 785-559-4250
Nelleda.faria@ks.gov

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