



Instructions for Completion of the KDHE Checklist for Risk Management Plan Review

1. The Medical Care Facility Risk Manager will complete all of the fields/ elements in blue and/or marked with an asterisk. The KDHE Checklist for Risk Management Plan Review will be the coversheet for the Risk Management Plan that must be submitted annually to KDHE as the licensing agency in its entirety a minimum of 60 days prior to the renewal of the medical care facility licensure with KDHE.
 - a. This includes the Year of the Plan
 - b. The Name and ID/ CCN of the Medical Care Facility
 - c. The Physical Address Location of the Medical Care Facility
 - d. The Name of the Risk Manager
 - e. The Page Location(s) for each Content Element
 - f. **You do not need to submit the RM Statutes and/or Regulations**
 - g. **The “Met” and “Not Met” boxes are for KDHE use only**

KDHE Statute/Regulation Content Elements	Page Location(s)*
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2. Upon completion of the review by the KDHE Risk Manager, any ‘Not Met’ content elements will be communicated to the Risk Manager for additions/ changes/ deletions, as applicable.
3. Upon re-submission by the Medical Care Facility Risk Manager, a re-view will be completed by the KDHE Risk Manager to make a final determination.
 - a. If the submitted RMP has all of the required content elements, the Risk Management Plan (RMP) will be approved for the year and not impede renewal of the medical care facility licensure.
 - b. If the submitted RMP will not be approved for the year, then the renewal of the medical care facility licensure will not be possible until the RMP is approved.
4. Note: The submission of the Risk Management Plan is to be completed no later than 60 days prior to the renewal of the medical care facility licensure. The preferred timeframe is 90 days prior to licensure renewal. This timeframe is to allow for review and adjustments as necessary prior to the licensure expiration.

Additional note: Your Governing Body approval is one of the required elements. This approval is required prior to KDHE submission for KDHE Risk Manager Review.

KSA 65-4922. Medical care facilities; risk management program required; submission of plan; inspections and investigations; approval of plan; reports and records confidential; KAR 28-52-1. General requirements.

* All asterisked elements are completed by the Medical Care Facility Risk Manager prior to submission with entire Risk

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KDHE Checklist for Risk Management Plan Review Year of _____ *

Submit 60 Days Prior to License Renewal Date/Month of _____ *

Name of Facility _____ * **CCN #17-** _____ *

Facility Address Location _____ *

Name of Risk Manager _____ **Email or RM** _____ *

Name of KDHE RM _____

Date Received in KDHE office _____ **Date Request Revision** _____ **Date of Approval** _____

KDHE Statute/Regulation Content Elements	Page Location(s)*	Met	Not Met Notes
The medical care facility has a Risk Management Plan (RMP) submitted to KDHE. Failure to submit such a plan shall result in denial of the renewal of the facility's license. KSA 65-4922; KSA 65-4921(a); KAR 28-52-1(a), (t)			
The current designated risk manager is named with contact information in the RMP. KAR 28-52-1(e)(4)(a)(b)			
The RMP includes the name and address of the medical care facility licensed by KDHE. KAR 28-52-1(e)(4)(a)(b)			
The RMP includes the governing body who reviews and approves the RMP on an annual basis. KAR 28-52-1(b)			
The RMP includes documentation that the governing body completed the annual review and associated approvals. KAR 28-52-1(b); KAR 28-52-1(e)(6)			
The RMP includes review and evaluation of all patient services whether provided by the medical care facility employees and staff or outside contractors or consultants. KAR 28-52-1(3); KAR 28-52-1(d)			
The RMP includes process of the publication and education of the plan to hospital or agency personnel. KAR 28-52-1(d); KAR 28-52-1(i)			
The RMP includes services provided by outside contractors or consultants. KAR 28-52-1(d)			
The RMP includes descriptive process of involvement of medical staff in the risk management processes. KAR 28-52-1(3); KAR 28-52-1(e)(4)(c)			
The RMP includes a description of the resources dedicated to implementation of the RMP. KAR 28-52-1(e)(5)			

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KDHE Statute/Regulation Content Elements	Page Location(s)*	MET	NOT MET/ NOTES
The RMP includes "Reportable incident" as defined per regulation. KSA 65-4921(f); KAR 28-52-4			
The RMP includes "Standard of care (SOC)" as defined per regulation. KSA 65-4921(1); KAR 28-52-4			
The RMP includes the name of the licensing agency of the medical care facility that they are required to report to. KSA 65-4921(a)/ (e); KSA 65-4923(b); KAR 28-52-1(E)			
The RMP includes descriptive process of confidentiality provisions and when used. (This includes anything not provided due to a conflict with KORA, et al.) KSA 65-4922(g);			
The RMP includes a descriptive process of the reporting system that is based upon the requirement of the duty of all health care providers, staff, agents, and employees of the medical care facility that are directly involved in the delivery of health care services to report 'reportable incidents'. KSA 65-4923(b); KAR 28-52-1(e)(3)			
The RMP includes a provision for no retaliation or retribution including discharge or discrimination against any employee making a report in good faith. KSA 65-4922(g); KSA 65-4923(a); KSA 65-4928(a)(b)			
The RMP includes an identified internal form (blank paper or electronic representation) for the internal reporting of 'reportable incidents' also called adverse events. KAR 28-52-2(a)			
The RMP includes a descriptive process where incidents are acknowledged and logged/ or tracked by the Risk Manager. KAR 28-52-2(b);			
The RMP includes the description of the system and process for the investigation and root cause analysis of each incident. KSA 65-4922(a); KAR 28-52-1(c); KAR 28-52-1(e)(1)			
The RMP includes the descriptive procedures for the investigation and analysis of the frequency and causes of reportable incidents. KSA 65-4922(a); KAR 28-52-1(c); KAR 28-52-1(e)(1)			
The RMP includes the description of the procedures for documenting and reporting findings, conclusions, recommendations, actions taken, and the results of those actions taken. KSA 65-4922(a); KAR 28-52-1(c); KAR 28-52-1(e)(1)			
The RMP includes the descriptive procedure to minimize through mitigation and/or remediation the occurrences of reportable incidents and injuries within the medical care facility. KSA 65-4922(a)(2); KAR 28-52-1(2); KAR 28-52-1(e)(2);			
The RMP includes a provision for reports, investigational tools, minutes and other documentation retention for a period of (12) months after the completion of the investigation. KSA 65-4922(a); KAR 28-52-1(c); KAR 28-52-2(c);			
The RMP includes an organizational chart indicating the positions of the RM Committee. Is acceptable as an appendix and/or as redacted information. KAR 28-52-1(D); KAR 28-52-			
The RMP includes the title of staff involved in the RM processes. This is defined in K.S.A. 65-4923 and L. 1986, Ch. 229, New Section 4(a)(2); KAR 28-52-3(a)			

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KDHE Statute/Regulation Content Elements	Page Location(s)*	Met	Not Met/ Notes
The RMP includes the frequency of the meetings where the RM Committee meets at least quarterly. K.S.A. 65-4922(g); KAR 28-52-3 (b)			
The RMP includes a descriptive process for reportable incident where each is assigned an appropriate SOC. KAR 28-52-4 (a)(1) thru (4); KAR 28-52-4(b)			
The RMP includes a descriptive process where a separate SOC determination is made for each involved provider/ person for each reportable incident. K.S.A. 65-4923; KAR 28-52-4(d)			
The RMP includes a descriptive process where each final SOC determination is approved by the RM Committee. K.S.A. 65-4923; KAR 28-52-3(a); KAR 28-52-4(c)			
The RMP includes a descriptive process where the Risk Manager submits individual Incident reports (IIR)s with SOC 3 and/or SOC 4 final determinations to KDHE as well as to any additional appropriate licensing agency. K.S.A. 65-4923; KAR 28-52-4(b)			
The RMP includes documentation that each standard-of-care determination shall be dated and signed by an appropriately credentialed clinician authorized to review patient care incidents on behalf of the designated committee K.S.A, 65-4922, KAR 28-52-4(C) 4(C)			
The RMP includes a descriptive process where the Risk Manager submits accurate quarterly reports (QR)s with statistical data to KDHE. KSA 65-4923(b); KSA 65-4923(d); KAR 28-52-1(4)(e); KAR 28-52-4(d)			
The RMP includes a descriptive process where reports (IIR) and/ or (QR) are submitted to KDHE timely. KSA 65-4922(c/ (f)); KSA 65-4923(c);			
The RMP includes a descriptive process that discusses the impaired practitioner and the duty to report, if identified. KSA 65-4924(a)			

KSA 65-4922. Medical care facilities; risk management program required; submission of plan; inspections and investigations; approval of plan; reports and records confidential

KAR 28-52-1. General requirements.

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