

2018 Risk Management Tracking and Outcomes

January 2019

Identified Risks and Outcomes

Risk	Target	Strategy to minimize risk	Outcome	Continue
Injuries (*see chart below)	Individual	Quarterly health and safety inspections	Reviews indicate an increase in ER/Med inc.	Yes
		Quality training (e.g. lifting and transferring)	Reviews indicate no injuries during lifting	Yes
		Ensure staff have equipment they need for duties	New belts purchased for lifting.	Yes
		Timely monitoring of repairs and modifications needed	Continues	Yes
		Lighting and alarm systems	Annual reviews and surveys-no problems	Yes
Injuries	Employee	Quarterly health and safety inspections	Preventitive inspections with corrective actions continue	Yes
		Lifting and transferring training increased by Agency RN	6 Report Only (RO) incidents in 2018, all closed	Yes
		Ensure staff have equipment they need for duties	8 RO incidents and 1 Lost Time Injury in 2017	Yes
		Annual review of worker's compensation plan	Workers Comp trend of more reporting but less claims	Yes
		Provision of quality health care plan	Continue to provide health coverage at no or little cost	Yes
		Policy and Procedure - Documentation of receipt	Continues	Yes
Substance Abuse Policy	Continues	Yes		
Abuse and Neglect	Individual	Quarterly health and safety inspections	Completed. No trends noted	Yes
		Quality staff training (choking, lifting, abuse & neglect)	Completed	Yes
		Increasing staff morale-ongoing staff communication	Active plan to improve morale instituted	Yes
		Relevant precautions identified in ISP	Continues	Yes
		Timely monitoring of repairs and modifications needed	Replacement of shower gurney and chair-Continues	Yes
Policy and Procedure - Documentation of receipt	Continues	Yes		
Elopement	Individual	Current records on individuals served	No elopement reported in 2018	Yes
		Assist individuals in obtaining and carrying identification	Continues	Yes
		Training in conflict resolution	CPI training completed for all staff	Yes
		Awareness of staff/individual conflicts	Continues	Yes
Sexual Harrassment	Employee	Relevant Policies and Procedures	None reported occurrences in 2018	Yes
		Timely response to any complaints by management	None reported	Yes
Individual Risk	Individual	TCM performs Individual Risk review	Monthly reviews completed by TCM staff	Yes

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Fraud/Theft	Individual	Relevant Policies and Procedures Internal controls Outside audit of property and accounts (HRO) Gift policy	No occurrences reported in 2018. Completed without concerns	Yes Yes Yes Yes
Fraud/Theft	Agency	Relevant Policies and Procedures Internal Controls Whistleblower protection	No theft reported in 2018 Continues Continues	Yes Yes Yes
Misuse of Property	Agency	Relevant Policies and Procedures Internal Controls Whistleblower protection	No property misuse reported in 2018 Continues Continues	Yes Yes Yes
Poor Financial Management	Agency	Relevant Policies and Procedures Annual review and maintenance of insurance coverage Internal Controls Annual audit by outside firm Whistleblower protection	2017 Audit Clean Findings/Financial Strength 2018 Audit In Process No advers findings in previous audits Completed and State Auditor visited in 2018	Yes Yes Yes Yes Yes
Contractual/ Billing Liability	Agency	Monthly reviews of billing requirements Management team review of record keeping Frequent consultation with contracted providers Annual background reviews of contractors and staff Frequent training on importance of record keeping	ISL staffing with 6/8 fully staffed 2/8 slightly under Case Record Reviews completed quarterly Conflict free TCM with monthly reviews and monitoring Completed Trained annually	Yes Yes Yes Yes Yes

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Confidential Information and Information Security	Agency	Thorough password protection	No reported or apparent data loss in 2018	Yes
		Signed agreements with staff and contracted staff	Maintained	Yes
		Secure backup of data - web-based (cloud) security	Continues	Yes
		Training of secure practices	Identified IT staff person for this/ MOREnet	Yes
		Policies to discourage information taken out of facility	Continues	Yes
		Annual agreements signed regarding info. Sharing	Continues	Yes
Property Damage Natural hazards and vandalism	Agency	Annual review and maintenance of Insurance Coverage	No claims for property damage in 2018(internal repairs)	Yes
		Security lighting and alarm systems	Maintained	Yes
		Annual fire department inspections	Completed	Yes
		Routine maintenance of Emergency Supplies	All supplies replaced in 2018	Yes
		Emergency Plan and practiced drills	Completed, any deficiency addressed	Yes
		Insurance coverage on vehicles	Maintained	Yes
Property Liability Buildings	Agency	Annual review and maintenance of Insurance Coverage	Completed	Yes
		Timely monitoring of repairs and modifications needed	DTC asphalt repair, 3 HVAC units replaced at CTs	Yes
		Items identified for repair resolved immediately	Kitchen remodel at Hazel, Abat Apt & JR Bedrm added	Yes
		In-house maintenance staff and necessary equipment	Various painting and plumbing projects, Code entry	Yes
		Removal of snow and ice by in house maintenance	2 pallets of ice melt used in 2018/Plow maintenance	Yes
		Security lighting	added at Maintenance Building	Yes
		Annual fire department inspections	Completed	Yes
Vehicles	Agency	Annual review and maintenance of Insurance Coverage	2 Incidence of minor vehicle damage, non-moving	Yes
		Defensive Driving Training of Staff	Conducted on hire thu video training	Yes
		Preplan for replacement of vehicles (funds)	MoDOT grant application completed	Yes
		Proper licensing of drivers	Tracked - out of compliance staff do not drive	Yes
		Drivers appropriate to vehicle driven	Tracked - out of compliance staff do not drive	Yes
		Annual review of driving record	No trend or pattern noted	Yes
		Pre-trip and routine safety inspections	Conducted every morning	Yes
		Appropriate safety measures-seatbelts and tiedowns	Continues	Yes
		Timely monitoring of repairs and modifications needed	Tracked and reported to MoDOT as well	Yes
		Items identified for repair resolved immediately	Maintained	Yes

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Turnover- Unemployment Costs	Agency	Policy and Procedure - Documentation of receipt Improving staff morale through Appreciation Activities Substance abuse policy Quality benefits(retirement, healthcare, leave) Pre-hire Reference checks Advancement opportunities	Obtained on hire from all staff Held Summer Lunch events, ice cream truck, etc. Testing on hire Turnover basically unchanged but continues to be a cost. Promoted 3 staff to management positions	Yes Yes Yes Yes Yes
Human Resource Errors-Liability	Agency	Adequate Liability Insurance HR Resources to keep Administrative Staff Educated Be Aware of Potential Errors and Correct Procedures Encourage staff to keep an open mind and be respectful	Continues Insurance Carrier provides HR resources, consulted Attend HR Conferences & Seminars, Consult Professional Continues to be encouraged	Yes Yes Yes Yes
Community Complaints	Agency	Programs at Civic Organizations - Educate Tours of Agency - Educate Listen to complaints and respond Be proactive - encourage staff to see public aspect of job	Presentations at Optimist and Chamber None conducted in 2018 Schedule County tour in 2019 No community complaints reported.	Yes Yes Yes Yes
State Funding	Agency	Beginning 2019 with one opening at Harvey House Get the message out and educate legislators	Reduced revenue expected but no plan is to stay at 8 Legislative representatives contacted	Yes
Federal Changes	Agency	(Governor withholds have historically been problem) HCBS Compliance	Concern with adequacy of TCM match funding HCBS Compliance Plan completed and approved	
Managed Care	Agency	Ensure community inclusion is occurring and efforts. Complete DMH surveys as they are identified. Prepare for potential changes in funding and service provision, ensure adequate operating reserve Managed care is described as being considered as an option in the future for DD services in Missouri	Reviews indicate compliance HCBS Compliance Plan completed and approved Cotinues Reviews indicate compliance	Yes Yes Yes Yes Yes