

**Region 3 Behavioral Health Services
Organizational Risk Management Plan
November 2022**

Identified Loss/Risk Exposure (Is this a risk/loss exposure for Region 3 Behavioral Health Services? Who does it most immediately impact? State as a problem. At what point is there a risk? What is the driving reason for monitoring?)	Action Steps to reduce/eliminate the loss/risk exposure	Progress Made	Person (s) Responsible	Person Responsible to Monitor	
A Contractual Liability-Decrease in Service Capacity/Providers					
A1	Provider is at capacity-Federal Block Grant requirements affected if waitlist increases and/or decrease in capacity.	a.) Weekly Capacity Report and Waitlist Report completed by providers in the Central Data System (CDS). b.) Ongoing follow-up with provider if over capacity. c.) Monitor Interim Waitlist Report to track waitlist information and ensure priority populations are receiving interim services and needed treatment services within 120 days of placement on the waitlist.	a.) On-going. b.) On-going. c.) On-going.	Melinda Dulitz	Melinda Dulitz
A2	Decrease in capacity	a.) Weekly Capacity Report completed by providers in the CDS. b.) The percentage of capacity will be monitored and addressed.	a.) On-going. b.) On-going.	Melinda Dulitz	Melinda Dulitz
A3	Provider fails to check clinicians' licenses to make sure that none have been revoked or suspended.	a.) Network Provider Enrollment Minimum Standards (NPEMS) policies and procedures signed by Agency Director annually. b.) Need to check for suspensions/revocation on an ongoing basis.	a.) On-going. b.) On-going.	Melinda Dulitz	Melinda Dulitz
A4	Provider background checks on employees	NPEMS policies and procedures signed by Agency Director annually.	On-going.	Melinda Dulitz	Melinda Dulitz
A5	Provider does not address the use of interpreters, translators, CLAS Standards, cultural competency (not in compliance with State regulations or Region 3 contract)	a.) CLAS Standards and Cultural Sensitivity Survey. b.) Agencies must continually attempt to adhere to items referenced in the CLAS Standards and Cultural Sensitivity Survey.	a.) To be completed every 3 years. Completed in FY21; to be completed during FY24. b.) To be completed every 3 years. Completed in FY21; to be completed during FY24.	Melinda Dulitz	Melinda Dulitz
A6	Provider's CPA audits are not completed or not completed on time per contract	Audit/financial statement requirements and due dates are included in providers' signed agreements.	Annually as applicable.	Kerry Slaymaker	Kerry Slaymaker
A7	Monitor the utilization of higher levels of care.	a.) Monitor utilization and check accuracy of report with CDS monthly. b.) Provide education regarding other available services and transition to services. c.) Systems partners staffing consumers who utilize higher levels of care thru Complex Needs Workgroup. d.) Emergency Protective System meetings in Hall, Adams and Buffalo Counties to provide updates, educational opportunities and address challenges.	a.) On-going. b.) On-going; Region 3 services information has been provided to the Nebraska State Patrol Incident Negotiators, new officers at the Nebraska Training Academy, and to a Crisis Intervention Training group of Central Nebraska officers. c.) On-going. d.) On-going quarterly meetings.	Beth Reynolds	Beth Reynolds

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A Contractual Liability--Decrease in Service Capacity/Providers--Cont'd				
A8 Network provider meets Region 3 Network and national accreditation standards to reduce liability.	a) Submit the Denials and Ineligibles Report. b) Providers notify Region 3 no later than forty-eight (48) hours after a critical incident of consumer's and/or staff member's name, date of incident, service(s) person was receiving, and if known, the cause of injury or death. c) Follow up regarding critical incidents reported to ensure provider has addressed causes, trends, actions for improvement, results of improvement plans, necessary education and training of personnel, prevention of reoccurrence, internal and external reporting requirements. d) Follow up regarding complaints, grievances, and appeals to ensure provider has addressed causes, trends, actions for improvement, results of improvement plans, necessary education and training of personnel, prevention of reoccurrence, internal and external reporting requirements. This will be reviewed by the Risk Management Team as applicable.	a) Reported monthly by provider, Region report compiled semi-annually and annually. b) Within 48 hours. c) Annually. d) Annually.	Melinda Dulitz Beth Baxter	Melinda Dulitz Beth Baxter
B Segregation in Care/Harm to Consumers				
B1 Confidentiality breaches (HIPAA & develop HIPAA process/training, printer, inter-office, hallways, phone conversations). Provider billing information secure on CDS and Electronic Billing System (EBS).	a.) Develop and inform staff of HIPAA Process, including reporting possible breaches to the Privacy/Compliance Officer. b.) Review Confidentiality Policy. c.) Develop and inform staff of laptop/desktop usage procedures regarding confidentiality and the use of secure email (ZIX). d.) Region 3 provides information on updates, training, and issues on the CDS and EBS.	a.) Staff training annually. Breach of Confidentiality form updated 10-2022. b.) Review/Revised 7-22-22. c.) Staff training; on-going. Laptop usage handout is shared with new employees at hire. Zix email encryption updated 10-2021. Moved Zix encryption and email threat protection to Zix cloud based 10-2021. d.) Ongoing. Provider Confidentiality Statements for CDS and EBS are resubmitted to DHHS annually by October 31st.	Kerry Slaymaker Tammy Burgeson Warren Pennell Kayl Dahlke	Kerry Slaymaker Tammy Burgeson Warren Pennell Kayl Dahkle
B2 Professional boundaries	a.) Review the Code of Ethics Policy with staff and have staff sign the policy. b.) Schedule and conduct a staff training on professional boundaries. c.) Staff to discuss risk scenarios that come up and make recommendations. d.) Supervisors meet with staff to discuss best practices. e.) Grievance Policy is in place. f.) ERCS has "Staff Relations" Policy in place. g.) PPP has "Staff Relations" Policy in place. h.) Consumer Rights and Responsibilities have been reviewed/ revised to include trauma informed care. i.) Develop and inform staff of procedure in reference to the use of phones and any technology based device usage as it pertains to general use. j.) Wraparound (WA) Training.	a.) Review Annually. b.) New Employee onboarding and on-going as needed through program staffings. c.) On-going. d.) On-going; regularly at individual staffings. e.) Review Annually. f.) Review Annually. g.) Review Annually. h.) On-going. i.) Policy and staff training during onboarding; On-going. Phone/Multi-factor Authentication training 9-21; myEvolv NX training 9-21. j.) PPP Consultant on a quarterly basis. WA training as needed for new PP staff; review WA principles at staff meetings.	Tammy Burgeson Jill Schubauer Caleb Davis Warren Pennell	Tammy Burgeson Jill Schubauer Caleb Davis Warren Pennell

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B Segregation in Care/Harm to Consumers--Cont'd				
B3 Trauma Informed Care, Suicide Prevention, and Compassion Fatigue: Staff and System Partners Receive Training. How to Avoid Consumer Re-Traumatization.	a.) Trauma Informed Care and related trainings. b.) Compassion Fatigue Training. c.) Training for Law Enforcement. d.) Trauma Informed Care-Mandatory Staff Development. e.) Mindfulness trainings. f.) Mental Health First Aid/Youth Mental Health First Aid Training. g.) Suicide prevention and related trainings.	a.)-b.) and e.)-g.) On-going. c.) Ongoing. Training regarding Crisis Response training in all 22 counties. 9-20-19 Buffalo County Sheriff's office training. 11-16-19 Buffalo County Sheriff's office dispatch training. 11-14-19 Custer County Sheriff's office. Law Enforcement Training on Risk Assessment and Services, Law Enforcement Behavioral Threat Assessment training, Mental Health First Aid Trainings provided in 2022 and are on-going. Law enforcement officers in Region 3 area have been trained in facilitating MHFA and are available to provide training to other officers. Kearney Police Department has majority of their officers trained in MHFA. LEAP (Listen-Empathize-Agree-Partner) Training provided in 2022. Crisis Intervention Training (CIT) provided in 2022. d.) Ongoing. Presented to staff annually.	Tiffany Gressley Beth Reynolds Trauma Informed Care Team Tammy Burgeson Jill Schubauer	Tiffany Gressley Beth Reynolds Shyanne Adams (leads TIC Team) Tammy Burgeson Jill Schubauer
C Loss of Funding/Financial Loss				
C1 Changes in funding streams/no contract	a) Reassess workforce/organizational needs. b) Seek alternative funding opportunities. c) Ensure infrastructure stays intact so organization continues to meet existing objectives. d) Develop contingency plan in the event of a budget reduction.	a., b., c., and d.) On-going.	Leadership Team/ Supervisors	Beth Baxter Kerry Slaymaker
C2 Changes in vendors' direct deposit information	Via telephone, confirm with vendor validity of any new banking account information received; send email to vendor confirming telephone verification prior to initiating transfer of funds to new account.	Procedure established August 2018. Ongoing verification.	Fiscal	Kerry Slaymaker
D General Liability				
D1 Effective Compliance	a.) Schedule and conduct a staff training. b.) Compliance Officer appointed by RGB. c.) Compliance Committee to review and recommend Compliance Plan updates to RGB. d.) Compliance Plan approved by RGB. e.) New staff receive Compliance Plan training and sign acknowledgement.	a.) Annually. b.) Annually appointed; last appointed 8-26-2022. c.) Annually. d.) 1-23-15. e.) Ongoing.	Kerry Slaymaker	Kerry Slaymaker
D2 Insurance coverage adequate	Review policy changes and coverage amounts.	Annually in March.	Fiscal	Kerry Slaymaker
D3 Property loss due to fire, "acts of God", or accidents	a.) Property contents insurance, general liability insurance, cyber liability insurance , automobile insurance, and \$5,000,000 Umbrella liability insurance coverage purchased. a1.) Region 3 furniture and equipment inventory will be reviewed for appropriate insurance coverage. b.) Entire backup of the server resides on the Datto appliance and Datto cloud. c.) Back-ups are done four times daily Sunday through Saturday. Virtualization is done by connecting to cloud storage, which the Datto appliance transmits copies to a secured off-site data center. The copies are held indefinitely. d.) The Region 3 website is backed up daily through host contract with Control Yours. e.) All inventory is stored in a database maintained by Fiscal. f.) Continuity of Operations Policy is in place.	a.) Re-evaluate annually in March. a1.) Review annually in February or March. b-e) On-going. f.) Reviewed/Revised: 10-2021.	Fiscal Warren Pennell Tammy Burgeson	Kerry Slaymaker Warren Pennell Tammy Burgeson

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E Employee Liability					
E1	Personal safety	a.) Workplace Safety Training for staff. b.) Winter Safety Training for staff. c.) Conduct safety drills. d.) Recertify fire extinguishers. e.) Flu prevention and shots. f.) Fire Marshal inspection. g.) Internal inspections: fire extinguishers, smoke alarms, exit signs, and emergency lights. h.) CARF Team addresses safety issues. i.) Review and revise Health and Safety policies. j.) Safety Training/Education at all-staff meetings. k.) Safety John Newsletter. l.) First Aid and CPR (due every 2 years). m.) Review/Revise the H&S 2: Workplace Threats and Violence policy. n.) Incident Reports are reviewed by Leadership Team. o.) Suicide Prevention Training for staff. p.) Trauma Informed Care training for staff. q.) Safety review and discussion at program staff meetings.	a.) Annually. b.) Annually. c.) Annual drills conducted for: Bomb Threat, Tornado, Medical Emergency, Threatening Situations, Fire Evacuation, Utility Failure. d.) Annually. e.) Annually. f.) Annually. g.) Monthly. h.) On-going. i.) On-going. j.) On-going. k.) Posted quarterly. l.) On-going. m.) On-going. n.) On-going. o.) Annually. p.) Annually. q.) On-going.	a.)- i.) CARF/Safety Team j.) Jen Puls k.) Jean Starman l.) Jen Puls m.)-n.) Leadership Team o.) Jill Schubauer/ Hunter Ludwig p.) TIC Team q.) Jill Schubauer; Beth Reynolds	a.) - i.), Tammy Burgeson j.) Jen Puls k.) Jean Starman l.) Jen Puls m.) - n.) Tammy Burgeson o.) Jill Schubauer p.) Shyanne Adams q.) Jill Schubauer; Beth Reynolds
E2	Claims of discrimination in hiring/employment practices	a.) HR receives ongoing training regarding employment practices. b.) HR consults with legal counsel on employment practices. c.) Insurance policy covering discrimination in hiring practices purchased.	a.) HR attends trainings. b.) HR consults with legal. c.) On-going; annual policy purchased in March.	Tammy Burgeson Fiscal	Tammy Burgeson Kerry Slaymaker
E3	Claims of employee hurt on the job	a.) Worker's Compensation insurance purchased to cover claims. b.) Umbrella liability insurance coverage purchased to reduce risk of catastrophic financial liability to Region 3. c.) Automobile liability insurance in force for accidents involving claims of injury arising from an automobile accident. d.) Policies in place regarding incident reporting and safety in the workplace. e.) Incident Reports are reviewed by Leadership Team.	a.)-c.) Purchased annually in March. d.) On-going. e.) On-going.	Fiscal Leadership Team	Kerry Slaymaker Tammy Burgeson
E4	Retention/Turnover Issues: a.) Burnout/Stress b.) Communication Issues (Complaints and Problems Not Resolved)	a.) Staff Mental Health First Aid Training. a1.) Staff Wellness Survey. b.) Address Communication Issues through Strategic Planning. b1.) Quarterly One-To-One Meetings. b2.) Communication Policy Revision and Staff Awareness. b3.) Staff Review of the Communication Policy and Code of Ethics Policy at 6-month Goal Review.	a.) On-going. a1.) Annually. b.) On-going. b1.) On-going. b2.) On-going. b3.) Annually; On-going.	Wellness Team Supervisors Tammy Burgeson	Wellness Team Supervisors Tammy Burgeson

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F Professional Liability				
F1 False innuendoes and accusations	a.) Code of Ethics policy. b.) Professional Liability Insurance purchased.	a.) Reviewed annually. b.) Annually in March.	Tammy Burgeson Fiscal	Tammy Burgeson Kerry Slaymaker
F2 Claims of abuse by consumers or employees	a.) Workplace Health and Safety training and Crisis Prevention Institute (CPI) training provided to staff. b.) Training regarding avoidance of potential situations that could result in claims of abuse. c.) Professional Liability insurance and \$5,000,000 Umbrella liability insurance coverage purchased.	a.) Annually and on-going. b.) Annually. c.) Annually in March.	CARF/Safety Team Fiscal	Tammy Burgeson Kerry Slaymaker
G Property Loss or Damage				
G1 Claims of breach of confidentiality	a.) Staff trained on confidentiality issues related to HIPAA. b.) Confidentiality of Consumer Information policy in place. c.) \$5,000,000 Umbrella liability insurance coverage purchased.	a.) Annually. b.) On-going. c.) Purchased annually in March.	Jen Puls Fiscal	Tammy Burgeson Kerry Slaymaker
G2 Theft by employee	Safeguards in place regarding: a.) Who can write checks versus who can sign checks. b.) Two signatures for amounts over \$5,000. c.) Procedures for handling of cash receipts, even though insignificant. d.) Handling of petty cash. e.) Purchase of insurance coverage of employee theft. f.) Inventory will be tracked via database, including Region 3 equipment at employees' residences. Periodic checks will be done against the database. g.) Upon separation of employment, a checklist will be followed to ensure all Region 3 property is returned.	a.) Only Regional Administrator, Operations Manager, and Regional Governing Board Executive Committee can sign checks. In policy and practice. b.) On-going; one signor must be from RGB Executive Committee. In policy and practice. c.) In policy and practice; two staff must count cash before deposit. d.) Petty cash limit to \$100 and kept in a locked fireproof box in a locked file drawer. In policy and practice. e.) On-going; annual policy purchased in March. f.) On-going; equipment list included on employee Acknowledgement of Hybrid Work Policy form. g.) On-going.	Kerry Slaymaker Tammy Burgeson	Kerry Slaymaker Tammy Burgeson
G3 Claims of injury during transportation of consumers or others	a.) Automobile liability insurance in force for accidents involving claims of injury arising from an automobile accident. b.) \$5,000,000 Umbrella liability insurance coverage purchased. c.) Initiated a no-texting while on work-time policy.	a.) Annually in February-March. b.) Annually in February-March. c.) 5-29-12.	Fiscal Leadership Team	Kerry Slaymaker Tammy Burgeson

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H Business Interruption				
H1 Keep organization running and meeting contract	a.) H&S 2: Natural Disaster policy is in place. b.) Electronic Health Records (EHR) are hosted offsite, at multiple sites and can be accessed securely from anywhere. c.) All network equipment/servers are covered via contract to be replaced by next business day. d.) An additional appliance (ASA) was configured as a back-up allowing us to connect to our internet service provider (should the production device go down). e.) Share flu prevention protocol with staff. f.) Share HR I-7: Inclement Weather with staff. g.) Continuity of Operations Policy is in place. h.) Insurance coverage for cyber risk management and breach recovery services is in place. i.) Staff training on cyber risks.	a.) On-going. b.) Changed EHR 3-2018. c.) On-going. d.) On-going. e.) Annually in September-October. f.) Annually. g.) Reviewed/Revised: 10-2021. h.) On-going. Purchased annually in March. i.) On-going.	CARF/Safety Team Tammy Burgeson Warren Pennell Fiscal	Tammy Burgeson Warren Pennell Kerry Slaymaker
H2 Develop written succession plan and approved by Regional Governing Board	a.) Develop Written Succession Plan, inform staff, and approve by Regional Governing Board. b.) Include succession responsibilities in the job descriptions.	a.) Developed 10-22-10. Review/Revise in 2023 . b.) Job descriptions reviewed/revised annually.	Tammy Burgeson	Beth Baxter

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I Loss of Goodwill and Public Image					
11	Developing and coordinating systems of care process	a.) Offer Suicide Prevention training and resources for stakeholders. b.) The Behavioral Health Education Center of NE (BHECN)- Advisory Council meetings held. c.) Successful Implementation of Trauma Informed Care practices for stakeholders. d.) Mental Health First Aid Training/Youth Mental Health First Aid Training offered to staff and public. e.) Grievance Policy and Procedures available for consumers/public. f.) Offer Trauma Informed Care and related trainings. g.) Offer Cultural Competency training for staff. h.) Network Provider Services Purchased Verification audit. i.) Network Provider Programmatic Review and Program Plan Review. j.) Network Provider Enrollment status maintained. k.) Provide consumer inclusion training through Regional Consumer Council meetings. l.) Wraparound consultation. m.) Insurance coverage for cyber risk management and breach recovery services is in place. n.) Region 3 staff partipate in community coalition and board meetings across all systems and stakeholder groups. o.) Cluster Based Planning/Therapeutic Consultation	a.) As requested. b.) BHECN Advisory Council meetings held quarterly. c.) On-going. d.) On-going; multiple throughout the year. e.) On-going. f.) On-going. g.) On-going. 10-2022. h.) Annually. i.) Every 3 years; completed in FY21. To be completed during FY24. j.) On-going. k.) On-going. Provided through consumer meetings. l.) Quarterly. m.) On-going; reviewed each March. n.) Monthly: ongoing. o.) As needed.	Jill Schubauer Hunter Ludwig Kayl Dahlke Tiffany Gressley Shyanne Adams Melinda Dulitz Beth Reynolds Tammy Fiala CARF/Safety Team Kerry Slaymaker Beth Baxter	Jill Schubauer Kayl Dahlke Tiffany Gressley Melinda Dulitz Beth Reynolds Tammy Fiala Tammy Burgeson Kerry Slaymaker Beth Baxter

Annual Review by Risk Management Team: November 2022
Leadership Team Approval: December 2022
Regional Governing Board Approval: January 2023
Next Review by Risk Management Team: September-October 2023

Risk Management Team: Tammy Burgeson, Kerry Slaymaker, Beth Reynolds, Melinda Dulitz, Jill Schubauer, Tammy Fiala, Warren Pennell, Kayl Dahlke, Tiffany Gressley.