

Individual Name: Record Individual's name

Incident # Record Incident #

**DMHDDAS Incident Report and Peer to Peer with No or Minor Injury Investigation Review  
Audit Tool Instructions**

Date of Incident	Date of Review	Reviewer	Investigator / Team Leader	Facility
Record the date of the incident	Record the date of the Review	Record the Reviewer's name	Inv: Record the investigator's name TL: Record the Team Leader's name	Record the name of the facility

Instructions: **All** information to complete the Incident Report Investigation Review is obtained from the **Incident Report and Peer to Peer with No or Minor Injury Investigation Review**. All Standards should be marked as follows:

**Individual A = Aggressor, throughout the form      Individual B = Victim, throughout the form**

For further information related to the Standards, see the DMHDDAS Facility Risk Management Protocol (FRMP) effective November 1, 2008.

<i>Standard for Facility Responsibility Incident Report</i>		<i>Y</i>	<i>N</i>	<i>Comments</i>
		<i>e</i>	<i>s</i>	<i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
1.	All applicable areas on <b>Page 1</b> of the Incident Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 1 are completed correctly.  This standard is NO if: a. Any applicable area on Page 1 that should have been completed is blank or completed incorrectly.
2.	All applicable areas on <b>Page 2</b> of the Incident Report are completed correctly.			This standard is YES if: a. All areas on Page 2 are completed correctly.  This standard is NO if: a. Any applicable area on Page 2 that should have been completed is blank or completed incorrectly.
3.	All applicable areas on <b>Page 3</b> of the Incident Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 3 are completed correctly.  This standard is NO if: a. Any applicable area on Page 3 that should have been completed is blank or completed incorrectly.
4.	All applicable areas on <b>Page 5</b> of the Incident Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 5 are completed correctly.  This standard is NO if: a. Any applicable area on Page 5 that should have been completed is blank or completed incorrectly.
	<i>Standard for Facility Responsibility Peer to Peer Aggression with No or Minor Injury Investigation</i>			<i>Comments</i> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
5.	All applicable areas on <b>Page 1</b> of the Peer to Peer with No or Minor Injury Investigation Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 1 are completed correctly.  This standard is NO if: a. Any applicable area on Page 1 that should have been

<i>Standard for Facility Responsibility Incident Report</i>		<i>Y e s</i>	<i>N o</i>	<i>Comments</i> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
				completed is blank or completed incorrectly.
6.	All applicable areas on <b>Page 2</b> of the Peer to Peer with No or Minor Injury Investigation Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 2 are completed correctly.  This standard is NO if: a. Any applicable area on Page 2 that should have been completed is blank or completed incorrectly.
7.	All applicable areas on <b>Page 3</b> of the Peer to Peer with No or Minor Injury Investigation Report are completed correctly.			This standard is YES if: a. All applicable areas on Page 3 are completed correctly.  This standard is NO if: a. Any applicable area on Page 3 that should have been completed is blank or completed incorrectly.

**Standard for Supervisor Responsibility:**

Any "blank" blocks (having zero information or "NA") in the Investigation should be marked as "NO, does not meet the standard" in this audit tool.

<i>Standard for Supervisor Responsibility Peer to Peer with No or Minor Injury Investigation</i>		<i>Y e s</i>	<i>N o</i>	<i>Comments</i> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
1.	Immediate steps to <b>SECURE THE SCENE</b> are recorded.			This standard is YES if, <b>where applicable</b> , the following items are recorded:  a. First aid or medical care has been provided or obtained (may be found here and/or on Page 3 of the Incident Report under <i>Medical Assessment</i> ); <b>and</b> b. Interventions were put in place to ensure the safety of all individuals, staff, and other persons, e.g. separation of peers involved and/or other peers as applicable, <b>and</b> c. Photographs were obtained of all visible injuries or photographs to document that no injury is present; <b>and</b> d. Persons were prohibited from removing or destroying potential or actual evidence; <b>and</b> e. Potential witnesses were kept at the scene, and i. Kept separated when possible, while ensuring adequate supervision of all individuals; ii. If separation was not possible, assigned or requested an additional supervisor to the scene to minimize the potential witnesses from discussing the incident among themselves; iii. Separated as soon as replacement staff coverage is assigned and present, <b>OR</b> f. A clear reason for not doing elements a-e as applicable are recorded.  This standard is NO if, <b>as applicable</b> :

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				a. Elements described in a-e above are not recorded, or b. A clear reason for not doing elements a-e is not documented.
2.	Activity of the <b>individuals before</b> the incident is recorded.			
2. a.	Individual A (Aggressor)			This standard is YES if: a. Activity of Individual A before the incident is recorded; or b. A clear reason for not recording activity of Individual A is present.  This standard is NO if: a. Activity of Individual A before the incident is not recorded; or b. A clear reason for not recording activity of Individual A is not present.
2. b.	Individual B (Victim)			This standard is YES if: a. Activity of Individual B before the incident is recorded; or b. A clear reason for not recording activity of Individual B is present.  This standard is NO if: a. Activity of Individual B before the incident is not recorded; or b. A clear reason for not recording activity of Individual B is not present.
3.	Activity of the <b>staff before</b> the incident is recorded.			
3. a.	Staff A (Staff assigned to the individual who is the aggressor)			This standard is YES if: a. Activity of Staff A before the incident is recorded; or b. A clear reason for not recording activity of Staff A is present.  This standard is NO if: a. Activity of Staff A before the incident is not recorded; or b. A clear reason for not recording activity of Staff A is not present.
3. b.	Staff B (Staff assigned to the individual who is the Victim)			This standard is YES if: a. Activity of Staff B before the incident is recorded; or b. A clear reason for not recording activity of Staff B is present.  This standard is NO if: a. Activity of Staff B before the incident is not recorded; or b. A clear reason for not recording activity of Staff B is

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				not present.
4.	Activity of the <b>individuals</b> during the incident is recorded.			
4. a.	Individual A (Aggressor)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual A during the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Individual A is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual A during the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Individual A is not present.</li> </ul>
4. b.	Individual B (Victim)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual B during the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Individual B is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual B during the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Individual B is not present.</li> </ul>
5.	Activity of the <b>staff</b> during the incident is recorded.			
5. a.	Staff A (Staff assigned to the individual who is the aggressor)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff A during the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Staff A is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff A during the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Staff A is not present.</li> </ul>
5. b.	Staff B (Staff assigned to the individual who is the Victim)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff B during the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Staff B is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff B during the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Staff B is not present.</li> </ul>
6.	Activity of the <b>individuals</b> after the			

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	incident is recorded.			
6. a.	Individual A (Aggressor)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual A after the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Individual A is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual A after the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Individual A is not present.</li> </ul>
6. b.	Individual B (Victim)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual B after the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Individual B is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Individual B after the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Individual B is not present.</li> </ul>
7.	Activity of the <b>staff after</b> the incident is recorded.			
7. a.	Staff A (Staff assigned to the individual who is the aggressor)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff A after the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Staff A is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff A after the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Staff A is not present.</li> </ul>
7. b.	Staff B (Staff assigned to the individual who is the Victim)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff B after the incident is recorded; or</li> <li>b. A clear reason for not recording activity of Staff B is present.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. Activity of Staff B after the incident is not recorded; or</li> <li>b. A clear reason for not recording activity of Staff B is not present.</li> </ul>
8.	Surroundings that impacted the incident are recorded.			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. Surroundings of individuals that impacted the incident are recorded; or</li> </ul>

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				<p>b. A clear reason for not recording the surroundings that impacted the incident is recorded.</p> <p>This standard is NO if:</p> <p>a. Surroundings of individuals that impacted the incident are not recorded; or</p> <p>b. A clear reason for not recording the surroundings that impacted the incident are not recorded.</p>
9.	Early warning signs are recorded.			
9. a.	Individual A (Aggressor)			<p>This standard is YES if:</p> <p>a. Early warning signs displayed by Individual A are recorded; or</p> <p>b. It is clearly stated Individual A did not display any early warning signs.</p> <p>This standard is NO if:</p> <p>a. Early warning signs displayed by Individual A are not recorded; or</p> <p>b. It is not clearly stated Individual A did not display any early warning signs.</p>
9. b.	Individual B (Victim)			<p>This standard is YES if:</p> <p>a. Early warning signs displayed by Individual B are recorded; or</p> <p>b. It is clearly stated Individual B did not display any early warning signs.</p> <p>This standard is NO if:</p> <p>a. Early warning signs displayed by Individual B are not recorded; or</p> <p>b. It is not clearly stated Individual B did not display any early warning signs.</p>
10 .i.	Treatment plans and Behavior plans were reviewed and intervention strategies are recorded.			
10 .i. a.	Individual A (Aggressor)			<p>This standard is YES if:</p> <p>a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual A are recorded.</p> <p>This standard is NO if:</p> <p>a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual A are not recorded.</p>
10 .i. b.	Individual B (Victim)			<p>This standard is YES if:</p> <p>a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual B are recorded.</p>

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				This standard is NO if: a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual B are not recorded.
10 .ii.	Interventions found in the Treatment plans and Behavior plans that were NOT used that might have been more effective are recorded.			
10 .ii. a.	Individual A (Aggressor)			This standard is YES if: a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual A that were NOT used that might have been more effective are recorded; or b. It is clearly stated no other intervention strategies other than what is described in 10.i.a. were in the Treatment plan or Behavior plan for Individual A (if applicable.)  This standard is NO if: a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual A that were NOT used that might have been more effective are not recorded; or b. It is not clearly stated no other intervention strategies other than what is described in 10.i.a. were in the Treatment plan or Behavior plan for Individual A (if applicable.)
10 .ii. b.	Individual B (Victim)			This standard is YES if: a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual B that were NOT used that might have been more effective are recorded; or b. It is clearly stated no other intervention strategies other than what is described in 10.i.b. were in the Treatment plan or Behavior plan for Individual B (if applicable.)  This standard is NO if: a. Intervention strategies from the Treatment plan and Behavior Plan (if applicable) for Individual B that were NOT used that might have been more effective are not recorded; or b. It is not clearly stated no other intervention strategies other than what is described in 10.i.b. were in the Treatment plan or Behavior plan for Individual B (if applicable.)
11.	Interventions staff used <b>before, during, and after</b> the incident are			

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	recorded.			
11. a.	Staff A (Staff assigned to the individual who is the aggressor)			<p>This standard is YES if:</p> <p>a. Intervention strategies staff used with Individual A <b>before, during, and after</b> the incident are recorded.</p> <p>This standard is NO if:</p> <p>a. Intervention strategies staff used with Individual A <b>before, during, and after</b> the incident are not recorded.</p>
11. b.	Staff B (Staff assigned to the individual who is the Victim)			<p>This standard is YES if:</p> <p>a. Intervention strategies staff used with Individual B <b>before, during, and after</b> the incident are recorded.</p> <p>This standard is NO if:</p> <p>a. Intervention strategies staff used with Individual B <b>before, during, and after</b> the incident are not recorded.</p>
12	Effects of the intervention strategies are recorded.			
12 .a.	Individual A (Aggressor)			<p>This standard is YES if:</p> <p>a. Effects of the Intervention strategies staff used for Individual A are recorded.</p> <p>This standard is NO if:</p> <p>a. Effects of the Intervention strategies staff used for Individual A are not recorded.</p>
12 .b.	Individual B (Victim)			<p>This standard is YES if:</p> <p>a. Effects of the Intervention strategies staff used for Individual B are recorded.</p> <p>This standard is NO if:</p> <p>a. Effects of the Intervention strategies staff used for Individual B are not recorded.</p>
13	Staffing pattern that may have impacted the incident is recorded.			<p>This standard is YES if:</p> <p>a. Staffing pattern that may have impacted the incident is recorded; or</p> <p>b. An explanation is present that the staffing pattern did not impact the incident.</p> <p>This standard is NO if:</p> <p>a. Staffing pattern that may have impacted the incident is not recorded.</p>
14	Sequence of immediate protections to eliminate potential, immediate, and future harm are recorded.			<p>NOTE: This section is similar to, but not exactly like SECURE THE SCENE. Secure the Scene typically addresses IMMEDIATE protections, while this section also addresses protections from <b>potential</b> and <b>future harm</b>.</p> <p>This standard is YES if:</p>

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				<p>a. Sequence of immediate protections to eliminate potential and future harm is recorded (removed the area rug, wiped up spilled liquid, called in work order, separated individuals, additional staff assigned to aggressor, etc.), or</p> <p>b. A clear reason for not describing immediate protections is recorded.</p> <p>This standard is NO if:</p> <p>a. Sequence of immediate protections to eliminate potential and future harm is not recorded, or</p> <p>b. A clear reason for not describing immediate protections is not recorded.</p>
15	Description of staff injury, if any, is recorded.			<p>This standard is YES if:</p> <p>a. Staff injury, if any, is recorded; or</p> <p>b. It is clearly stated no staff injury occurred.</p> <p>This standard is NO if:</p> <p>a. Staff injury, if any, is not recorded; or</p> <p>b. It is not clearly stated no staff injury occurred.</p>

<b>Standard for Risk Manager/Investigator Responsibility Peer to Peer with No or Minor Injury Form</b>		<b>Y e s</b>	<b>N o s</b>	<b>Comments</b> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
1.	Analysis and Findings are recorded.			<p>This standard is YES if:</p> <p>a. Analysis and Findings are recorded based on information provided in the Investigation.</p> <p>This standard is NO if:</p> <p>a. Analysis and Findings are not recorded based on information provided in the Investigation.</p>
2.	Facility Follow-up is recorded.			<p>This standard is YES if:</p> <p>a. Facility follow-up is recorded based on information provided in the Investigation; or</p> <p>b. It is clearly stated facility follow-up is not warranted.</p> <p>This standard is NO if:</p> <p>a. Facility follow-up is not recorded based on information provided in the Investigation; or</p> <p>b. It is not clearly stated facility follow-up is not warranted.</p>

<b>Standard for Team Leader Responsibility Peer to Peer with No or Minor Injury Form</b>		<b>Y e s</b>	<b>N o s</b>	<b>Comments</b> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>

<i>Standard for Team Leader Responsibility Peer to Peer with No or Minor Injury Form</i>		<i>Y e s</i>	<i>N o</i>	<i>Comments</i> <i>Section may be used to clarify a response given, but may not be used as a stand-alone response.</i>
1.	A description of how the incident affected the individual is recorded.			
1.a	Individual A (Aggressor)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. The incident's effect on Individual A is recorded; or</li> <li>b. An explanation is present that the incident did not have an effect on Individual A.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. The incident's effect on Individual A is not recorded, or</li> <li>b. It is not clearly stated the incident did not have an effect on Individual A.</li> </ul>
1. b.	Individual B (Victim)			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. The incident's effect on Individual B is recorded; or</li> <li>b. An explanation is present that the incident did not have an effect on Individual B.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. The incident's effect on Individual B is not recorded, or</li> <li>b. It is not clearly stated the incident did not have an effect on Individual B.</li> </ul>
2.	If the YES block is checked, indicating additional follow-up is needed - additional follow-up is recorded.			<p>This standard is YES if:</p> <ul style="list-style-type: none"> <li>a. The YES box is checked on the investigation AND follow-up is recorded; or</li> <li>b. The NO box is checked.</li> </ul> <p>This standard is NO if:</p> <ul style="list-style-type: none"> <li>a. The YES box is checked on the investigation AND follow-up is not recorded; or</li> <li>b. The NO box is not checked, or</li> <li>c. Neither the YES or No box is checked.</li> </ul>