



Objectives

- Understand the need for identification of an incident as related to individuals with a developmental or intellectual disability.
- Describe the components involved in the DDID incident reporting process.
- Discuss the role of community providers in relationship to the incident reporting process



Why manage risk??

- Ensure health and safety
- Reduce negative impact
- Prevention of future incidents



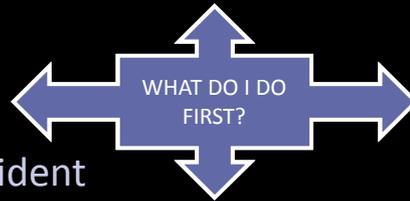
What is an incident?

- An occurrence or event that interrupts normal procedure or precipitates a crisis Webster's Dictionary
- Anything that impacts the health, safety, welfare, or lifestyle choices of an individual

Remember Person-Centered Thinking



Reporting Process



- Identification of the incident
- Classification
- Immediate response
- Incident documentation
- Incident follow-up
- Prevention
- Evaluate impact on the person



Regulatory requirements

Ensure there are no missing pieces to the puzzle

- An incident shall be documented on an incident report form.
- There shall be two (2) classes of incidents: Incident Report and Critical Incident



Identification of an incident.....

Did an incident occur?



- Must decide what is unusual for this particular person
- A person's circumstances will determine what is an incident for him/her

Remember Person-Centered Thinking



Two classes of incidents

907 KAR 12:010



• Incident



• Critical incident



Incident classification

- Incident classification determines next steps.....



Incident

Is defined as:

- Any occurrence that impacts the health, safety, and welfare, or lifestyle choices of a participant and includes but is not limited to:
 - ❖ Minor injuries
 - ❖ Medication errors without any serious outcomes; or
 - ❖ Behaviors or situations that do not meet the definition of a Critical Incident



An Incident shall be:

Documented on an Incident Report form and:

- ❖ Immediately assessed for potential abuse, neglect, or exploitation. If the assessment is positive for potential abuse, neglect, or exploitation, the person discovering or witnessing the incident shall take immediate action to ensure the health safety, and welfare of the at-risk participant and the incident shall be immediately redefined as a Critical Incident---AND all procedures followed for Critical Incident



An Incident shall be:

- Reported to the participant's case manager and designated representative within twenty-four (24) hours of the discovery of the incident
- Recorded by the witness or discovery agency employee, sub-contractor, or volunteer on the prescribed Incident Report form; and
- Retained on file at the provider agency and copies are provided to the case management agency



Critical Incident

Is defined as:

- An alleged, suspected, or actual occurrence of an incident that can reasonably be expected to result in harm to the participant and **may include, but is not limited to:**
 - ❖ Abuse, neglect, and exploitation as defined in KRS Chapter 209;
 - ❖ Serious medication errors which are defined as any medication error that requires or has the potential to require medical intervention or treatment
 - ❖ Death
 - ❖ Homicidal or suicidal ideation
 - ❖ A missing person



Critical Incident shall result in:

- ❖ The person witnessing or discovering the critical incident shall take immediate action to ensure the health, safety, and welfare of the at-risk participant
- ❖ The person witnessing or discovering the critical incident shall **immediately** report to either adult Protective Services (APS) or Child Protective Services (CPS) as applicable, the participant's case manager, the participant's designated representative and by fax to DBHDID if abuse, neglect, or exploitation is suspected
- ❖ If the critical incident does not require reporting of abuse, neglect, or exploitation, the Critical Incident shall be reported within **eight (8) hours** of discovery to the participant's case manager, the participant's designated representative as applicable and by fax to DBHDID



Critical Incident shall

- ❖ Be recorded by the witness or discovery agency employee, sub-contractor, or volunteer on the prescribed Critical Incident Report form
- ❖ An immediate investigation by the provider agency with the investigation involving the case manager.
- ❖ Documentation shall be maintained in the participant record at the provider site, and copies shall be provided to the case management agency



Critical Incident

The investigative report shall include but is not limited to:

- Identifying information of the participant involved in the incident and the person reporting the incident
- Details of the incident
- Relevant participant information including:
 - ❖ Axis I, II and III diagnoses
 - ❖ Listing of recent medical concerns
 - ❖ Analysis of causal factors and
 - ❖ Recommendations for preventing future occurrences



Review incident report

Let's look at the incident report form

- Identifying information
- Category
- Notifications
- Description of incident
- Person's current status??
- Why did the incident occur??
- Prevented??
- Staff training??
- Needed changes??



Who completes the incident report?

Who is responsible??

- Staff person who witnessed the incident or
- Staff person who discovered the incident or
- Staff person who had a role in the incident



Notification process

Who do I notify and when??

- Case manager
- DDID
- Guardian
- DCBS
- Other



Notifying DCBS

Could incident be SUSPECTED abuse, neglect, or exploitation?

If “yes” then:

- Report to DCBS
- Submit a Critical Incident report



Incident involving death

Mortality Review Process

Step 1

- Critical Incident notification

Step 2

- Mortality data request

Step 3

- Records reviewed by DDID nurses

Step 4

- Record reviewed by mortality committee

Medication error reports

Submitted by the 15th of the following month

Supports For Community Living

Medication Error Report/Log

Michelle P Waiver

Medication Error Report/Log

State General Fund

Med Error Report/Log

Medication error log

Maintained at provider agency

- Completed by 15th of following month.
- Must include all medication errors (including Critical incident med errors)

Random monthly audits

Where and how to submit....

Remember to include all pieces...

- Incident report form (remain at agency)
- Critical Incident reports (fax only)
- Medication Error reports (return email only)
- Medication Error log (remain at agency)
- Mortality records request (fax only)
(Mortality records faxed within 14 days)

To submit

- Critical Incidents fax to: 502-564-2284
- Medication error report EMAIL only
- Mortality records fax to: 502-564-2284



Effective risk management

Suggestions for provider

- Establish incident response teams
- Use the analysis to document patterns and trends
- Conduct ongoing monitoring of incidents and preventive/corrective actions
- Keep risk management policies up-to-date and ensure staff are trained on the policies



DDID Risk Management Team

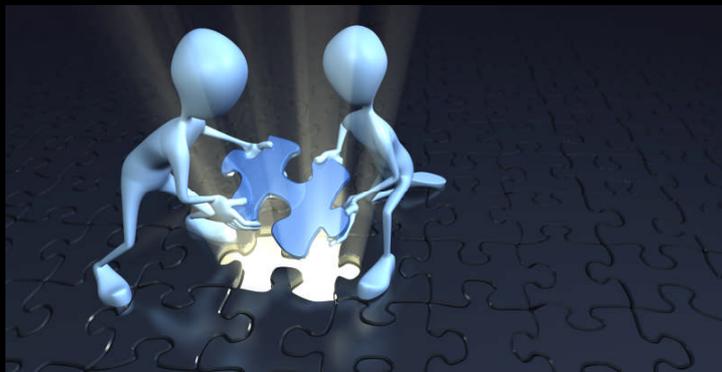
Who are the team players??

- Regional nurse
- Regional Area Administrators
- Central office nurses
- Central office support staff



Questions????





Conclusion

Remember Person-Centered Thinking



Contact Information

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