



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona



Introduction to Incidents and Incident Reporting Expectations

Based on AHCCCS AMPM Chapters 910 & 960

Course Objectives

- Define what an incident is
- Incident Categories
 - Review examples of incidents
- Taking Immediate Action for Health and Safety
- Timeframe for Reporting an Incident
- Submitting and Processing an Incident
- Incident Reports that become Quality of Care Concerns
- Contact Information

Purpose – Protection from Harm

The purpose of the DDD incident management reporting system is to:

- Identify adverse events, potential jeopardy, and factors related to risk,
- Notify key people involved in the planning and support of the member,
- Trigger a response to protect the member and minimize further risk,
- Collect and analyze data about members, services, providers, and the service delivery system,
- Identify patterns and trends in order to guide service and process improvement.

Incident Management is a basic component of the DDD *protection from harm* system.

What is an Incident?

A **Standard Incident** is defined as:

An occurrence which could potentially affect the health and well-being of a member or pose a risk to the community.

A **Serious Incident** is defined as:

An **extraordinary** event involving a member, facility, or employed/contracted worker.

A serious incident poses the threat of immediate death or severe injury to a person, substantial damage to individual or state property, and/or widespread interest in the news media.

The QM Triage Process Determines the Incident Category

Common Examples of Incidents

- **Standard Incidents Include:**

- Accidental injury
- Theft or loss of member's money
- Medication errors
- Circumstances which pose a threat to health, safety or welfare of the member such as loss of air conditioning, loss of water or loss of electricity for more than one day

- **Serious Incidents Include:**

- Evidence of severe physical injury
- Member missing (*imminent danger*)
- Suicide attempt by member including 911 calls
- Death of the member

Standard Incidents

Additional Examples Include*:

- Unplanned hospitalization or ER visit
- Violation of a member's legal or human rights
- Provider and/or member fraud
- Exploitation
- Neglect of the member
- Allegations of sexual, physical, programmatic, verbal/emotional abuse
- Suicide threats
- Member missing (*no imminent danger*)
- Environmental circumstances impacting member health, safety and welfare (e.g. loss of air conditioning, loss of electricity, etc.)
- Complaints from a member or family about a residential setting, resident or the qualified vendor
- Health care acquired conditions
- Unusual weather conditions or other natural disasters resulting in change of operations or relocation of member
- Vendor staff drug use

***This is not an all-inclusive list.**

Serious Incidents

Additional Examples Include*:

- Evidence of severe physical injury
 - Creates a reasonable risk of death
 - Causes serious or permanent disfigurement
 - Causes serious impairment of member's or staff health
- Evidence of sexual assault
- Theft or loss of member's money or property in excess of \$1,000
- Circumstance that poses a serious threat and immediate threat to the physical or emotional well-being of a member or staff
- Property damage estimated in excess of \$10,000
- Report to law enforcement regarding possession or use of illegal substances by member or staff
- Incident or complaint from the community that could be or is reported by the media

***This is not an all-inclusive list.**

Knowledge Check

Which is *not* a purpose of DDD incident management?

- a. Identify adverse events, potential jeopardy, and factors related to risk
- b. Inform the member of their rights
- c. Trigger a response to protect the person(s) and minimize further risk to the person(s) and others
- d. Have the capacity to identify patterns and trends in order to guide service improvement efforts

Knowledge Check

Fill in the Blank:

An _____ is defined as an occurrence, which could potentially affect the health and wellbeing of a member enrolled with the Division of Developmental Disabilities or poses a risk to the community.

Knowledge Check

_____ and _____ are the categories of incidents. Select the correct response.

- a. Common and Serious
- b. Normal and Unusual
- c. Standard and Serious
- d. Standard and Severe

Knowledge Check

Which is an example of a Serious Incident? Select all that apply.

- a. All member deaths
- b. Allegations of sexual, physical, programmatic, verbal/emotional abuse
- c. Theft or loss of a member's money or property of more than \$1,000
- d. A & B
- e. A & C
- f. A, B & C

Taking Immediate Action

When an incident occurs, a **provider** is required to take ALL actions *necessary* to resolve the emergency *and* implement protective measures immediately for the member's safety.

The following are steps to be taken as needed:



CONTACT
EMERGENCY
MEDICAL SERVICES
OR LOCAL LAW
ENFORCEMENT
(911)



FOR CHILDREN
UNDER AGE 18,
CONTACT
DEPARTMENT OF
CHILD SAFETY
(888-767-2445)



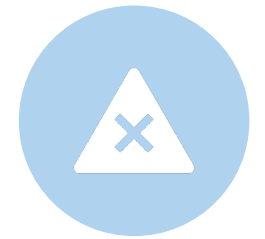
FOR MEMBERS AGE
18 AND OVER,
CONTACT ADULT
PROTECTIVE
SERVICES
(877-767-2385)



REMOVE STAFF
INVOLVED IN THE
ALLEGED OR *ACTUAL*
INCIDENT FOR THE
DURATION OF THE
INVESTIGATION



ENSURE SERVICES
CONTINUE WITH A
REPLACEMENT
WORKER *OR* THE
PERSON(S)
IDENTIFIED ON THE
MEMBER'S BACK-UP
PLAN



**TAKE ALL NECESSARY
STEPS TO PREVENT
FURTHER HARM**

Reporting Time Frames

Serious Incidents

- Must be reported as soon as possible but **no later than 24-hours** after the incident.

Standard Incidents

- Must be reported by close of the **next business day** following the incident.

Incidents occurring after normal business hours must still meet these reporting requirements.

Provider Incident Reporting Expectations

The **provider** must notify the District responsible for the member(s) affected. The email submission of the Incident Report must be detailed and include the following information **at minimum**:

- Name of member
- Date, time, duration and location of the incident
- Name and phone number of the reporter
- Name(s) of any other witnesses to the incident
- List of all protective services contacted (law enforcement, Adult Protective Services, Department of Child Safety/Tribal Services)
- Describe what happened before or leading up to the incident
- Detailed description of the incident, including any intervention during the incident
- Description of injury (if an injury occurred)
- All actions taken by staff or others to ensure the safety of the member (and others if needed)

Provider Incident Reporting Expectations

Being Thorough Matters!

Actively reporting incidents, providing immediate protections, identifying causes and contributing factors and implementing effective prevention plans are all critical elements to protecting the health and welfare of the vulnerable members we support.

Reporting incident information thoroughly and accurately helps DDD support members and our contracted providers by:

- Ensuring that District Nurse health and safety checks happen timely
- Determining if the incident needs a Quality of Care investigation
- Reducing the number of calls to the provider for additional information

Knowledge Check

Serious incidents must be reported in what time frame?

- a. No later than 48-hours after the incident
- b. By the next business day
- c. No later than 24-hours after the incident
- d. No later than 12-hours after the incident

Knowledge Check

Standard incidents must be reported in what time frame?

- a. Within 48-hours after the incident
- b. By close of the next business day
- c. Within 36-hours after the incident
- d. By the end of the week

Knowledge Check

What piece of information must be included by the reporter?

- a. Name and phone number of the case manager
- b. List of all family members contacted
- c. What happened before or leading up to the incident

Knowledge Check

Providing thorough and accurate information on an incident report is critical to protecting the health and welfare of people supported by the Division of Developmental Disabilities in Arizona.

- a. True
- b. False

Knowledge Check

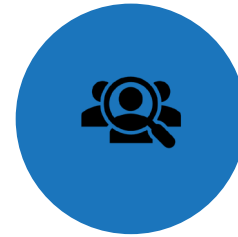
Which of the following are steps to be taken as needed?

- a. Contact emergency medical services or local law enforcement
- b. Allow any involved staff to stay on duty to observe their work ethics and professionalism
- c. Ensure services continue with a replacement worker or the member's back-up plan
- d. A & C
- e. None of the above

DDD Action Upon Incident Report Receipt



ACKNOWLEDGE RECEIPT OF THE ISSUE TO THE REPORTER AND THE NAMED MEMBER(S)



TRIAGE THE INCIDENT REPORT TO DETERMINE IF IT MEETS THE QUALITY OF CARE CONCERN (QOC) THRESHOLD; IF YES, ASSIGN TO AN INVESTIGATOR



IF NOT ALREADY DONE AND DETERMINED NECESSARY, THE QUALITY MANAGEMENT UNIT (QMU) NOTIFIES ADULT PROTECTIVE SERVICES, DEPARTMENT OF CHILD SAFETY/DCS AND/OR LAW ENFORCEMENT



REQUEST A HEALTH AND SAFETY CHECK FOR QOCS IF APPROPRIATE



PROVIDE EXPLANATION TO THE MEMBER OR PROVIDER (INCLUDING ALL INDIVIDUAL AND ORGANIZATIONAL PROVIDERS) OF THE PROCESS THAT WILL BE FOLLOWED TO RESOLVE THEIR ISSUE THROUGH WRITTEN CORRESPONDENCE



ROUTE TO DISTRICT QUALITY MANAGEMENT (QM) STAFF FOR HEALTH AND SAFETY CHECK OR OTHER FOLLOW-UP, IF NEEDED

From Incident to Quality of Care Concern (QOC)

- An incident detrimental to a member's health or safety that may reflect the care provided was **below the professional standards of care**, may be categorized as a Quality of Care concern (QOC).
- An incident can **ONLY** be categorized as a Quality of Care concern by a **DDD Triage Nurse**.

Knowledge Check

Which is not a DDD Action Upon Receipt of Incident Report?

- a. Triage the incident report to determine if it meets the Quality of Care concern threshold, if yes, assign to an investigator.
- b. Route to the Division's Medical Director for a Health and Safety check or other follow-up, if needed.
- c. Contact protective service agency, if not already done and appropriate.

Knowledge Check

_____: An incident detrimental to a member's health or safety and that may reflect that the care provided was below the professional standards of care.

- a. Serious Incident
- b. Quality of Care Concern
- c. Standard Incident

Knowledge Check

Who determines what incidents become Quality of Care Concerns?

- a. DDD Quality of Care Triage Nurse
- b. Anyone who works in the Triage Department
- c. Medical Director
- d. None of the above

District Contact Information

Use this information to submit incident reports:

District	Address	Phone Number	Email Contact
Central	4000 N Central Ave Suite 900 Phoenix, AZ 85012	602-246-0546	DDDCentralIR@azdes.gov
East	120 W 1 st Ave. Mesa, AZ 85210	602-771-6900	DDDEastIR@azdes.gov
North	1701 N 4 th Street Flagstaff, AZ 86004	928-779-2731	DDDDistrictNorthIncidentReports@azdes.gov
South	400 W Congress Suite 500 Tucson, AZ 85701	520-628-6800	DDDD2IR@azdes.gov
West	11526 W Bell Rd Surprise, AZ 85378	602-771-1700	DDDDWestIR@azdes.gov

In Closing

The members we support should have a quality of life that is free of abuse, neglect, and exploitation. Our incident management system must emphasize prevention and staff involvement in order to provide safe environments for the people we serve.

Quality begins with those closest to the member, and who are committed to the welfare of the member.

The members we support are entitled to appropriate services in a caring environment that promotes dignity, respect, and is free from harm.

For More Information

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