

Reportable Incidents & Reportable Sentinel Events

Presented by District Quality Assurance
September 2024

Objectives

- ▶ To provide an overview of common types of reportable incidents and sentinel events, including the time frames and the pathways for reporting.
- ▶ To identify sentinel events that require immediate notification to the Division during or after business hours, weekends, and holidays.

In the event of an emergency FIRST CALL 9-1-1

First and foremost, take whatever actions are necessary to resolve the emergency and ensure the health and safety of members and other involved parties.

Reportable Incidents

- ▶ Allegations of Abuse, Neglect, or Exploitation of a Member
- ▶ Death of a Member
- ▶ Delays or difficulty accessing care or services (e.g., gaps in DDD services or difficulty obtaining acute care services, etc.)
- ▶ Healthcare acquired conditions and other provider preventable conditions
- ▶ Serious Injury:
 - ▶ Injury resulting from the use of a personal, physical, chemical or mechanical restraint, or seclusion
 - ▶ Injury requiring medical care or treatment beyond first aid (Note: Very minor injuries such as scratches or hangnails that can be treated by direct care staff do not need to be reported)

Reportable Incidents (*continued*)

- ▶ Medication Error (including medication refusal)
- ▶ Missing Member
- ▶ Member Suicide Attempt
- ▶ Suspected or alleged criminal activity (either member or staff)
- ▶ Death of a Member
- ▶ Emergency measures used by staff (including both approved and prohibited techniques)
- ▶ Environmental circumstances, such as inclement weather, loss of air conditioning/heating, loss of water, loss of electricity, which pose a threat or may cause harm to a member or requires a change in operations

Reportable Incidents (*continued*)

- ▶ Health Insurance Portability and Accountability Act Violation
- ▶ Allegations of Medicaid Fraud, Waste or Abuse
- ▶ Missing or loss of member funds or property less than \$1,000
- ▶ Property damage less than \$10,000
- ▶ Illicit drug use by staff or member
- ▶ Allegations of Human Rights Violations
- ▶ High profile case or police involvement
- ▶ Community Complaint
- ▶ Any other incident that causes harm or has the potential to cause harm to a member

Note: Member behavior shall be reported when the behavior or its consequences satisfies one or more of the above reporting requirements (e.g., the member is injured, emergency measures are used, property damage occurs, law enforcement is involved, etc).

Reportable Sentinel Events

- ▶ Serious injury associated with:
 - ▶ A missing member
 - ▶ Attempted suicide or self harm
 - ▶ A fall
 - ▶ The use of a personal, physical, chemical or mechanical restraint, or seclusion
 - ▶ A member resulting from a physical assault that occurs during the provision of services
- ▶ Death
- ▶ Death or serious injury of a member associated with a medication error
- ▶ Death or serious injury associated with a missing member

Reportable Sentinel Events (*continued*)

- ▶ Suicide, attempted suicide, or self-harm that results in serious injury
- ▶ Homicide committed or allegedly committed by a member
- ▶ Death or serious injury of a member associated with the use of a personal, physical chemical or mechanical restraint, or seclusion
- ▶ Missing or loss of member funds or property over \$1,000
- ▶ Property damage over \$10,000
- ▶ Sexual abuse or sexual assault of a member during the provision of services
- ▶ Death or serious injury of a member resulting from a physical assault that occurs during the provision of services
- ▶ Homicide committed or allegedly committed by a member

How to Report Incidents and Sentinel Events

Reportable incidents must be submitted in writing to the Division's Quality Management Unit on form DDD-091A FORFF (10-23) no later than the next business day after the incident occurred.

Sentinel events must be reported to the Division by:

- Immediately calling 602-375-1403 or 1-855-375-1403
- Submitting a detailed written incident report to the Division's Quality Management Unit no later than the next business day after the incident occurred.

Notes: Phone lines are available 24 hours a day, weekdays, weekends, and holidays.

Telephonic reporting does NOT replace the need for a written Incident Report to be submitted to the member's assigned district.

Qualified Vendors are required to report all the above reportable incidents and sentinel events that occurred during the provision of services. Vendors are advised to elevate other member-related concerns to support coordination for guidance and assistance.

What Incidents should you report to the After-Hours Reporting Line?

All sentinel events are to be reported to the After Hours reporting line; non-sentinel events do not need to be called in. After Hours is not for reporting non-sentinel events, those should follow the normal reporting process.

After Hours are available from 5:00pm to 8:00am during weekdays, 24 hours on weekends and holidays.

Reporting to the After Hours reporting line does **NOT** replace the need for an Incident report to be submitted to the member's assigned district.

Incident Reporting Form

- ▶ All incident must be reported using:
 - ▶ DDD 0191A FORFF (10-23) or
 - ▶ An agency form that exactly mirrors the 0191A form.
- ▶ The Division will not accept any other forms/formats.
- ▶ All reports should be completed electronically. No handwritten reports will be accepted.
- ▶ Electronic signatures are not required; the Division will accept other signature formats or a typed/printed name of the person completing and reviewing the form.

Due to limitations of the PDF specification, the Division was not able to increase the character limits within the description boxes. As a solution, you can document the description in a Word Document and attach it when submitting the Incident Report form. Please be sure to indicate in the text boxes within the Incident Report form you are including the descriptions as an attachment.

Mandated Reporting

Qualified Vendors and independent Providers who have a reasonable basis to suspect that Abuse, Neglect, or Exploitation of a Member has occurred must report such information immediately to a peace officer or protective services agency.

Resources

- ▶ Provider Manual Chapter 70 Qualified Vendor Incident Reporting

https://des.az.gov/sites/default/files/media/DDD_Provider_Policy_Manual_Chapter_70_Qualified_Vendor_Incident_Reporting.pdf?time=1703096553023

- ▶ DDD 0191A FORFF (10-23)

<https://des.az.gov/sites/default/files/legacy/dl/DDD-0191A.pdf?time=1703096737677>

District QA Contact Information

District	Email	Phone#	Fax#
District Central	dddcentralir@azdes.gov	(602) 375-1403 Option #2	(602) 532-5511
District East	dddeastir@azdes.gov	(602) 375-1403 Option #1	(480) 890-7138
District North	dddistrictnorthincidentreports@azdes.gov	(602) 375-1403 Option #4	(928) 773-8496
District South	ddd2ir@azdes.gov	(602) 375-1403 Option #5	(520) 628-6682
District West	dddwestir@azdes.gov	(602) 375-1403 Option #3	(602) 771-1857

Questions?

Thank you