



## DEPARTMENT OF ECONOMIC SECURITY

*Your Partner For A Stronger Arizona*

# DIVISION OF DEVELOPMENTAL DISABILITIES

Sent on Behalf of DES/DDD

## INCIDENT REPORT FORM USER GUIDE AND FAQs

Target Audience - Qualified Vendors and Providers

Transmittal Date - 05/19/2023

As promised in a Vendor Announcement the Division of Developmental Disabilities (DDD) sent at the end of April 2023, DDD finished two documents related to the new Incident Report Form:

- A new user guide
- A new FAQ document

DDD has included both documents in this email, below. Please note that DDD is in the process of making minor grammatical edits to the new Incident Report Form and an updated version with those edits will be posted next week.

### Incident Report Form User Guide / Instructions

#### General / Helpful Tips:

1. Qualified Vendors or Providers will only need to complete the applicable section for the reportable incident. For example, if the reportable incident was an injury, the Incident Type - Medication Error and Incident Type - Death, would not need to be completed; just the Incident Type - Other.
2. 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.
3. If the answer to a question is not known at the time the incident report is being written and submitted, it is appropriate to indicate "Unknown" or "Unknown at this time".
4. Please provide as much detail about the incident being reported as possible, including how and which policies were followed. For example, if your agency has a policy on finding replacement staff to cover a shift, be sure to include this information in the description and what actions you took per this policy.
5. Incidents can be verbally reported to the Division during after-hours, weekends and holidays by calling: 602-375-1403 or 1-855-375-1403. A written incident report must be submitted to the Division no later than the next business day after the incident occurs.

#### Page 1:

- Indicate the date of the Behavior Plan or Person-Centered Service Plan you have on file.
- "Location of Incident": Where was the member at when the incident occurred?
  - Community - Ex., Fry's parking lot, Community park, Circle K, etc.
  - Other: Ex., Hospital, Urgent Care, Driving in the group home van, etc.
- "What services were being provided at time of incident": What services were staff providing at the time of the incident? For in-home services, it may be respite, attendant care, etc. For group home services, it may be an outing to the park, etc.

**Page 2:**

- “Individual / Staff Involved”: This section is to identify the other individuals who were involved in the incident, including staff and members. Be sure to include their names here. Do not use nicknames.

**Page 3:**

- “Describe the Member’s condition before the medication incident”: Based on your observation, how was the member’s appearance, behavior, etc.? Were there any concerns or complaints voiced by the member? Example: Johnny seemed to have no signs of pain or discomfort.
- “Describe the Member’s condition after the medication incident”: Based on your observation, how was the member’s appearance, behavior, etc.? Were there any concerns or complaints voiced by the member? Example: Johnny seems lethargic and said his stomach hurts.

**Page 4:**

- “Medication administered by”: This is the person who allegedly made the medication error.

**Page 5 (Incident Type - Death):**

- “What type of day was the Member having?": Based on your observation, how was the member’s appearance, behavior, etc.? Example: Johnny seemed to be having a good day; he was happy and smiling.
- “Did the Member complain about any unusual symptoms or were any unusual symptoms observed prior to death?": Based on your observation, was the member reporting or displaying any unusual symptoms? Example: Johnny complained of stomach pain, dizziness and nausea.

**Page 7 (Incident Type - Other):**

- “What type of day was the Member having?": Based on your observation, how was the member’s appearance, behavior, etc.? Example: Johnny seemed to be having a good day; he was happy and smiling.
- “Was anything unusual happening in the environment before the incident occurred?": Was there anything occurring within the immediate environment which may have contributed to the incident? Example: The group home AC was not working, and the home was hot.

**Page 8:**

- “Was the Member injured?": This question is intended to be answered for all injuries to the member, with the exception of an injury as a result of an Emergency Measure. An injury from an Emergency Measure would be reported on page 7.
- “Notifications”: This section must be completed for all the notifications made at the time of the incident prior to submission of the incident report. If the incident occurs during after-hours, holidays or weekends, the Support Coordinator can be called on the next business day. If submitting the incident report during after-hours, holidays or weekends, it is appropriate to indicate on the form, “We will notify the Support Coordinator on...”.

**Page 9:**

- “Corrective Actions / Comments”: This section is intended for the Qualified Vendor or Provider to identify what actions they took immediately to help prevent the incident from happening again. Example: Staff used undermount tape to secure the rug from sliding on the wood floors so Johnny would not slip and fall when walking on the rug”.

## New Incident Report Form FAQs

### Q. Where can the new Incident Report Form be accessed?

The new Incident Report Form can be accessed through this link: <https://des.az.gov/file/3008/download>.

### Q. When will the new Incident Report Form be required to be implemented by the Qualified Vendor or Provider?

July 1, 2023

### Q. What incidents are reportable to the Division?

The Division has created a new policy that provides clarity on reportable incidents; please refer to the 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=1683832026619](https://des.az.gov/sites/default/files/media/DDD_Provider_Policy_Manual_Chapter_70_Qualified_Vendor_Incident_Reporting.pdf?time=1683832026619)

### Q. Where would Qualified Vendors or Providers submit the completed Incident Report?

The Division has not changed the District-specific email addresses or fax numbers for incident report submission:

- District Central: [DDDCentralIR@azdes.gov](mailto:DDDCentralIR@azdes.gov); Fax: (602) 532-5511
- District East: [DDDEastIR@azdes.gov](mailto:DDDEastIR@azdes.gov); Fax: (480) 890-7138
- District North: [DDDDistrictNorthIncidentReports@azdes.gov](mailto:DDDDistrictNorthIncidentReports@azdes.gov); Fax: (928) 773-8496
- District South: [DDD2IR@azdes.gov](mailto:DDD2IR@azdes.gov); Fax: (520) 628-6682
- District West: [DDDDWestIR@azdes.gov](mailto:DDDDWestIR@azdes.gov); Fax: (602) 771-1857

### Q. Will there be any training or technical assistance on how to complete the new Incident Report Form?

The Division created “instructions” on how to complete the new form and posted it alongside the FAQs. The Division’s Quality Management Unit will be available to answer questions and provide any needed technical assistance to those who may require additional support. Please submit any inquiries to: [dddquality@azdes.gov](mailto:dddquality@azdes.gov).

### Q. Is the expectation that a full 10-page Incident Report be filled out every time there is an incident to report?

While the full Incident Report is 10 pages long, Qualified Vendors or Providers will only need to complete the applicable section for the reportable incident. For example, if the reportable incident was an injury, the Incident Type - Medication Error and Incident Type - Death, would not need to be completed; just the Incident Type - Other. Please refer to the “instruction” manual for further guidance.

### Q. What types of incidents should be included in the “Other” category?

The “Other” category will be used to report any incident other than a Medication Error or a Death. The Division has created a new policy which provides clarity on reportable incidents; please refer to the 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=1683832026619](https://des.az.gov/sites/default/files/media/DDD_Provider_Policy_Manual_Chapter_70_Qualified_Vendor_Incident_Reporting.pdf?time=1683832026619)

### Q. Will the Division accept other Incident Report Forms if the form answers the same questions?

The Division encourages Qualified Vendors or Providers who do have and utilize an EHR, or other electronic system for incident reporting, to update these systems to align/mirror the new Incident Report Form. The

order of the questions must not deviate from the Division's Incident Report Form. The Division will accept the PDF version from these systems.

**Q. One challenge with the FOCUS/IMS was that you are not able to download, save, print, or email the Incident Report. Will Qualified Vendors or Providers be able to enter incidents into the Division's FOCUS/IMS system post-implementation?**

No, the new Incident Report Form will not be available in the Division's FOCUS/IMS system. The Division will no longer provide the option of direct entry into IMS post-implementation for Qualified Vendors or Providers. The new Incident Report Form allows for you to download, save, print and email the form at your discretion from your own local drive.

**Q. The new Incident Report Form is in Adobe; will it require an Adobe electronic signature or be password-protected?**

The Division has updated the new Incident Report Form to remove the requirement for an Adobe electronic signature and password protection once signed. The Division will accept other signature formats or a typed/printed name of the person completing and reviewing the form.

**Q. What are the timeframes to submit the written Incident Report Form to the Division?**

The Division has updated the requirement for incident report submission from 24 hours to the next business day. Sentinel Events must be reported to the Division immediately at 602-375-1403 or 1-855-375-1403 (phone lines are available 24 hours a day, weekdays, weekends, and holidays) with the submission of a detailed incident report no later than the next business day after the occurrence.

The Division has created a new policy which provides clarity on reportable incidents and the timelines for incident submission; please refer to the 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=1683832026619](https://des.az.gov/sites/default/files/media/DDD_Provider_Policy_Manual_Chapter_70_Qualified_Vendor_Incident_Reporting.pdf?time=1683832026619)

**Q. How would incidents occurring during after-hours, weekends and holidays be reported to the Division?**

Incidents can be verbally reported to the Division during after-hours, weekends and holidays by calling: 602-375-1403 or 1-855-375-1403. A written incident report must be submitted to the Division no later than the next business day after the incident occurs.

**Q. Was one of the goals of the new Incident Report to reduce the need for formal Fact-Findings and Remediations/CAPS by attempting to gather all the additional information as part of the new Incident Report Form?**

As previously communicated, the new form was created through a collaborative workgroup with AHCCCS, the Division and the Independent Oversight Committees (IOCs). The primary goal was to standardize data collection to provide meaningful information to the IOCs and enhance and capture data required in HB2865, which was passed in June 2022.

A result of a standardized and more detailed incident report template is the provision of more complete and comprehensive information that should reduce the need for the back-and-forth between the provider and the Division.

The Division will continue to conduct all necessary components of the investigative process, including fact finding, as outlined in Division Operations Policy Manual 6002-F Investigative Process:

[https://des.az.gov/sites/default/files/media/DDD\\_Operations\\_Policy\\_Manual\\_6002-F\\_Investigative](https://des.az.gov/sites/default/files/media/DDD_Operations_Policy_Manual_6002-F_Investigative)

**Q. The amount of detailed questions included on the new Incident Report Form will require in-depth fact finding to ensure accuracy in reporting to DDD. This type of information gathering cannot be accomplished in such a short timeframe. Will the new Incident Report Form replace the formal Fact Finding and investigative process?**

No, the new Incident Report Form will not replace any fact finding or investigative processes the Division conducts as a result of an incident. If the information is not known at the time the incident report is being completed, it is acceptable to write “unknown at this time”.

The Division has updated our information and documentation request (previously known as Fact Finding) process to a singular request from the Quality Management Medical Director. The timelines for submission of the requested information is now seven (7) business days. There are times when the Division may need an expedited response (Sentinel Event, immediate jeopardy, police/media involvement, etc.), and we will request a response within 24 to 48 hours. As a reminder, if the Division does not receive the requested documentation within the requested timeframes, a determination will be made based on the information available.

**Q. If there are multiple members involved, would their full names be included in the Incident Report Form under “Individual / Staff Involved”?**

The Division needs to be able to identify the other member(s) involved in order to conduct a thorough investigation. We are diligent in safeguarding all PHI and PII and will redact as required.

**Q. Are Qualified Vendors or Providers required to notify the Support Coordinator of the incident?**

Yes, there are no changes from the previous Incident Report process regarding Support Coordination notifications. The Division expects the Qualified Vendor or Provider to notify the Support Coordinator the next business day following the incident.