

PRINCIPLES OF CAREGIVING DEVELOPMENTAL DISABILITIES MODULE

CHAPTER 6: INCIDENT REPORTING

FACILITATOR GUIDE

CONTENT:

- A. Types of Incidents
- B. Incident Reporting
 - 1. Basics: The purpose of incident reporting
 - 2. Steps to take when an incident occurs
 - 3. Reporting emergency measures
 - 4. When completing an incident report

Estimated time for this chapter: 1.5 hours

Needed Materials:

- 1. Facilitator Guide
- 2. Participant Guide
- 3. Incident Report Form (DD-191 FF 5-10)

COMPETENCIES:

(TO KNOW OR BE ABLE TO:)

1. Identify examples of incidents that need to be reported.
2. List the steps a DCW must take when an incident occurs.
3. List who needs to be notified about an incident.
4. Identify time frames for reporting incidents.
5. Identify essential components for documentation of an incident report.

KEY TERMS:

Emergency measure

Serious incident

Incident

Verbal report

Incident report

Written objectively

A. TYPES OF INCIDENTS

An incident is an event or occurrence that could potentially impact the health and well-being of an individual, his/her relatives, the State of Arizona, the service provider or the community. This could include situations that may be considered news-worthy and/or incur liability to the State of Arizona or the provider agency. An incident is **anything** that could negatively impact the person, the provider or the Division. **Incidents must be reported.**

Some incidents are considered “serious” incidents and have a higher reporting priority. If you are ever not sure if something would be considered a Serious Incident, just notify your supervisor right away and they will help you determine the reporting procedure that should be followed.

Facilitator Note:

Ask the group to call out things that they think could be considered an incident or serious incident based on the discussion so far. Provide positive reinforcement for all responses. Finish up by saying our slogan is: “If in doubt, fill it out!”

DISCUSSION POINT: What is an incident?

Facilitator Note:

State that there are times when we are required to complete a report; reporting is discussed in the second part of this chapter. Review the two lists below as needed to cover items that did not come up in the previous discussion.

Also refer to information on reporting in the Fundamentals portion of the course: chapter 2 - Legal and Ethical Issues (mandatory reporting, HIPAA); chapter 6 - Observing, Documenting, Reporting, and chapter 9 - Fire, Safety and Emergency Procedures.

Types of Incidents - Examples

Incidents can include, but are not limited to:

- Death of an individual.
- Potentially dangerous situations due to neglect of an individual.

- Allegations of suspected sexual, physical, programmatic, or verbal/emotional abuse.
- A missing individual.
- Accidental injuries that may or may not result in medical intervention.
- Violation of an individual’s rights.
- Fraud (for example: falsifying timesheets).
- Complaints about a group home or someone who live in a group home.
- Allegations of inappropriate sexual behavior.
- Circumstances that pose a threat to the health, safety or welfare of individuals, such as loss of air conditioning, loss of water or loss of electricity.
- Use of behavior management techniques that are not part of a behavior building plan.
- Theft or loss of an individual’s money or property.
- The use of emergency measures as defined by Article 9.
 - Physical management techniques employed in an emergency to manage a sudden, intense, or out-of-control.
- Problems with medications.
- Community disturbances in which the individual or the public may have been placed at risk.
- Serious work related illness or injury.
- Threats to Division or provider employees or property and non-consumer/non-employee accidents that occur on state or provider property.
- Unplanned hospitalization or emergency room visit in response to an illness, injury, or medication error.
- Unusual weather conditions or other disasters resulting in an emergency change of operations.
- Provider drug use.

Serious incidents

Serious incidents require immediate notification to the Division of Developmental Disabilities (DDD). The Division interprets “immediately” as the first allowable opportunity that does not place the consumer or staff at undue risk, as applicable to the situation. Notification must occur within 24 hours of the incident. If someone in your agency is not available, you are required to report this incident directly to the Division/support coordinator; check your agency’s policy for reporting. The DCW must also report all suspected incidents of abuse and neglect to the appropriate protective services and law enforcement agency.

Serious incidents could include, but are not limited to:

- All deaths.
- All suspected allegations of abuse and neglect.
- Any situation that poses a serious and immediate threat to the physical or emotional well-being of an individual or staff member.
- Severe personal injury – a physical injury that creates a reasonable risk of death, causes serious or permanent disfigurement or causes serious impairment of a consumer’s health.
- A situation in which a person, who cannot be unsupervised at home or in the community, runs away or is missing.
- Property damage estimated in excess of \$10,000.
- A situation that involves the theft or loss of an individual’s money or property of more than \$1000.
- A situation that involves reporting to law enforcement officials because a Division-enrolled individual is missing and presumed to be in imminent danger.
- A situation that involves reporting to law enforcement officials due to possession and/or illegal substance use by individuals or staff/providers.
- A situation that results in a 911 call due to a suicide attempt by an individual.
- A situation that involves an incident or complaint from the community that will be or is reported on the front pages of the newspaper or on television/radio.

Your employer may also want you to report damage to any property or other situations that are “out of the ordinary.” Your agency will determine whether to classify these incidents as serious or not.

Facilitator Note:

Discuss the idea that the difference between an incident and a serious incident is the severity of the incident. Incidents are typically less severe than serious incidents and involve a lower priority. Emergency measure reports are most similar to serious incidents, but include some additional reporting requirements.

B. INCIDENT REPORTING

1. Basics: The purpose of incident reporting

Facilitator Notes:

Ask the participants to discuss very quickly with the person next to them why incident reporting is important. After giving them a short amount of time to talk about it, ask the participants to

call out reasons why incident reporting may be important for the person that they are supporting. You may want to write their responses on a white-board or newsprint pad. Then repeat the process asking about why incident reports might be important for them as employees or contractors, their employer, the State of Arizona, etc. Once the answers become repetitive or the main topic areas have been covered, emphasize that incident reports have value in many different ways, primarily as the following.

- A communication tool.
- A way to protect the Direct Care Worker.
 - An incident report protects the direct care worker, the agency they work for, and the state of Arizona by ensuring that all responses to an incident are documented.
- A way to promote health and safety.
 - An incident report ensures that issues are addressed that could negatively affect the person.
- A method for gathering trending data.
 - Incident reporting helps the family and team to see patterns and provides a record of incidents and occurrences. This may benefit the family and team in addressing triggers or patterns of problems that have occurred.
- A way to reduce the likelihood of recurrence.
 - It allows the family and team to address problem areas. For example, if a person is hitting their shins as they get out of bed, causing injury and pain, an incident report will let everyone know that there is a problem with the bed or bedroom set up so that it can be changed.
- A way to provide communication between responsible parties, the Division of Developmental Disabilities, the provider agency, and the Direct Care Worker.
- A tool to report on issues of concern that need follow-up.
 - Without an incident report, the people who are in a position to make a difference may not know all the information they need to take action. The incident report allows the provider agency, that State of Arizona, and the responsible person and family (when appropriate) to take the steps needed to resolve a problem or issue.

HANDOUT:

Give each of the participants a copy of an incident report form - DD-191 FF (5-10). Review each of the components of the incident report form to ensure that the class participants are familiar with the layout and content of the form.

ACTIVITY:

- Have the participants work in pairs up or small groups.
- Hand out a sample scenario to each group.
 - Sample Scenarios can be found in the “Resources” section in the back of this Facilitator Guide.
 - You do not need to use every scenario. Choose the one(s) that you feel will be the most beneficial and meaningful for this particular class.
- Have the groups discuss the type of report (if any) that each scenario requires.
- Have the groups share their scenario, the type of report they identified for that scenario, and why they chose that type of report.

2. Steps to take when an incident occurs

“When in doubt, fill it out.”

In the event of a situation that could be considered an incident, follow these steps:

- First and foremost, take whatever actions are necessary to resolve any emergencies and ensure the health and safety of any individuals involved. This may include calling 911 or taking other emergency actions.

For incidents:

- Complete a written report of the incident as soon as possible, but before the end of your work day.
- The provider agency must provide the written report to the District (DES/DDD) by the close of the next business day. You, the Direct Care Worker, may be responsible for sending it, or your supervisor may ask you to give it to them and they will send it.
- A copy of the report must also be sent to the responsible person if there is one. Again, you may be responsible for sending it, or your supervisor may ask for the incident report to send it.

For serious incidents

- Complete a written report of the serious incident as soon as possible, but before the end of your work day.
- The provider agency must provide a verbal and written report to the Division.
- **Within 24 hours** of a serious incident the following actions must be taken:
 - The service provider must make a verbal report of the incident to the District (DES/DDD). There are after-hours reporting systems if the incident occurs after hours or on weekends.
 - A written report must be completed and submitted to the District (DES/DDD) within 24 hours of the incident.
 - Notification to the responsible person (guardian, family member, etc.) must be made within 24 hours.

Facilitator Note: The responsible person may be a guardian or family member. The responsible person must be notified unless it has been otherwise specified in the Individual Support Plan (ISP). Agency administrators may make this notification, or it may be made by the DES/DDD Support Coordinator. Occasionally, the direct support provide, may be asked to make the notification.

3. Reporting emergency measures

When an emergency physical management technique is employed to manage a sudden, intense and out-of-control behavior, the person employing the measure must:

- Immediately report the circumstances of the emergency measure to DES/DDD and the responsible person.
- After calling the above individuals, submit a full and complete written report of the circumstances of the emergency measure within one working day to the Support Coordinator and the District Central Reporting Site.
- The DCW responsibility in this is to ensure the immediate notification occurs and to write the Incident Report as quickly as is safe and prudent to do so, but before the end of their shift.

DES/DDD interprets “immediately” as the first allowable opportunity that does not place the client or staff at undue risk, as applicable to the situation, and not to exceed 24 hours.

In your report of an emergency measure you will want to include the following information:

- All interventions used before the emergency measure was implemented.
- A statement of how the individual’s behavior presented imminent danger (injury to self, others or severe property damage).

- That the behavior showed continuance, or a likelihood of continuing (the intensity was going to continue if you did not intervene).
- Information regarding any injuries that may have occurred and care steps taken to care for those injuries.

Facilitator Notes:

Stress the following information: These reporting requirements apply regardless of the time of day, or day of the week, when the incident report occurs. After-hours reporting systems are in place for incidents that occur after hours or on the weekends.

NOTE: As this process will vary from district-to-district, you, as the facilitator, must be knowledgeable about the process for the district in which you are teaching, and in which the direct care worker will be employed.

Emergency measures must be used according to the guidelines set forth in Article 9. You, as the facilitator, must be very familiar with these guidelines to ensure that you can answer any questions that may come up. Some emergency measure information is included in the resource section on of this facilitator guide.

4. When completing an incident report

All incident reports must be:

- Completed in blue or black ink. Your agency may require you to use a specific color.
- Corrected accurately.
 - If you make an error, draw a single line through the error and your initials and the date the change was made.
 - Never scribble out an error.
 - Never use correction fluid or tape on an incident report form.
 - Never erase anything on an incident report.
- Written clearly, objectively and in the order of occurrence, without reference to the writer’s opinion. Keep in mind that these reports are available to family/guardians and are considered legal documents. “Objective” means you state facts, not opinions.

Facilitator Note: Stress that when writing objectively, the author should state only the facts that they know. They should not include opinion.

A good example:

Music was playing on the radio in the living room. Sally came out of her room and made the statement “the music is bothering me. Please turn it off.”

Do not write:

Sally came storming out of her room because she didn't like the song that was playing on the radio and demanded that I turn it off. She was really mad.

All incident reports:

- Include demographic information like:
 - Full name
 - Address
 - Date of birth
 - Identification number

- Include the names and titles of all Direct Care Workers who witnessed the incident or were involved in it.

- Include a description of the incident including all known facts, location, and the date and time the incident occurred.

- Include causes of injury (if applicable).

- State whether or not the responsible person was notified and, if not, the reason.

- Include whether or not law enforcement, Adult/Child Protective Services, or Tribal Social Services have been contacted.

- Include signatures and names of the person completing the report and his/her supervisor and any additional comments.

- Must be completed for each individual involved in the incident and not breach the confidentiality of other individuals.

- Must be maintained by the provider agency and the Division of Developmental Disabilities Support Coordinator.

If more than one individual who receives services through the Division of Developmental Disabilities is involved in the incident, write a separate report for each person. Use only the individual's name for which the report is being written. Refer to other persons generically, e.g. housemate, roommate, peer, friend, etc.

ACTIVITY:

To help ensure content mastery and provide an opportunity to practice have the participants complete the activity listed below.

- Break the class into pairs or small groups.
- Provide a different sample incident to each group. There are sample scenarios in the resource section of this Facilitator’s Guide.
- Have the participants work as pairs or small groups to write an incident report based on the information provided.
- Discuss the type of report they identified and facilitate a discussion about the type of reports each group identified and the criteria that made it fit in the identified category.
- Have the groups exchange reports.
- Set up the next step by reminding the groups that this is a learning activity and to stay constructive and positive with their feedback.
- Have the groups provide written feedback in the “CORRECTIVE ACTION/COMMENTS” section of the incident report focusing on the three things that could make the report more clear and the three best things about the report. Emphasize that the feedback should be positive and constructive.
- Have the groups continue to exchange reports until each group has their original report back. Remind the groups that the feedback is designed to help them learn and that they should take the useful parts of the feedback and use it to make future reports better. If they disagree with any of the feedback, that’s fine.
- Ask the groups if they have any questions or need any clarification on the report they completed or other issues that may have come up during the exercise.

Note:

It is a good idea to provide one or more written examples of incident reports for participants to view as handouts.

Facilitator Notes:

Utilizing the activity listed below, have participants practice distinguishing between an Incident Report and a Serious Incident Report and the reporting steps for each.

ACTIVITY:

- Have the pairs or small groups use the reports that they just created with their partners or small groups, or if there is adequate time, assign them a new scenario and have them write a second Incident Report / Serious Incident Report / Emergency Measure Report.
- Add the step of identifying the reporting procedures required for each type of report.
- Have the groups document on the incident report next steps the DCW should take in response to the incident.

Facilitator Notes:

Summary: Provide a brief review of the course content and ask if anyone has questions before wrapping up.

- Be sure to emphasize the importance of incident reports in regard to:
 - Effective communication.
 - Preventing incidents from happening again or identify new risks to the person.
 - Maintaining accurate records.
 - Legal protection.
- Briefly reiterate the 3 types of reports (Incident Reports, Serious Incidents, and Emergency Measure Reports) and the reporting criteria for each.
- Briefly reiterate the timelines for reporting.
- Answer any additional questions that the participants may ask.

FACILITATOR RESOURCES

PRACTICE SCENARIOS

Instructions:

1. Using a blank incident report form, complete a practice report based on the scenario you have been assigned.
2. You may not have all the information you need to complete the report. Dates and times are not provided. You should use the current date and time. The incident you have been assigned may ask you to create other information. Unless otherwise stated, only report what you know.
3. Remember your incident reporting basics:
 - a. Use ink only.
 - b. Use proper correction: ~~error~~^{mn}
 - c. Maintain confidentiality.
 - d. State only facts.
 - e. Cite your sources.
 - f. Use quotes when possible.
 - g. Be clear – use bullet points for clarity.
4. Be sure to complete all the blanks (including notifications).
5. Relax... this is not a test. It is practice. Feel free to use your packet and your classmates.

Incident Reporting - Practice Scenario 1

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally falls down getting out of the vehicle at home. She scrapes her knee. You clean the wound and provide first aid. Sally reports that her knee is feeling better. She appears to be walking normally, and is fully participating in all activities.

Incident Reporting - Practice Scenario 2

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID # 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally has a home-theater set-up stolen from her room. The set-up included a plasma TV, stereo equipment, speakers, etc. valued at \$3500.00

Incident Reporting - Practice Scenario 3

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

While at a local restaurant, you are approached by an angry (apparently intoxicated) person from the community. He states that he does not want to eat in the same restaurant as “those people” and points at Sally and her roommate Maya. The management asks him to leave. When he refuses, they call the police. The police arrive within minutes and escort the man out of the restaurant.

Incident Reporting - Practice Scenario 4

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

An individual from the community enters the restaurant where you are having lunch with Sally. They begin to make “inappropriate” and insulting comments to Sally. When the restaurant manager asks them to leave, they begin screaming and cussing but agree to leave. They tip over a chair on the way out.

Incident Reporting - Practice Scenario 5

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

While preparing for dinner, you knock several plates off the table breaking them. No one receiving support is involved.

Incident Reporting - Practice Scenario 6

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

When completing a routine “bed check” at 2:00 am you notice that Sally is missing. You contact the police and your supervisor. She has not been located as of the end of your shift.

Incident Reporting - Practice Scenario 7

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

While providing paid support to your niece, Sally, you observe her mother call her an idiot and slap her repeatedly.

The mother stops when you intervene, and then explains that she was just frustrated with Sally. She states that she “can’t believe she lost control like that” and promises that it will never happen again.

Incident Reporting - Practice Scenario 8

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

After taking her medication Sally realizes that she just took 1000mg of Tegretol instead of the 500mg that she has been prescribed. You contact the prescribing physician and are told to monitor her for side effects.

Incident Reporting - Practice Scenario 9

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally reports to you that a staff member named Jim Doe hit her yesterday while she was at her day program.

Incident Reporting - Practice Scenario 10

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally suddenly becomes unconscious. You call 911. The paramedics transport her to the hospital.

Incident Reporting - Practice Scenario 11

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

A reporter from a local newspaper approaches you and begins questioning you about the job you do, the individuals that you work with and your relationship with the State of Arizona.

Incident Reporting - Practice Scenario 12

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

During a monsoon storm, lightning strikes a large tree in the back yard, catching it on fire. You call the fire department. They arrive a few minutes later and put out the fire within minutes.

Incident Reporting - Practice Scenario 13

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally experienced a seizure. During the seizure she hit her head on the ground causing swelling and bleeding. You call 911 and she is transported to the hospital where she is kept overnight for monitoring.

Incident Reporting - Practice Scenario 14

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

While at a local park, Sally grabs a small child and shakes it. The child was frightened, but not injured. You spoke briefly with the child's angry mother and gave her your supervisor's contact information.

Incident Reporting Practice Scenario 15

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

Sally is stopped by the police and found to be in possession of marijuana. She contacts you from jail. You notify your supervisor.

Incident Reporting - Practice Scenario 16

Name: Sally Sample

Address: 1234 Elm Street Townplace, Arizona 85000

Phone: 480-555-5555

Assists ID #: 1234567

Birth date: 6/11/1988

Provider: ACME PROVIDERS

Parent: Sandra Sample

Support Coordinator: Ima Good

When you attempt to wake Sally up in the morning, you discover that she died during the night.

Emergency Measure Resource Information

**From the Article 9 standardized curriculum
Adopted and approved 12/9/2002 and revised 9/09, page 23**

REPORTING EMERGENCY MEASURES

1. Emergency Measures:

Definition of an “Emergency Measure”: In the event that an individual engages in a sudden, intense, out of control behavior endangering the health or safety of the individual or another person, the use of physical management techniques and/or behavior modifying medication with a physician’s order for specific one time emergency use.

Note: Emergency measures described here are not to be confused with the prohibited technique of physical restraints, including mechanical restraints, when used as a negative consequence to a behavior as listed in R6-6-902.A.4.

The team must meet and consider writing a behavior plan when an emergency measure is used two or more times in a 30 day period or any identifiable pattern.

2. Emergency Physical Management Techniques:

When the behavior plan techniques are ineffective, staff shall use the least amount of intervention necessary to safely physically manage the individual’s out-of-control behavior. These techniques are included in Client Intervention Training (CIT) and shall be:

- used only by individuals specifically trained in the use of Client Intervention Techniques
- used only when less restrictive methods were unsuccessful or inappropriate
- used to prevent the individual from harming him or herself or others or causing severe damage to property
- continued for the least amount of time necessary to bring the individual’s behavior under control
- be used concurrently with the uncontrolled behavior
- be appropriate to the situation to insure safety

3. Reporting Procedures:

When a physical management technique is employed to manage a sudden, intense behavior, the person employing that measure shall:

Chapter 6: Incident Reporting – If in doubt, fill it out!

- a. Immediately (*The Division interprets “immediately”, as the first allowable opportunity that does not place the individual or staff at undue risk, as applicable to the situation, and not to exceed 24 hours*) report the circumstances of the emergency measure to the following:
 1. The person designated by the Division
 2. The responsible person

- b. After calling the above individuals, a full and complete written report of the circumstances of the emergency measures needs to be submitted within one working day to the support coordinator and the district central reporting site.