

# Incidents and Serious Incidents

## 2102 Definitions of Incidents and Serious Incidents

An **Incident** is defined as an occurrence, which could potentially impact the health and well-being of an individual enrolled with the Division or the community. If the incident is determined to be "serious" as defined in this policy, the Serious Incident protocol section of this policy should be followed.

### 2102.1 Incidents

Incidents include, but are not limited to:

- a. Death of individual
- b. Potentially dangerous situations due to neglect of the individual
- c. Allegations of sexual, physical, programmatic, verbal/emotional abuse
- d. Suicide threats and attempts Department of Economic Security Policy and Procedures Manual Division of Developmental Disabilities **Chapter 2100 Incident Management** Issue/Revision Date: January 8, 2008 Effective Date: January 8, 2008 2100 - 2
- e. Individual missing
- f. Accidental injuries which may or may not result in medical intervention
- g. Violation of an individual's rights (see Chapter 1500 PDF (330K) DOC (141K) of the Division's Policy and Procedures Manual, ([www.azdes.gov/ddd](http://www.azdes.gov/ddd) )
- h. Provider and/or member fraud
- i. Complaints about a community residential setting, resident or the qualified vendor
- j. Allegations of inappropriate sexual behavior
- k. Use of behavior management techniques not part of a behavior plan
- l. Theft or loss of individual's money or property
- m. Use of emergency measures
- n. Medication errors such as:
  1. Wastage of a Class II substance
  2. Giving medication to the wrong individual
  3. Wrong method of medication administration
  4. Wrong dosage administered
  5. Missed medications
- o. Community disturbances in which the individual or the public may have been placed at risk
- p. Serious work related illnesses or injuries (Division employees)
- q. Threats to Division employees or state property; and non-consumer/non-employee accidents on state property
- r. Environmental circumstances which pose a threat to health, safety or welfare of individuals such as loss of air conditioning, loss of water or loss of electricity
- s. Unplanned hospitalization or emergency room visit in response to an illness, injury, medication error
- t. Unusual weather conditions or other disasters resulting in an emergency change of operations Department of Economic Security Policy and Procedures Manual Division of Developmental Disabilities **Chapter 2100 Incident Management** Issue/Revision Date: January 8, 2008 Effective Date: January 8, 2008 2100 - 3
- u. Provider drug use

## **2102.2 Serious Incidents**

A Serious Incident is defined as an extraordinary event involving an individual, facility or employed/contracted personnel. 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. More specific incidents include the following:

- a. All deaths
- b. A circumstance that poses a serious and immediate threat to the physical or emotional well being of an individual or staff member
- c. Severe personal injury – physical injury that creates a reasonable risk of death, causes serious or permanent disfigurement, or serious impairment of a consumer's or staff member's health
- d. Property damage estimated in excess of \$10,000
- e. Theft or loss of an individual's money or property of more than \$1,000
- f. Reporting to law enforcement officials because a Division-enrolled individual is missing and presumed to be in imminent danger
- g. Reporting to law enforcement officials due to possession and/or use of illegal substances by individuals or staff/providers
- h. A 911 call due to a suicide attempt by an individual
- i. An incident or complaint from the community that could be or is reported on the front pages of the newspaper or on television/radio.

# INCIDENT REPORTS

An incident report is a document that is generated by witnesses to and participants in any unusual event for the purpose of chronicling such events for future reference to by any persons or legal officials who would have need of such information. Incident reports have no limit to what they may cover. An incident report (or IR) can be written about something as minor as a person's verbiage or something as major as a natural disaster like a tornado or flood.

IR's can be done in different ways, either by free hand narrative or by filling in blanks. Most IR's are a combination of both methods to create uniformity but still allow enough freedom for the writer to accurately report the incident in his or her own words. If an IR is filled out electronically, it is vital that a hard copy be made as a back up in case of an electronic failure or computer glitch. Many an incident report has been lost in that great void where all computers send things that don't get saved properly by either neglect or electronic accident.

At Transitions, we have made a fairly simple form that is mostly fill-in-the-blank style with a limited narrative and it is written on paper. We don't have an electronic IR form at this time. Let us review each blank or narrative section of the IR for the sake of clearly understanding how the IR is filled out. Please refer to the copy of the **INCIDENT REPORT** upon which the blanks have been numbered to coincide with the given explanations:

1. **Full Legal Name:** Refers to the full legal name of the consumer or employee that directly affected or was effected by events causing the IR to be written. Refer any questions to your supervisor if there is doubt as to whose name should be on the IR.
2. **Date of Birth:** Fill in the birth of the individual mentioned in blank number 1 in the mm/dd/yy format using two numbers for the month, day and year. Any single-digit numerals must be preceded by a "0" such as in the case of May 5, 2005: 05/05/05 or March 2, 2005: 03/02/05.
3. **Access/Assist ID#:** Refers to the ID number listed on the individual's state care plan.
4. **Individual's address:** The home address of the individual about whom the report is written.
5. **Program Type:** List the program that the state has assigned to this individual.
6. **Foster Care Yes/No:** Simply check the appropriate box.
7. **Provider/Foster Parent Name:** List the name of the individual's foster parent or care giving resource.
8. **Address (Work Site):** List the address of the place where you, the caregiver were working when the incident occurred.
9. **Phone No. (Work Site)** list the phone number of the site that YOU the caregiver work at. This is included so that YOU, the author of this IR can be readily contacted at work.
10. **Location at time of Incident:** Write the address of the place where the accident happened. In the event of an incident at an outdoor activity or in the event of a motor vehicle collision, list the name of the place or the cross street where the incident occurred. Please use physical addresses whenever possible and appropriate.
11. **Date of Incident:** Write in the date that incident *actually happened*, not the date on which you have written or filed this report.

12. **Time of Incident:** Write in the time using regular English time 1:00 for one o'clock, 3:30 for three-thirty, etc. and be sure to check AM or PM!! This is very important for accurate placement of the event in question.
13. **Witness(es) Involved in Incident:** Write the last name, first name and middle initial of the person(s) in the appropriate blank(s). It is best to use one name per blank. If additional names are to be added, put them on a sheet and attach the sheet to the IR, noting in the report that there is an attachment listing more witness' names. When adding the phone number, be certain to add the area code.
14. **WHAT HAPPENED BEFORE THE INCIDENT:** This is important to establish WHY or the CAUSE of the incident. Keep things in short, simple sentences without a lot of unnecessary details and keep the events in chronological order. Do NOT draw conclusions, do NOT write opinions. Refer to yourself in third person, avoiding the "I"; in other words, use your own first name when referring to yourself. Do not use terms such as 'this staff' or 'the staff'. Use first names when referring to people in the report whenever possible.
15. **WHAT HAPPENED DURING THE INCIDENT:** This topic should tell about the most important event or thing that the report is written about. For instance, if there was an injury caused by a broken pitcher of tea, then this topic should cover the injury and its cause in short, concise sentences.
16. **WHAT HAPPENED AS A RESULT OF THE INCIDENT:** This topic is placed here to help the reporting party quickly sum up what happened because of the incident. It is acceptable when appropriate to add any precautions that have been taken to prevent this type of incident from occurring again.  
  

GOOD SENTENCES: After the paramedics left, the spilled tea was cleaned up and a repairman was called to fix the tile. The bill was charged to Dowedarepay, the house insurance company. George went out and bought shatter-proof plastic pitchers and Jane stored the glass pitchers in a box outside in the shed. No further action related to this incident is anticipated.
17. **NOTIFICATIONS:** Simply mark the appropriate boxes and fill in the time using English standard time and remember to always mark AM or PM as is appropriate.
18. On the bottom of the form, please print your name as legally given to you, using the format of first, middle initial and last name in that order. Be certain to sign the form and date it for the day you completed it, not for the date of the incident.

### WRITING TIPS AND GUIDELINES

- Being brief in your writing will serve you very well in an IR; avoid using too many sentences.
- Keep to the facts. Your opinion and/or conclusions are not acceptable material for an IR.
- Keep the sentences short and use simple words.
- Proofread! Proofread! Proofread! Have someone look the IR over for errors.
- Remember that you IR is a legal document that can be presented in court. Write accordingly.
- If it is not written, it did not happen. Never omit important facts from an IR.

- When in doubt, write it out! Do an IR if you feel the situation could possibly require one. It is easier to toss an unnecessary IR than to try and remember facts days later when you are scrambling to write an IR.

### EXAMPLES OF GOOD WRITING/BAD WRITING

*The bold face words are incorrect. Study the mistakes to determine their nature. Decide if the mistakes are 'wordy' sentences, conclusions, opinion/speculations, failure to identify self or unnecessary details.*

**GOOD SENTENCE:** Jane opened the refrigerator and dropped a glass pitcher of tea on the floor and the pitcher shattered.

**BAD SENTENCE:** This staff dropped a Column and Yields crystalline pitcher of Lipton instant iced tea with lemon onto the hard, polished floor of the Yaddaman house, causing the pitcher to shatter into thousands of little glass shards all over the floor, but before that this staff opened the refrigerator.

**GOOD SENTENCES:** George walked into the kitchen to see what happened and slipped in the tea and fell striking his head on the floor. Several ceramic tiles were shattered by George's head. George babbled incoherently. Paramedics were called, but it was soon determined that George was just being himself. Paramedics left George on his own recognizance.

**BAD SENTENCES:** George, being the bumbling oaf that he is, foolishly walked into the kitchen, obviously did not watch what he was doing, and his non-OSHA compliant shoes slid across the spilled Lipton tea dumping George over backwards causing him to land on his overly thick skull. Several of the green and white moss patterned floor tiles designed by Arewethereyet and Shutyerfase were broken to bits, a shame really, considering the cost of those tiles. This staff reluctantly called 911, knowing already that blow to the head could never hurt George. An incredibly buff fire team led by Captain Handsum responded to this staff's call, examined George and this staff had to tell them that he was OK because he always sounded like a moron and it would not surprise this staff if he tried to sue the place. Not being able to coax George into getting tied up and being taken away like he should be, the Paramedics left the big klutzy dufus to take care of himself which was an obvious breach of EMS protocol because George presents a clear and present danger to himself and society.