

# INCIDENT REPORTING

## Reference:

Incident reporting policy of the Division of Aging ([www.fssa.in.gov/fssa/da](http://www.fssa.in.gov/fssa/da))

## Background:

Services and supports shall provide necessary safeguards to protect the health, safety, and welfare of clients.

## Policy:

It is the policy of Generations to ensure the health and safety of all individuals receiving Generations services. Reportable incidents are any event or occurrence characterized by risk or uncertainty, resulting in or having the potential to result in significant harm or injury to an individual or death of an individual. Any employee of Generations with knowledge of an issue or concern that affects a client's potential health and safety will follow Generations procedure for reporting such concerns. (All incidents involving a client served on a nursing facility level of care Medicaid Waiver must be reported according to the Incident Reporting Policy within 48 hours to the approved DA incident reporting website.) IAC 460.

## Procedures:

### OPERATIONS

- When the Case Manager is aware of any events or occurrences characterized by risk or uncertainty, resulting in or having the potential to result in significant harm or injury to an individual or death of an individual they are to report it to their Team Leader and Assistant Director of Operations within 24 hours of the time they were made aware of the incident.
- The Case Manager is also responsible for ensuring that the appropriate entities such as service providers, APS, CPS, police, etc. are notified.
- The Case Manager should also flag all case notes in InSite related to the incident for

supervisory review.

- The Case Manager is responsible for needed follow-up on any reported incident and should keep their Team Leader informed until the incident is resolved.
- All reported incidents are to be discussed at the next team meeting following the incident.
- Any report involving a service provider will also be marked for special review.

#### SUPERVISORY

- The Team Leader will immediately notify the Assistant Director of Operations and the Director of Operations of any incident that they feel has the potential to escalate.
- All other incidents, the Team Leader will notify the Assistant Director of Operations upon resolution.
- Weekly the Case Assistant will provide the Assistant Director of Operations with the case notes that were flagged for special review. This will include all categories except “Provider Reporting” and “Service Delivery”. The Community Resource Coordinator/Vendor Liaison will review case notes marked special review under the categories excluded above on a weekly basis.
- The Assistant of Operations will be responsible for supervisory review in InSite of the flagged case note until the situation is resolved. Vendor Liaison is responsible for supervisory review for flagged case notes pertaining to service providers until resolution.
- Quarterly these reports will be forwarded to the Director of Operations.

#### AGENCY

- In addition, any individual employed by Generations, but does not work within the Client Services, will make their immediate supervisor aware of the situation within 24 hours.
- The immediate supervisor is responsible for consulting with the Assistant Director of Operations or Director of Operations regarding appropriate action and follow-up to be taken.

- Urgent situations will require immediate intervention – the supervisor and Director of Operations should be notified as soon as possible following the intervention.
- The supervisor is responsible for providing the Director of Operations with a written summary of the incident including all actions taken by Generations employee and the eventual resolution. (Note: In some circumstances the action taken and the resolution may be one in the same)
- Incident reports will be discussed at Outputs
- Quarterly the Leadership team will review the Incident Reports to:
  - Assure that all of the appropriate parties were promptly notified of incidents
  - Assure that incidents were resolved promptly and appropriately
  - Identify both consumer specific and systemic trends
  - A summary report will be provided to the Leadership team.
  - Annually the Leadership team will meet to review the quarterly reports.

#### REPORTABLE INCIDENTS

- Alleged, suspected, or actual abuse, neglect, or exploitation of an individual. The provider shall do the following:
  - Suspend staff involved in the incident pending provider investigation.
  - Report the unusual occurrence to the applicable APS or CPS office
- Alleged, suspected, or actual assault or abuse by an individual.
- The death of an individual, which also must be reported to the appropriate local APS or CPS unit. The narrative shall include the following:
  - The name of the person contacted.
  - The phone number of the contact.
  - The county of contact.
- A residence that compromises the health and safety of an individual due to any of the following:
  - A significant interruption of a major utility.
  - An environmental, structural, or other significant problem.

- Environmental or structural problems associated with a dwelling where individuals reside that compromise the health and safety of the individuals.
- A residential fire resulting in any of the following:
  - Relocation.
  - Personal injury.
  - Property loss.
- Department suspected or observed criminal activity by:
  - A staff member, employee, or agent of a provider.
  - A family member of an individual receiving services.
  - The individual receiving services when the care of the individual is impacted or potentially impacted.
- Injuries of unknown origin.
- Suicidal ideation or a suicide attempt that had the potential to cause physical harm, injury, or death.
- A major disturbance or threat to public safety created in the community by the individual. The threat can be:
  - Toward anyone, including staff.
  - In an internal setting.
  - Need not be outside the individual's residence.
- Admission of an individual to a nursing facility, excluding respite stays.
- A significant injury to an individual, including but not limited to, the following:
  - A fracture.
  - A burn greater than first degree.
  - Choking that requires intervention.
  - Contusions or lacerations.
- An injury that occurs while an individual is restrained.
- Police involvement when there is an arrest.
- A missing person.
- Inadequate staff support for an individual, including inadequate supervision, with the

potential for endangering the health or welfare of the individual.

It is important to note that many times our own personal values can cloud our judgment regarding such things as what is an adequate living environment or how often someone should seek medical treatment. Personal choice and client competency should always be considered in the evaluation of the situation. A client has the right to refuse services and it is Generations responsibility to inform the client of the potential consequences of that decision.

Date Approved: March, 2003

Date Revised: October 2004; March 2006; October 2007; September 2012, March 2016

Reviewed: March 2017, Jan 2018

Lah/sk

