

# POLICIES AND PROCEDURES MANUAL

KEYSTONE COMMUNITY RESOURCES, INC.

KEYSTONE INDEPENDENT LIVING, INC.



**Policy Title:**  
Incident Reporting

**Chapter:**

**Effective Date:**  
7/1/1992

**Revision Date:**  
11/25/2008

**Policy Number:**

**Executive Director**

## SCOPE:

- Chapter 6400 – Community Homes For Individuals With Mental Retardation

## INTRODUCTION:

1. An incident is an unwanted extraordinary, unexpected or suspicious occurrence involving a consumer, staff member, volunteer or visitor. As a staff member, you are responsible for documenting these on an Incident Report. Examples of incidents include:
  - Procedural errors
  - Illnesses
  - Seizures
  - Medication / treatment errors
  - Physical assault
  - Choking
  - Self-inflicted injuries
  - Unexplained absences
  - Inappropriate behavior that results in injury to self or others or property damages
  - Alleged criminal acts
  - Acute emotional trauma and accidents that require medical attention but not hospitalizations
2. An unusual incident is an episode that must be reported to guardian, funding agency and state and county officials:
3. Abuse or suspected abuse of an individual. Abuse of an individual is prohibited and is defined as:
4. Abuse is any act or omission of an act that willfully deprives an individual of rights or human dignity or which may cause or causes actual physical injury or emotional harm to

an individual, such as striking or kicking an individual; neglect; rape; sexual molestation; sexual exploitation or sexual harassment of an individual; sexual contact between a staff person and an individual; improper use of restraint; financial exploitation of an individual; humiliating an individual; or withholding regularly scheduled meals.

5. Actions of one individual to another individual, including: rape, sexual molestation, sexual exploitation and intentional actions causing physical injury that require medical attention by medical personnel, including RN or LPN, are considered abuse.
6. When an allegation of physical or sexual abuse occurs, the first concern shall be for the welfare of the consumer. If the accused person is a staff member that person will be immediately relieved of their responsibilities and an alternate staff member assigned in their place. There is no assumption of guilt, just because an accusation has been made, and this shall be made clear at the outset to the staff member and other staff involved.
7. A clear understanding of the accusation and situation shall be secured by interviewing the consumer and any other consumers who are witnesses or present during the accusation. This must be a thorough, calm and objective interview and witnessed by another staff member. Every effort to ease the consumer's stress shall be taken. Once there is a clear accusation of some type of physical or sexual abuse, the proper authorities shall be notified.
  - From this point, the role of the Executive Director or his/her designee shall be related to controlling the impact of the incident by dealing with the family/guardian of the consumer, the balance of staff and consumers and their needs, regulatory agencies and the media, if relevant.
  - Injury, trauma, or illness of an individual requiring inpatient hospitalization.
  - Suicide attempt by an individual
  - Violation or alleged violation of an individual's rights.
  - An individual who is missing for more than 24 hours or who could be in jeopardy if missing at all.
  - Alleged misuse of individual funds or property
  - Outbreak of a serious communicable disease. An outbreak means two or more individuals at the home have contracted the same disease since moving into the home.
  - An incident requiring the services of a fire department or law enforcement agency.
  - Any condition that results in closure of the home for more than one day.
  - Death of an individual.
8. A system for reporting, investigating, and reviewing incidents is practiced and receives careful oversight and periodic evaluation by the Incident Report Review Committee. The primary function of the incident reporting system is to serve consumers by identifying and analyzing trends, promoting person-centered fact-finding, ensure accurate documentation and identifying corrective and prevention action.
9. Despite having policies and procedures to reduce the risk of an incident, incidents will occur. Action taken at the time of an incident is as important as the preventative steps

taken before the incident. In-Service training is provided to all staff covering key responsibilities such as:

- Immediate care of the individuals involved in the incident.
- Notifying one's supervisor or designated person as soon as possible.
- Securing outside assistance, if necessary.
- Writing a report of the incident and documenting as many details as possible.

10. The following summarizes the roles and responsibilities involved in the incident reporting system:

- Staff – The staff member who witnesses or is involved in the incident is required to complete an incident report form. The staff fills in the sections of the form that relate to their actions. Other sections may be completed by the on-site nurse or program supervisor or the program coordinator. All entries must be in ink, legibly written, signed and dated. Information must be recorded at the time of the incident so that important information is not forgotten nor reliability questioned. Incident reports must be submitted to the medical office as soon as possible, to allow prompt medical and protective intervention for the individual and to ensure that administrators are informed about serious problems from their own staff. Incident report forms can be subpoenaed for legal evidence, so information should relate only to the facts, not what should or could have been done or any statement placing blame on any party.
- On Site Nurse / Program Supervisor – The on-site Nurse and Program Supervisor are responsible for appropriate and prompt attention to the needs of the consumer and documentation of their findings on the incident report. Incident reports, whenever possible, should consistently include the consumer's accounting of the incident. Witnesses to the incident are sought and interviewed and their accounts documented at this stage and physical evidence secured.
- Program Coordinator – The Program Coordinator is responsible for receiving and reviewing incident reports within twenty-four hours of the incident. The Program Coordinator is responsible for assessing the effectiveness of the action taken as well as taking specific steps to reduce the likelihood of a recurrence of the incident. The Program Coordinator is responsible for providing timely feedback to the consumer and their family or guardian, concerning the investigative process, what was discovered and what is being done to preclude future problems. The Program Coordinator is responsible for preparing comprehensive documentation and submitting the final report to the Incident Report Review Committee.
- Incident Report Review Committee – This committee is made up of the President, Executive Director and other designated staff. This committee reviews incident reports on a daily basis to ensure appropriate corrective and preventive action. On a monthly and semiannual basis, incident reports are reviewed to identify trends including those consumers appropriate corrective and preventive action. On a monthly and semiannual basis, incident reports are reviewed in incidents, the most common locations and times, and the relative frequency of specific types of incidents over time, and the effectiveness of corrective actions and disciplinary action taken with staff. Another function of this committee is to monitor whether recommended

corrective and preventive actions are actually implemented through on –site checking. The Executive Director or his/her designee is responsible for organizing internal investigations, reviewing and approving the media’s questions regarding an incident.

- Clerical Department – the clerical staff are responsible for collating final reports for computer data, mailing and filing purposes. The clerical department is also responsible for preparing data for monthly and semi-annual reports.

## **DISCUSSION:**