Incident Management Overview Webcast Transcript

<table>
<thead>
<tr>
<th>Incident Management Overview Webcast Transcript</th>
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<tbody>
<tr>
<td>Title Slide</td>
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<tr>
<td>(no narration)</td>
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<tr>
<td>Webcast Tips</td>
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<tr>
<td>There are a few things that will assist you in navigating through this webcast.</td>
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<tr>
<td>At the bottom of the viewing pane are the play and pause buttons as well as buttons to go back and forward.</td>
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<tr>
<td>There are also buttons to adjust the volume, view the closed captioning and close the webcast.</td>
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<tr>
<td>There are also times when buttons may appear on the screen. They will typically appear at the bottom of the screen. The webcast may pause until you click the button.</td>
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<td>To continue, click the Continue button that appeared in the lower right hand corner of the slide.</td>
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<tr>
<td>Welcome</td>
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<tr>
<td>Hello and thank you for viewing this webcast about incident management.</td>
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<tr>
<td>My name is Jennifer Wallitsch and I work for the Office of Developmental Programs in the Central Office Incident and Risk Management Unit.</td>
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<tr>
<td>I will be your narrator for this webcast.</td>
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<tr>
<td>Webcast Focus</td>
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<tr>
<td>This webcast focuses on why an incident management system is needed, what an incident is, when an incident must be reported, how to select the correct incident category, and when an incident requires an investigation.</td>
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<tr>
<td>Why have an IM System?</td>
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<td>The core belief of the Office of Developmental Programs, also called ODP, is that individuals supported through our system deserve quality services and supports, the right to everyday lives, and to be “protected from harm”, particularly from harm like abuse, neglect, or exploitation which includes rights violations and misuse of funds or personal property.</td>
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<tr>
<td>To accomplish this, ODP created an incident management system to identify and address incidents that occur and to reduce the risk of danger or loss in the future.</td>
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<td>The incident management, or IM system, is a tool to manage both known incidents and allegations of incidents.</td>
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The IM system is like an onion, in that it has many layers.

Each layer of the system reviews and evaluates incidents and ensures that we are safeguarding individuals’ health, safety, and well-being.

The layers of rigorous scrutiny are in place to continuously refine and improve both the IM process and the overall quality of supports and services.

Part of refining and improving the system, and one of our greatest challenges, is getting those layers on the same page.

Pennsylvania has 67 counties and a wide array of providers and services.

To promote consistency across providers and services, we issue our policy and procedures through written regulations and bulletins, which are available for everyone to read, and provide a common framework of rules and procedures.

The primary documents are the Incident Management Bulletin and Annex A, which define what incidents are and provide the rules for responding to and reporting incidents.

The bulletin was originally issued in March of 2002 and was revised and reissued in February of 2004. The bulletin introduces Annex A, which is the statement of policy defining the expectations surrounding incident management.

The bulletin supports ODP’s goal of creating healthy and safe environments that enable people to live and fully participate in their communities.

The bulletin was also developed to assure compliance with monitoring and oversight requirements of CMS, which stands for Centers for Medicare and Medicaid Services. CMS provides Federal funding for the Consolidated and Person/Family Directed Support Waivers. The IM Bulletin is an essential component of a comprehensive quality management program.

Click on the picture of the IM Bulletin or Annex A to view either document. When you are finished viewing the documents, click continue.

The IM Bulletin applies to two groups of people.

The Bulletin applies to individuals who are registered with ODP to receive supports and services from licensed facilities.

The Bulletin also applies to provider agencies that receive funds from ODP, either directly or indirectly, to provide supports. This includes Supports Coordination Organizations.

What is an incident?
Simply put, an incident is something that happens, an event, or an occurrence.

Incidents are things that happen to us as we move about and live life.

It’s important to keep in mind that not all incidents need to be managed.

Incidents that need to be managed must be reported to ODP as stated in the IM Bulletin. These are incidents that may affect, or have the potential to affect the health, safety, well-being or rights of a person.

The incident could be something that is witnessed or an allegation of something that happened. All incidents that fit the categories defined in the IM Bulletin must be reported, both known incidents and alleged incidents.

Remember, reporting the incident does not necessarily mean the incident happened, it means that someone discovered or became aware of the signs of an incident. The IM system is a tool to manage, review, and analyze incidents and to protect people’s health, safety, well-being, and rights.

Prior to reporting an incident to ODP, the most important and primary consideration is taking prompt appropriate action as soon as an incident is recognized or discovered.

Whoever discovers an incident needs to take prompt action to protect the individual’s health, safety and rights.

This might include dialing 911, escorting the individual to medical care, separating the alleged target, arranging for counseling or referring to a victim assistance program.

It also includes informing the family of the incident, unless the Individual Support Plan says not to or the family requested to not be notified or the individual requests not to notify the family.

Once you’ve taken prompt action, the incident must be reported to ODP.

There are a number of reportable incidents, each of which is described in the Incident Management Bulletin’s Annex A statement of policy.

Take a moment to review the incidents on the slide and then click Continue.

Two reportable incidents are considered site level incidents.

Site level incidents are incidents reported about the physical site and not about the individual.

Out of the items listed, click on the ones that are site level incidents.

When you are finished, click Continue.
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### Reportable Incidents

All reportable incidents, except two, must be reported within 24 hours of being discovered.

Click on the two incidents that can be reported within 72 hours of being discovered, then click Continue.

Reportable incidents are documented to keep everyone informed about what’s going on with individuals and to help providers, Supports Coordination Organizations which are called SCOs, Administrative Entities which are called AEs, and ODP to analyze overall trends and patterns.

In order to support the management of reportable incidents, they are entered into the web-based Home and Community Services Information System or HCSIS.

This allows all layers of the system – the providers, SCOs, AEs and ODP – to immediately access and review the incident information.

### Optionally Reportable Events

In addition to reportable incidents, there is also the capability to track Optionally Reportable Events in HCSS.

 Optionally Reportable Events can be used by provider agencies to track information that is pertinent to managing risk or informing the agency about their business operations related to quality of care or health and safety. This information can supplement aggregate data providers retrieve from HCSIS for analysis and monitoring trends.

### Critical Incidents

Within the group of reportable incident categories, some incidents are serious in nature and require investigation by the provider and, in some cases, also by the AE.

ODP utilizes the term “critical incidents” when referring to those incidents that require an investigation. Investigators, trained and certified by ODP, conduct all investigations of critical incidents.

The Incident Management Bulletin’s Annex A statement of policy indicates which incidents within these categories require an investigation.

Take a moment to review them. When you are finished, click Continue.

### Sequence of Reporting

Many real life occurrences may result in events that fit multiple categories of incidents.

However, when an incident occurs, in most instances, only one category of an incident should be reported in HCSIS.
Let’s look at an example.

Jose falls in the kitchen and hits his head on the counter. Jose has a large cut on his head which is bleeding and he seems out of it. An ambulance is called and Jose is transported to the emergency room where he receives stitches and an MRI. After reviewing the MRI, Jose is admitted to the hospital for further tests to determine why he is so woozy.

In this example, one of three incident categories could be used to report this incident in HCSIS – treatment beyond first aid, emergency room visit or hospitalization.

To assist in identifying the appropriate category for reporting incidents, particularly incidents like Jose’s which could fall into multiple categories, the IM Bulletin Annex A provides a hierarchy of primary incident categories. This sequence may not be appropriate in all situations, but should be used as a guide in selecting the most appropriate category.

Take a moment to review this order by clicking on the Sequence of Reporting button. When you are finished reviewing the document, click Continue.

Let’s return to the incident with Jose. After reviewing the sequence of reporting, we find that hospitalization is ranked above both emergency room visit and treatment beyond first aid.

This means that this particular incident should be entered in HCSIS with a category of hospitalization.

Here is a second example to consider.

Andy lives in a small home receiving licensed residential supports. His Individual Support Plan indicates that he should have visual checks every 15 minutes and he needs constant supervision when in the community. Andy comes home from work at 4:30 and goes to his bedroom until dinner is ready. At 5:15, staff let everyone know that dinner is on the table.

When Andy does not respond, staff discover that he is not in his room. After checking around the neighborhood, Andy is found down the lane conversing with a neighbor.

Which category should the provider select to report this incident – Missing Person or Neglect?

If needed, review the incident definitions as provided in the IM Bulletin and Annex and the Sequence of Reporting using the corresponding buttons.

When you are finished reviewing the documents, click Continue.

Click the button for the incident category you would select then click Continue.
After reviewing both the incident definitions and the sequence of reporting, you should find that Neglect is ranked above Missing Person, therefore this incident should be entered into HCSIS under the category ofNeglect.

In this case, the secondary classification of Failure to provide Needed Supervision should be used as staff did not provide the required 15-minute visual checks, which created the situation that allowed Andy to be “missing.”

Please note that by incorrectly reporting the incident as Missing Person, which is a reportable but not critical incident, the provider would not be required to conduct an investigation.

Correctly reporting the incident as Neglect, a critical incident, results in an investigation and more detailed management of this serious incident.

Incident Management

As you have seen, incident management helps us in several ways. Let’s look at how it relates to risk management.

You know the expression “you can’t see the forest for the trees?” It means that sometimes people get hung up on the details and then they can’t see the big picture.

In incident management and risk management, we want to see the trees and the forest. Both help us see the details and the big picture to improve the health and safety for individuals as well as for the system as a whole.

In incident management, we get a good idea of what happened in a particular incident and with a particular person, and to the best degree possible, we remedy the situation.

For example, say it’s summer and an individual attended a picnic at a park and developed severe sunburn on his ears. An appropriate response to this situation is making sure the person receives prompt medical treatment to address the severe sunburn.

This is a reaction to the situation. It is managing the incident.
Based on what we learned from the incident, we want to be proactive and prevent severe sunburn in the future.

We review the person’s medical history and learn that he is sensitive to the sun due to his medications. We also learn through a review of incidents that last summer he had three severe sunburns that required treatment beyond first aid.

With this new knowledge, we talk to the person and his support staff. We document in his ISP that sunscreen should be applied to all exposed areas when going outside. He should also wear a large brimmed hat of his choosing when in direct sunlight. These actions mitigate the risk of severe sunburn for this person.

We could even see if there are others that are on the same medications who may also be sensitive to the sun and may be at risk for sunburn and take similar steps for their health and safety.

Being proactive to decrease the likelihood of severe sunburn occurring in the future is managing risk.

In other words, incident management is the reaction of taking an appropriate response to an individual’s sunburn. Risk management, on the other hand, is proactively using what you learned from that incident to look more closely at contributing factors that may lead to an increased risk of sunburn and putting steps in place to prevent sunburn from occurring in the future.

Thank you!

This webcast provided an overview of incident management. The overview included why we need an incident management system, what an incident is, when an incident must be reported, how to select an incident category, and when an incident requires investigation.

The overview also included a look at how incident management relates to risk management.

Thank you for viewing the “Incident Management Overview” webcast.