

## Instructions and Definitions for Critical Incident Reporting

### Agency/Provider Information

<b>Provider Type/Reporting Agency</b>	After choosing your Facility type on the Homepage, select the DMHA certified name of the treatment facility (no DBA's).
<b>Facility and Location of Incident</b>	Type in the Facility Name and provide the full address, including county. If unknown, enter “unknown” and 99999 as the zip code.  For OTP programs, enter the full name of the Program Director. For SPH, indicate the facility unit the incident occurred on.
<b>Date &amp; Time</b>	Enter the date the incident happened. If the exact date is unknown, note the date the agency was made aware of the incident. If the exact time is unknown, you may remove the √ by time and the box will close.

### Incident and Setting Types – Only one setting may be selected.

<b>Setting &amp; Type of Incident</b>	Select the appropriate Setting involved in the incident. This is generally the setting in which the client resides. After selecting a setting, you will be offered a selection of sub-settings. Select 1. The selections for type of incident will change depending on the Setting type selected. Select 1 that best defines the primary type of incident being reported. The definition section offers information on some Types.
<b>Emergency Hospitalization (SPH only)</b>	This is to be reported only when an SPH patient has been admitted to a medical hospital.
<b>Death – extra fields (OTP and DMHA Contracted Provider Outpatient and Agency Reporting only)</b>	Outpatient and Agency Reporting: If Death is selected as the incident type, also choose whether it was Suicide, Homicide, Overdose, or Other. If Other is selected, fill in the “Specify Death Type”  OTP: A Death Incident section will appear. Please fill in Date of Death and date Coroner’s Report was requested. Mark whether there was any change in frequency of services in the last 6 months. If yes, elaborate in text box. Fill in the section regarding whether there was outreach provided to the family of the deceased. If death is related to the ingestion of Opioid treatment medication, mark whether there was an individual residing with the patient and fill in that individual’s name.
<b>Residential</b>	Residential Incidents Are To Be Reported Within 24 Hours.
<b>Outpatient/Community Based</b>	Outpatient and Community Based Incidents Are To Be Reported Within 72 Hours.
<b>Private Mental Health Institution</b>	Incidents involving death, serious unexpected injury, chemical poisoning, and disruption of service, a verbal report is required within 24 hours and a written report within 10 days. For all other incidents, a report is required within 10 working days.
<b>Other Agency Related Incidents</b>	Other Agency Related Incidents are to be reported within 72 hours of occurrence.
<b>Opioid Treatment Program</b>	An OTP shall notify the DMHA in the manner designated by DMHA within twenty-four (24) hours after an opioid treatment program is notified of the occurrence for serious patient injury, chemical poisoning, unexplained loss

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	or theft of a controlled substance, a disruption exceeding four (4) hours, caused by: internal or external disasters, strikes by health care workers, unscheduled revocation of vital services, a fire or explosion.
<b>State Psychiatric Hospitals</b>	A State Psychiatric Hospital shall notify the DMHA within twenty-four (24) hours after the occurrence of an incident, with a follow-up within six (6) days.

### Individual Medical and Legal History

<b>Consumer or Alleged Victim Name</b>	Name of the consumer or name of alleged victim involved in the incident. For data collection purposes, only list one consumer/alleged victim per report.
<b>Sex</b>	Choose the option from the pull-down menu that applies to the gender of the person named as the Consumer or Alleged Victim.
<b>Age</b>	Fill in the Date of Birth field.
<b>Role</b>	Choose only one option from the pull-down menu to identify the relationship of the Consumer/Alleged Victim. If the category to which the consumer or alleged victim belongs is not represented, please select Other and specify the relationship. This option will pop up when you choose "other".
<b>Multiple Individuals</b>	If there is more than one consumer or alleged victim involved in the incident, complete additional critical incident reports for each individual involved. DMHA will link these reports once.
<b>Race</b>	Choose only one option in the Race category.
<b>Perpetrator (if applicable)</b>	If there is a perpetrator involved, please click the "Add Perpetrator" button and a new tab will pop-up. All categories as above remain the same except Race is no longer an option to select. If there is more than one perpetrator involved in the complete additional critical incident reports for each individual involved. DMHA will link these reports when received.
<b>Description and results of incident (SPH ONLY)</b>	SPH only will add the full description and results of the incident into this section of the website.

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<b>FOR OTP ONLY:</b>	
<b>Behavioral Health Diagnostic Codes</b>	Enter the Consumer/Alleged Victims primary diagnostic code. Up to five (5) codes may be entered.
<b>Take-Home Privileges</b>	Mark whether the individual was eligible for take-home privileges. If Yes, describe the take-home privileges.
<b>Security</b>	Mark whether all used and/or unused bottles were secured. If yes, mark the date and time they were secured. Mark whether there are any unaccounted for take-home medications or empty bottles. If yes, describe what was missing.
<b>Bottle recalls</b>	Mark whether there were any bottle recalls in the last 6 months. If yes, provide the date and results.
<b>Federal Reporting</b>	Mark whether notification was made to any federally required reporting service. If yes, document the Agency name in the box.
<b>Medication Monitoring</b>	Give dates, results, and illicit drug(s)/alcohol found in results of the last six (6) urine drug screens. List any/all medications taken by the individual. Mark whether Methadone or Buprenorphine was being taken and list the dosage in the field provided.

### Incident and Resolution (for all providers except SPH)

Description of Events/Incident	Write a detailed and concise description of the incident that took place including any significant events that led up to the incident. Specify names of those involved including staff related to the event/incident. Obituary notices should include name of media source and of resource material.
Incident Resolution and/or Agency Plan of Action	Write a detailed description of steps the agency has taken (or will take) to review or resolve the issues pertaining to the event/incident. This may include efforts to reduce future occurrences of such incidents.

### Report Submission

<b>Internal Review</b>	Mark yes or no for whether an internal review of this incident will be conducted by the agency.
<b>Person Completing Form</b>	Fill in the full name and the date the Critical Incident Report was completed in the boxes in this section.
<b>Name of Agency Contact</b>	Fill in the full name, e-mail address and telephone number of the individual from the agency that can be reached by DMHA for follow-up information on this report.
<b>For State Psychiatric Hospitals:</b>	From pull-down, mark which DMHA representative was notified of the incident and fill in the date of the notification. Mark the notification method and the e-mail address or phone number used to make contact.

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### General Terms & Definitions

#### **Chemical Poisoning**

Poisoning occurs when *any* toxic substance interferes with *normal* body functions after it is swallowed, inhaled, injected, or absorbed. Poisoning may be domestic, medicinal, or occupational. Examples include: medicines, household products, carbon monoxide, pesticides, household products and industrial chemicals.

Normal body functions are defined to include ocular, nasal, respiratory, and gastrointestinal.

#### **Documented Violation of Rights**

“Rights” are defined as Human Rights and Civil Rights and are the basic rights that fundamentally and inherently belong to each individual.

Human rights include the right to basic personal liberty: freedom of thought, expression, and religion, right to basic education, employment, and property. It also includes freedom from discrimination on the basis of race, religion, age, language, and sex.

Civil rights (includes political rights) are a class of rights that protect individuals' freedoms from infringement by government, social organizations and private individuals, and which ensure one's ability to participate in the civil and political life of the community and state without discrimination or repression.

Civil rights also include ensuring peoples' physical and mental integrity, life and safety; protection from discrimination on grounds such as their disability. Political rights include procedural fairness in the legal system, such as the full rights of the accused, due process; the right to seek legal remedy; and rights of participation in politics such as freedom of association, the right to assemble, the right to petition, and the right to vote.

#### **Explosion with Emergency Response**

By OSHA standards, an explosion is due to the release of pressures or hazardous substances. Depending on the location or facility, the “emergency response” may require differing actions, knowledge of the employees in the immediate area, and the equipment to address the situation. Standard emergency response is defined as necessary intervention provided by designated front line or safety staff, fire/rescue personnel, or police to ensure the safety of consumers, staff, or stakeholders.

It is important to note that an emergency response does not always require fire or police responders. For example, a release of chlorine or cleaning fluid in a facility is an emergency situation even if the responders are designated safety staff from that facility.

Conversely, there are incidental releases of hazardous substances that are routinely cleaned up that are not considered explosions. For example, paint thinner is spilled in an art class and the janitor is called from outside the immediate area to mop it up. The janitor would be expected to understand the hazards associated with the substance and protocol established by the facility.

#### **Unexplained Loss or Theft of a Controlled Substance**

The loss or theft of any controlled substance is to be reported within one business day of discovery of the loss or theft. Reports should contain who the medication was prescribed to, the name of the medication, the manufacturer, dosage form, and package size (quantity per container). Reports must also contain information about when the last dosage of medication was given, the amount available at that time and the amount missing at time of discovery.

A report is required whether or not the controlled substances are recovered. The loss of any controlled substance must be reported as repeated losses of small quantities of controlled substances over a period of time may indicate a significant aggregate problem.

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### Loss of Function and/or Marked Deterioration

Function refers to a person's cognitive, physical, social, and emotional status. These functions include the ability to process thoughts, interact with others, learn new information, stand, and/or speak.

Incidental factors may affect these functions suddenly, resulting in a clearly defined and noticeable decline in activities of daily living, cognitive, or social changes. Examples of activities of daily living (ADL's): bathing, dressing, toileting, transferring, continence, and feeding. Dexterity includes mobility, strength, and gait.

### Elopement

Elopement is an unauthorized departure of an individual whose care and treatment requires residential supervision. Elopement results in the evasion of required supervision as described in the individual's plan of care as necessary for the individual's health and welfare.

### Suicide Attempt

A suicide attempt is a serious effort to commit suicide involving definite risk. An attempt is a non-fatal, self-directed, potentially injurious behavior with intent to die. This includes parasuicide which refers to suicide attempts, gestures, and/or self-harm without the intention of committing suicide.

### Serious Bodily Injury

An unexpected occurrence that causes significant impairment of the person's physical condition as determined by qualified medical personnel. It includes loss of limb and/or function. This includes but not limited to:

- a) Fracture;
- b) Burn (including sunburn) greater than first degree;
- c) Choking that requires intervention (including but not limited to Heimlich maneuver, finger sweep, or back blows);
- d) Bruise/contusion larger than three inches in any direction or a pattern of bruises/contusions regardless of size;
- e) Lacerations which require more than basic first aid;
- f) Any injury requiring more than basic first aid;
- g) Any puncture wound penetrating the skin including human or animal bites;
- h) Any pica ingestion of any item observed/documentated that requires more than basic first aid;
- i) Any scalding.

### Significant

Significant is defined as having an influence or noticeable effect. It has a probable correlation between two items.

### Public Health Concern

This includes any concern that threatens the health of a community or population; specifically a symptom outbreak that has been identified by ISDH: food-borne illness, flood water contamination, wide spread flu. Populations can be small (a handful of clients or large such as a city). Health can include an individual's physical welling, mental status, or social well-being. An example would be the southern Indiana HIV epidemic.

### High Profile Event

A person, population, or entity involved in an event that may attract the attention of a community or gives publicity. Examples may include negative media reports involving a staff member or a community event that causes disruption or impact to service.

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### **Precautions**

A precaution is an additional measure taken to prevent a dangerous or undesired event from happening or reoccurring. This is an advance safeguard put in place above a normal treatment protocol or standard service; specific steps/actions put in place by the agency to prevent an event or situation. Examples include but not limited to: 15 minute line of vision checks on a client, increased staffing to monitor safety, 1:1 staff escorts, an alarm placed on doors to alert of an elopement, clothing with specialized buttons or fasteners, or providing a negative pressure room for a client while ill.

### **Exploitation**

Exploitation is defined a person or a group taking advantage of other(s) by use of information or manipulation in order to gain or profit from a situation for a permanent or temporary effect. Examples may include the use of client funds to support a group trip, employing client labor for personal benefit, clients purchasing items for staff or agency use, or the use of a client's identity or home/vehicle for personal gain or purposes.

### **Endangered**

An individual is considered endangered if they have a health, physical or behavioral health issue that puts them at serious risk of danger or jeopardy. Criteria may include persons dependent upon an agency or individual for care, situations involving involuntary or unknown circumstances or an individual whose whereabouts are unknown whose safety may be in danger.