
TITLE: INCIDENT MANAGEMENT AND REPORTING

POLICY:

It is the policy of The Resource Exchange (TRE) that all incidents be reported by Program Approved Service Agencies (PASA), independent contractors, approved TRE vendors/businesses, TRE employees, and/or volunteers as soon as possible consistent with applicable Colorado Code of Regulations (CCR).

POLICY APPROVED: January 2018 (Board of Directors)

PROCEDURES REVISED: December 2017

RESPONSIBILITY: Chief Executive Officer

REGULATION(S): 10 CCR 2505-10, §8.608.6.

INCIDENT (S) REQUIRING SUBMISSION OF INCIDENT REPORT (IR)

1. Injury to a person receiving services;
2. Lost or missing persons receiving services;
3. Medical emergencies involving persons receiving services;
4. Hospitalization of persons receiving services;
5. Death of person receiving services;
6. Errors in medication administration;
7. Incidents or reports of actions by persons receiving services that are unusual and require review;
8. Allegations of Mistreatment per 25.5-10-202, Colorado Revised Statutes (CRS)
9. Use of safety control procedures;
10. Use of emergency control procedures; and,
11. Stolen personal property belonging to a person receiving services.

PROCEDURES:

1. When any incident occurs, PASAs, independent contractors, approved businesses, TRE employees, and volunteers shall provide verbal notification of the incident to the TRE Service Coordinator (SC) within 24 hours. The reporter will also notify all Interdisciplinary Team (IDT) members of the incident.
2. For the following incident types, the reporter shall also provide immediate verbal notification to the Quality Enhancement Team (QET):
 - A. Allegations of Mistreatment(per 25.5-10-202, CRS)
 - B. Death of person receiving service
 - C. Lost/Missing persons
 - D. Law enforcement involvement (whether an individual in services is the alleged victim or the alleged perpetrator)
3. TRE will determine whether the incident also meets the Division for Intellectual and Developmental and Disabilities (DIDD) definition of a critical incident, and submit the incident to DIDD according to Home and Community Based Services' requirements.
 - A. Critical incidents shall be reported to DIDD as soon as possible after discovering the incident but no later than noon of the next business day.
4. TRE's On-Call Policy and Procedure should be followed for incidents occurring after normal TRE business hours.

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5. In the case of **allegation(s) of mistreatment (which includes: abuse, caretaker neglect, and exploitation per 25.5-10-202, CRS)** TRE's Policy and Procedure on Mistreatment Investigations is to be followed.
6. All TRE employees and PASAs are considered Mandatory reporters of Mistreatment of Elders and individuals with intellectual and developmental disabilities (IDD), in accordance with §18-6.5, CRS.

REPORTING AND RECORDING RESPONSIBILITIES:

7. Reporters shall complete and submit an IR within 24 hours of the date of incident (or the next available business day by 12:00 p.m.). All completed IRs shall include at a minimum, the following (in accordance with 10 CCR 2505-10, §8.608.6):
 - A. The name of the person receiving services who was involved;
 - B. The incident date, time, duration, and location of the incident;
 - C. Whether the incident was observed directly;
 - D. Names of persons involved and/or witnesses to the occurrence (if other person receiving services are involved initials of the individual(s) shall be used);
 - E. Type of incident
 - F. Names of person(s) reporting and date report was completed;
 - G. Names of persons who were notified, date and method of notification;
 - H. A description of the incident, including any relevant antecedents and immediate action/s taken;
 - I. Any follow-up action taken and the name of the person responsible for further follow-up, or location where follow-up documentation can be found; and,
8. All IRs must be typed and submitted as attachments to ir@tre.org.
9. Follow-up not submitted with the initial report shall be submitted to TRE within thirty (30) calendar days of the incident date.
10. TRE's QET will review IRs within one business day of receipt and contact the reporter or appropriate party to obtain clarifying information and/or follow-up as needed.
11. The QET will document IRs and requested or submitted follow-up in all applicable databases and records management systems (including required by the State of Colorado, and any TRE proprietary systems) before disseminating to the appropriate SC.
12. The QET will ensure the IRs are stored in the individual's record.
13. The SC will review IRs and ensure the following tasks are completed:
 - A. Request/complete any follow-up to the incident as determined necessary;
 - B. Verify that all IDT members were notified as appropriate;
 - C. Document in applicable systems any additional actions or follow-up taken with regard to the IR.

INCIDENT MANAGEMENT REVIEW PROCESS:

14. QET will maintain the records related to incident management procedures.

POLICIES AND PROCEDURES

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15. QET will review and analyze information from incident reports to identify trends and problematic practices which may be occurring in specific services and shall ensure IR follow-up has been completed in order to take appropriate corrective action to address any identified problematic practices. All IR follow-up documentation will be forwarded to the SC and filed appropriately.
16. QET will adhere to contract deliverable reporting requirements associated with incident reporting.