

DHHS Criteria for Determining Level of Response to Incidents

Incidents are events that are inconsistent with the routine operation of a service or care of a consumer that are likely to lead to adverse effects. Providers must report incidents, as defined below, that occur while a consumer is under their care. Individuals receiving residential and ACT Team services are considered under the provider's care 24 hours a day. Individuals receiving day services and periodic services are considered under the provider's care while a staff person is actively engaged in providing a service. See Manual for details.

	EVENT	LEVEL I	LEVEL II	LEVEL III ¹	EXCEPTIONS
CONSUMER DEATH	Consumer Death		<u>Due to:</u> - Terminal illness or other natural cause - Unknown cause	<u>Due to:</u> - Suicide - Violence / homicide - Accident <u>Or occurring:</u> - Within 7 days of seclusion or restraint	<ul style="list-style-type: none"> Providers of non-residential services should report as soon as they learn of death. Review of Level III incidents within 24 hours needed only if actively engaged in providing service at time of death.
RESTRICTIVE INTERVENTION	Seclusion Isolated time-out Restraint	Any planned use administered appropriately and without discomfort, complaint, or injury ²	1. Any emergency, unplanned use OR 2. Any planned use that exceeds authorized limits, is administered by an unauthorized person, results in discomfort or complaint, or requires treatment by a licensed health professional	Any restrictive intervention that results in permanent physical or psychological impairment within 7 days	Providers will submit aggregate numbers of Level I restrictive interventions to the host LME quarterly. ²
CONSUMER INJURY	<u>Due to:</u> - Aggressive behavior - Self-injury/mutilation - Trip or fall - Auto accident - Other / unknown cause	Any injury that requires only first aid, as defined by OSHA guidelines ² (regardless of who provides the treatment)	Any injury that requires treatment by a licensed health professional (such as MD, RN, or LPN) beyond first aid, as defined by OSHA guidelines ²	Any injury that results in permanent physical or psychological impairment and any allegation of rape or sexual assault by someone other than a staff member or caregiver	Providers of non-residential services should report Level II incidents only if actively engaged in providing service at time of incident
ABUSE	Abuse of consumer Neglect of consumer Exploitation of consumer		Any allegation of abuse, neglect or exploitation of consumer by staff or other adult, including inappropriate touching or sexual behavior	Any allegation of abuse, neglect or exploitation of consumer that results in permanent physical or psychological impairment, arrest, or involves an allegation of rape or sexual assault by a staff member or caregiver	<ul style="list-style-type: none"> Providers of non-residential services should report as soon as they learn of allegation. Review of Level III incidents within 24 hours needed only if actively engaged in providing service at time of alleged incident.
MED ERROR	Wrong dose Wrong medication Wrong time (over 1 hour from prescribed time) Missed dose or medication refusal	Any error that does not threaten the consumer's health or safety (as determined by the physician or pharmacist notified of the error)	Any error that threatens the consumer's health or safety (as determined by the physician or pharmacist notified of the error)	Any error that results in permanent physical or psychological impairment	<ul style="list-style-type: none"> Providers of periodic services should report errors for consumers who self-administer medications as soon as learning of the incident. Review of Level III incidents within 24 hours needed only if actively providing service at time of incident. All providers will submit aggregate numbers of Level I medication errors to the host LME quarterly.²
		<i>NOTE: Report all drug administration errors and adverse drug reactions to a physician or pharmacist immediately, as required by 10A NCAC 27G .0209(h).</i>			

¹ Providers should notify the host and home LMEs by phone upon learning of any Level III incident, even if not actively providing service at the time of the incident.

² See Manual for details.

NOTE: Incident reports are quality assurance documents. Do not file incident reports in the consumer's service record. Confidentiality of consumer information is protected. Use the form according to confidentiality requirements in NC General Statutes and Administrative Code and the Code of Federal Regulations.

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CONSUMER BEHAVIOR	Suicidal behavior	Any suicidal threat or verbalization that indicates new, different or increased behavior	Any suicide attempt	Any suicide attempt that results in permanent physical or psychological impairment	Do not report previous suicide attempts by persons seeking services through the LME Access unit or for whom inpatient commitment is being sought.
	Sexual behavior	Inappropriate sexual behavior that does not involve a report to law enforcement or complaint to an oversight agency	Any sexual behavior that involves a report to law enforcement, a complaint to an oversight agency, or a potentially serious threat to the health or safety of self or others	Any sexual behavior that results in death, permanent physical or psychological impairment, arrest of the consumer, or public scrutiny (as determined by the host LME)	
	Consumer act	Any aggressive or destructive act that does not involve a report to law enforcement or complaint to an oversight agency	Any aggressive or destructive act that involves a report to law enforcement, a complaint to an oversight agency, or a potentially serious threat to the health or safety of self or others	Any aggressive or destructive act reported to law enforcement or an oversight agency that results in death, permanent physical or psychological impairment, or public scrutiny (as determined by the host LME)	
	Consumer absence	Any absence of 0 to 3 hours over the time specified in the service plan, if police contact is not required	Any absence greater than 3 hours over the time specified in the individual's service plan or any absence that requires police contact		Report absences of competent adult consumers receiving non-residential services <u>only</u> if police contact is required.
OTHER	Suspension from services Expulsion from services	Any provider withdrawal of services for less than one day for consumer misconduct	Any provider withdrawal of services for one day or more for consumer misconduct		
	Fire	Any fire with no threat to the health or safety of consumers or others	Any fires that threatens the health or safety of consumers or others	Any fire that results in permanent physical or psychological impairment or public scrutiny (as determined by the host LME)	
	Search and seizure	Any			All providers will submit aggregate numbers of searches and seizures to the host LME quarterly. ²
	Confidentiality breach	Any			

Direct questions to: Contact DMHQuality@ncmail.net Phone: (919) 733-0696

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