

PATHWAYS, INC. DD SERVICES	DATE ISSUED 10/92	DATE REVISED 5/13 10/14	PAGES 1 of 2	TOPIC NO. 2.20
POLICIES AND PROCEDURES MANUAL	FUNCTION: INCIDENT REPORTING/REVIEW PROCESS			
SOURCE/REFERENCE: NYCRR – 624	SUBJECT: Agency Incident Report Processing			
	TOPIC: Processing of Agency-Reportable Incidents			

POLICY:

624.2(g) It is the intent of this Part to require a process whereby all serious behavior problems are recorded, reviewed by appropriate parties and a record maintained of actions taken. However, reporting through the incident/abuse process shall only occur when the behavior problem results in an incident or an allegation of abuse as defined in this Part.

624.2(f) It is not the intent of this Part to mandate that every potentially harmful event, occurrence, or situation attributable to or involving a person receiving services in certified facilities such as an aggressive behavior problem (including the need for psychiatric services elsewhere), illness, medication problems, inappropriate living arrangements or conditions, or inappropriate social behavior, be recorded as a notable occurrence. It shall be the responsibility of the agency to determine if and how events or situations involving persons receiving services, other than notable occurrences & abuse neglect (as defined in section 624.4 of this Part), are to be documented, processed, corrected (including corrective actions to be taken for the protection and/or safety of all those exposed to potential harm), monitored or analyzed for trends through the development of policies and procedures that are in compliance with 14 NYCRR; and to develop a mechanism for review to ensure compliance with such policies and procedures.

Incident reports (of all types) shall be processed according to Part 624 regulations and as follows:

All employees are responsible for reporting incidents and allegations of abuse, whether such knowledge is direct or indirect.

Occurrences of behavior problems which may jeopardize the safety of the person or others may be considered as *agency reportable incidents*. When the behavior results in a situation which meets the regulatory definition of a notable occurrence or abuse / neglect, then it is to be reported in accordance with Section 624.5. However, the incident/abuse reporting process should not be the mechanism to monitor all situations of this nature.

- Other situations, which may be considered as *agency reportable incidents*, are such things as injuries that do not come up to the level of seriousness as defined in Part 624, tardiness, violation of facility or agency rules; behavioral outbursts or inappropriate social behavior.

All agency reportable incidents filed will have a designated Pathways Inc. pre numbered incident report number that's tracked via the agency reportable incident log kept by each program manager. All incident reports will be numbered as follows.

Program code –last two digits of current year – number of report in order per each year – A for Agency IR.

Example: 273 13 01A

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Agency-Reportable Incidents

- Fill out a Pathways Agency-Reportable Incident Report.
- Do not notify OPWDD.
- Forward to Manager/Director/Supervisor on call for review and further processing. Notify parent/guardian, correspondent, day program or residence and Service Coordinator / QIDP - if applicable.
- Managers / Directors will routinely monitor incidents for possible trends.
- The Program Manager will trend all agency incident reports on a quarterly basis. All trends and the corrective actions provided by the program in response to the trends will be provided to the Incident Review Committee for further review and recommendations.
- **DEFINITION OF A TREND:** Two or more occurrences of a similar incident including the same person, place, or type within a three month period.

RESPONSIBILITY:

PROCEDURE:

Any staff observing or discovering
Agency-Reportable Incidents

- 1) Provide any necessary immediate assistance to the individual.
- 2) Make verbal report of event to appropriate supervisor.
- 3) Completes Pathways, Inc. pre-numbered Incident Report and submits to supervisor/manager.

Supervisor/Manager/Director

- 4) Completes Agency Incident Log Sheet.
- 5) Reviews report and determines appropriate filing of report. Assures that Pathways Incident Report is written properly and requests written comments as needed. Signs Incident Report.

Manager/Director

- 6) Investigates/Determines probable cause, initiates corrective action and/or follow-up as necessary, writes follow-up on reverse side of form under "reviewer's comments", and signs name.
- 7) Assures that appropriate entries are made in the individual's record and any necessary follow-up to event.
- 8) Trend Agency Reportable incidents at site per person & systemically per circumstance.
- 9) On a Quarterly basis submits Agency Reportable Incidents and trends to the Special Review Committee for further review and recommendations.

