DAUPHIN COUNTY MH/MR PROGRAM
POLICY AND PROCEDURE

Department  X. MH  Policy No.  02-06
_____ MR  Effective Date  10/01/02
_____ Admin  Revision Date
X. Crisis  Approved

Title: Unusual Incident Reporting and Investigation

Policy: The Dauphin County MH/MR Program requires the proper documentation, reporting, and investigation of all unusual incidents involving active MH Consumers and contracted MH providers.

Definitions:

MH Consumer: Consumers of mental health services who are actively registered with the Dauphin County Mental Health/Mental Retardation Case Management Unit and consumers utilizing Dauphin County Crisis Intervention Services.

Unusual Incident: The items listed below shall be defined as unusual incidents. If a provider is in doubt whether an occurrence is an unusual incident, the provider should err on the side of defining the occurrence as an unusual incident.

1. The death of an MH consumer.
2. Serious illness or injury requiring hospitalization, on a medical unit, of an MH consumer.
3. Serious acts of violence or sexual exploitation allegedly committed by an MH consumer against others or by others against an MH consumer.
4. Significant ($500.00 or more) damage to property allegedly caused by an MH consumer.
5. Unexplained absence exceeding 24 hours of an MH consumer participating in a residential program that provides daily staff supervision.
6. Fire or other disaster that affects an MH consumer’s health, safety, or mental status.
7. Any occurrence that renders a residential facility unsafe for human habitation for a period that requires the temporary or permanent relocation of MH consumers.

8. Criminal events involving the police, where an MH consumer is either the victim or the alleged perpetrator.

9. Outbreaks of illness requiring notification to the State Department of Health.

10. Incidents of impingement of personal freedom, such as staff member initiated acts of physical restraints, restrictions of movement, acts of confinement, or chemical restraints, and violations of a person's rights according to the MH/MR Act of 1966. Episodes of this type are not regarded as unusual incidents during involuntary psychiatric commitments or those that occur as a planned behavioral intervention.

11. An alleged abuse by a staff person against an MH consumer.

12. Misuse of MH consumer's funds being held by a contracted provider.

**Planned Behavioral Intervention:** An intervention or treatment technique that targets a specific behavior for therapeutic benefit and includes all of the following components:

1. Documentation in professional literature and/or research as accepted clinical practice.

2. Consistent with a written agency policy and procedure on behavioral intervention.

3. Individualized to a specific person.

4. Clinically justified and documented in an evaluation completed by a mental health professional.

5. Incorporated into the consumer's treatment plan and is outcome based.

6. Documentation of record keeping and periodic review.

7. Documentation of staff training and supervision relating to the behavioral intervention.

8. Written parental permission when the person is under the age of 18 (if clinically appropriate, ages 14 to 18 may provide permission but the parent must be notified of the behavioral intervention to be used).

9. Written notification to the assigned case manager.

10. Subject to Administrative and Clinical review by the Dauphin County MH/MR Program.

**Providers:** All providers/agencies that are under contract with the Dauphin County MH/MR Program to provide direct mental health services for MH consumers.

**Procedure:**

1. All unusual incidents shall be reported to the Dauphin County MH/MR Program.
Verbal reports shall be made to the Deputy Mental Health Administrator. Written reports on the approved form (see attached) shall be addressed to the MH/MR Administrator.

2. Incidents of the type described under the definition of an unusual incident in numbers 1, 3 (when the MH consumer is the victim), 5, 6, 7, 10, and 11 shall be reported verbally within 24 hours or on the next business day following a weekend or agency holiday. Additionally, the written report shall be completed and mailed or faxed within 48 hours of the incident.

3. Incidents of the type not listed in procedure number 2 above shall be reported in writing on the approved form. The report shall be completed and mailed or faxed within 72 hours of the incident.

4. Providers must complete an unusual incident summary report on the approved form (see attached) within two weeks of the unusual incident. This report shall indicate any findings or actions taken as a result of the unusual incident. An extension of this deadline may be granted by the MH/MR Administrator.

5. The Administrator or the Deputy MH Administrator may initiate further investigation or action as he or she deems appropriate in response to any unusual incidents, findings, and recommendations. An investigation shall be completed in all incidents where any of the following apply:
   
   A. An MH consumer or family member of a consumer files a grievance with the Dauphin County MH/MR Program regarding the management of an unusual incident.
   
   B. When the Dauphin County Commissioners, the Department of Public Welfare, or a formal advocacy group specifically requests an investigation.

6. Provider organizations shall cooperate with all investigations in response to an unusual incident. Additionally, these provider organizations shall support cooperation of their staff members with all investigations.

7. The Dauphin County MH/MR Program will coordinate all investigative activities with any outside investigating entity, including but not limited to formal advocacy groups, law enforcement agencies and regulatory entities.

8. The following steps will be taken when the Dauphin County MH/MR Program has determined that an investigation is necessary:
   
   A. The Administrator will designate a staff person (Investigator) who will be responsible for conducting the investigation.
   
   B. The Investigator will notify all involved parties in writing that he or she is conducting an investigation of the unusual incident.
   
   C. The provider shall identify to the Investigator a single point of contact within the provider organization who shall be responsible to coordinate the investigation.
D. The Investigator will collect and review all written material relevant to the incident to which the Dauphin County MH/MR Program is entitled to review according to the contract for services.

E. The Investigator will conduct interviews with involved parties as necessary.

F. The Investigator will complete a written summary of findings and recommendations to the Administrator within two weeks of notice of appointment as Investigator. This deadline may be extended by the Administrator.

9. The written summary of findings will include the following information:

A. Identifying information regarding the parties involved and the date of the incident.

B. A description of the incident.

C. A statement of the issue in question for the investigation.

D. A description of the investigation process.

E. A summary of findings.

F. A list of recommendations as a result of the investigation. The recommendations may be of the following types:

1. All findings are acceptable and no further actions are necessary.

2. The findings reveal practice that may need improvement. Recommendations are made to the parties involved.

3. The findings reveal actions that are in violation of the contract between the provider and the Dauphin County MH/MR Program. An official notice of non-compliance will be issued to the provider by the Administrator with a corrective action plan required.

10. The written summary of findings will be distributed to the parties involved after approval by the Administrator.

11. The Dauphin County MH/MR Program will maintain the records of all investigations for the time period as specified in the County Records Manual for the Commonwealth of Pennsylvania, as authorized by the County Records Act of August 14, 1963 (P.L. 839, No. 407) as amended. All records will be maintained in a locked filing system. Investigation records will be destroyed according to the procedures specified in this manual.

12. This policy, effective October 1, 2002, replaces and supersedes the Dauphin County MH/MR Program policy on the documentation, reporting and investigation of unusual incidents (dated July 1, 1998) and the policy on the conducting of investigations involving unusual incidents (dated July 1, 1998).
# DAUPHIN COUNTY MH/MR PROGRAM

## UNUSUAL INCIDENT REPORT

<table>
<thead>
<tr>
<th>Name of Client (Last, First, M.I.)</th>
<th>Provider Name:</th>
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<tbody>
<tr>
<td>Address:</td>
<td>Address:</td>
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<td>City: State: Zip Code:</td>
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<tr>
<td>Phone:</td>
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<tr>
<td>BSU Number:</td>
<td></td>
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<tr>
<td>Date of Birth/Age:</td>
<td>Sex:</td>
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<tr>
<td>Date of Incident:</td>
<td>Time:</td>
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<td>Location of Incident:</td>
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Describe in detail exactly what happened and any circumstances which may have precipitated the incident (attach additional sheets and relevant documents if necessary).

### Description of Any Injury:

### Physician's Name and Statement (if applicable) - include treatment and follow-up action:

### Action Taken:

### Other pertinent information:

<table>
<thead>
<tr>
<th>Relative or Guardian Notified: Relationship: Address: Phone:</th>
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<tbody>
<tr>
<td>Name and Signature of Person Reporting: Typed Name: Signature:</td>
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</table>

9/13/02
### UNUSUAL INCIDENT SUMMARY REPORT

<table>
<thead>
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<th>Name of Client (Last, First, M.I.)</th>
<th>Provider Name:</th>
</tr>
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<tbody>
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<td>Phone:</td>
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<td>BSU Number:</td>
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<td>Date of Incident:</td>
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List names and titles of agency staff members involved in the investigation/analysis process:

Describe in detail the steps taken in the investigation/analysis process:
Describe in detail any conclusions drawn from the investigation/analysis process:

Describe any recommendations for change in agency policy & procedure as a result of the investigation/analysis process:

Name and Signature of Person Reporting:
Typed Name: ___________________________ Signature: ___________________________

10/15/02