DAUPHIN COUNTY MH/MR PROGRAM
POLICY AND PROCEDURE

<table>
<thead>
<tr>
<th>Department</th>
<th>X MH</th>
<th>Policy No. 09-01</th>
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<tr>
<td>_ MR</td>
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<td>Effective Date</td>
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<td>_ Admin</td>
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Title: Unusual Incident Reporting and Investigation – Adult Consumers of Mental Health Services

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

Definitions:

Adult MH Consumer: An adult consumer of mental health services is an individual 18 years of age or older who is actively registered with the Dauphin County Mental Health/Mental Retardation Case Management Unit’s base service unit (BSU) and/or an adult consumer accessing Dauphin County Crisis Intervention services and not registered with the base service unit.

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 consult with Dauphin MH/MR to determine if the occurrence should be reported.

1. The death of an adult MH consumer.
2. Homicide whether adult consumer is actor or victim.
3. Serious illness or injury requiring hospitalization, on a medical unit, of an adult MH consumer.
4. Serious acts of violence or sexual exploitation allegedly committed by an adult MH consumer against others or by others against an adult MH consumer.
5. Significant ($500.00 or more) damage to property allegedly caused by an adult MH consumer.
6. Unexplained absence exceeding 24 hours of an adult MH consumer participating in a residential program that provides daily staff supervision.

7. Fire or other disaster that affects an adult MH consumer’s health, safety, or mental status.

8. Any occurrence that renders a residential facility unsafe for human habitation for a period that requires the temporary or permanent relocation of adult MH consumers.

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

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

11. 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.

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

13. Misuse of an adult 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 notification to the assigned case manager.

9. 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 adult MH consumers.
Procedure:

1. The Dauphin County MH/MR Program is describing separate policies and procedures for the reporting of unusual incidents for: a) children and teens; and, b) adults. This policy and procedure pertains to adult MH consumers only. The Policy and procedures Number 02-06 effective October 1, 2000, remains in effect for child and teen MH consumers.

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

3. Incidents of the type described under the definition of an unusual incident in numbers 1, 2 (when the adult MH consumer is the victim), 4, 6, 7, 8, 11 and 12 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 72 hours of the incident with the exception of homicide when the written report is due within 48 hours.

4. Incidents of the type not listed in procedure number 2 above (3, 5, 9, 10, & 13) shall be reported in writing on the approved form. The report shall be completed and mailed or faxed within 72 hours of the incident. Timely filed HCSIS reports satisfy the written report requirement.

5. Providers must complete an unusual incident summary report on the approved form (see attached) within two weeks of the unusual incident if requested by the County. 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 or designee. A written summary report may be requested for HCSIS system reports. A collaborative report may be requested for incidents involving multiple providers.

6. 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 adult MH consumer or family member of an adult MH 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.

7. 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.

8. 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.
9. 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.

10. 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.

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

12. 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.
13. This policy, effective March 24, 2009, replaces and supersedes the Dauphin County MH/MR Program policy on the documentation, reporting, and investigation of unusual incidents (dated October 1, 2000) for adult Mental Health consumers.

14. Unusual incidents for children and teens will continue to be reported according to Policy and Procedure Number 02-06 effective October 1, 2000.
## 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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<tr>
<td>City:</td>
<td>State: Zip Code:</td>
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<td>City:</td>
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<td>Phone:</td>
<td>Phone:</td>
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<tr>
<td>BSU Number:</td>
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<tr>
<td>Date of Birth/Age:</td>
<td>Sex: [ ] Male [ ] Female</td>
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<tr>
<td>Date of Incident:</td>
<td>Time: [ ] A.M. [ ] P.M.</td>
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<tr>
<td>Location of Incident:</td>
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<tr>
<td>Type:</td>
<td>Subtype:</td>
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<tr>
<td>Description of Any Injury:</td>
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</tr>
<tr>
<td>Physician's Name and Statement (if applicable) - include treatment and follow-up action:</td>
<td></td>
</tr>
<tr>
<td>Action Taken:</td>
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<td>Other pertinent information:</td>
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### Relative or Guardian Notified:
- Relationship: [ ]
- Address: [ ]
- Phone: [ ]

### Name and Signature of Person Reporting:
- Typed Name: [ ]
- Signature: [ ]
- Title: [ ]
- Phone: [ ]

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**Date of Report:** [ ] **Time:** [ ]

**9/13/02**
DAUPHIN COUNTY MH/MR PROGRAM

UNUSUAL INCIDENT SUMMARY REPORT

<table>
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<tr>
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<td>Phone:</td>
<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