Incident Reporting and Near Misses

Learning objectives

I.   Goals of reporting

II. Who, what, and why we report incidents and near misses

III. How to submit a report

Goals of Incident Reporting

- Ensure staff and client safety

- Identifying system issues that impact quality of care + client and staff safety

- Provide positive feedback on staff efforts that <u>prevent</u> incidents

- Share lessons learned and utilize staff expertise

What is an incident and what to report?

- **Adverse event or incident**: An undesired and unexpected outcome or occurrence

- **Near miss**: An event or situation that could have resulted in an accident, injury or illness, but did not either by chance or by a staff member or client intervention

Why do we do incident reporting?

- <u>Prevention</u> of future risks – minor incidents help to prevent larger issues

- Has a positive effect on safety and can increase awareness of potential risks [1]

- It can be hard to self-report, however, incident reporting allows us to improve system failures that impact your day-to-day job

- Helps to identify patterns to address and prevent incidents

- The goal is performance improvement!

1. Anderson, J., Kodate, N., Walters, R., and Dodds, A. (2013) Can incident reporting improve safety? Healthcare practitioners' views of the effectiveness of incident reporting. International Journal for Quality in Health Care 2013; Volume 25, Number 2: pp. 141–150.

Examples of what to report?

What incident(s) have you experienced?

How are incident reports used?

1. Identify and improve internal systems and training needs

2. Identify external issues that impact client care

3. Develop plans to interact with clients

4. Track issues occurring throughout the agency

Who Should Report

1. The primary person involved in the incident or his/her designee (e.g. supervisor)

2. Other witnesses who have pertinent information

3. **In the case of a code:**
   - Any staff member who witnessed the event and determined a code should be called
   - The first person to respond or designee

When Should a Report be Submitted?

- Within 24 hours of the occurrence

- However, there is no time limit on when a report can be filed

- All reports will be accepted and make a difference

How to Report

1. *Use the incident reporting system – The GRC
2. Use the hotline (ext. 5660)
3. Use the paper form and submit to incidents@hchmd.org

*primary and preferred means

(2) The Hotline

- The compliance hotline is available at extension #5660

- Voicemail checked by the Compliance Team (Chief Quality Officer, Director of Compliance, and Compliance Coordinator)

- Confidential means to report an incident: Information regarding any incident will only be shared as needed!

(3) Paper Submission

- Complete a paper submission and email it to the incident reporting email address in cases of downtime

- All incidents received via email will be logged into the GRC by a member of the compliance team

- Goal is for all incidents to be in the incident reporting system

(1) The GRC
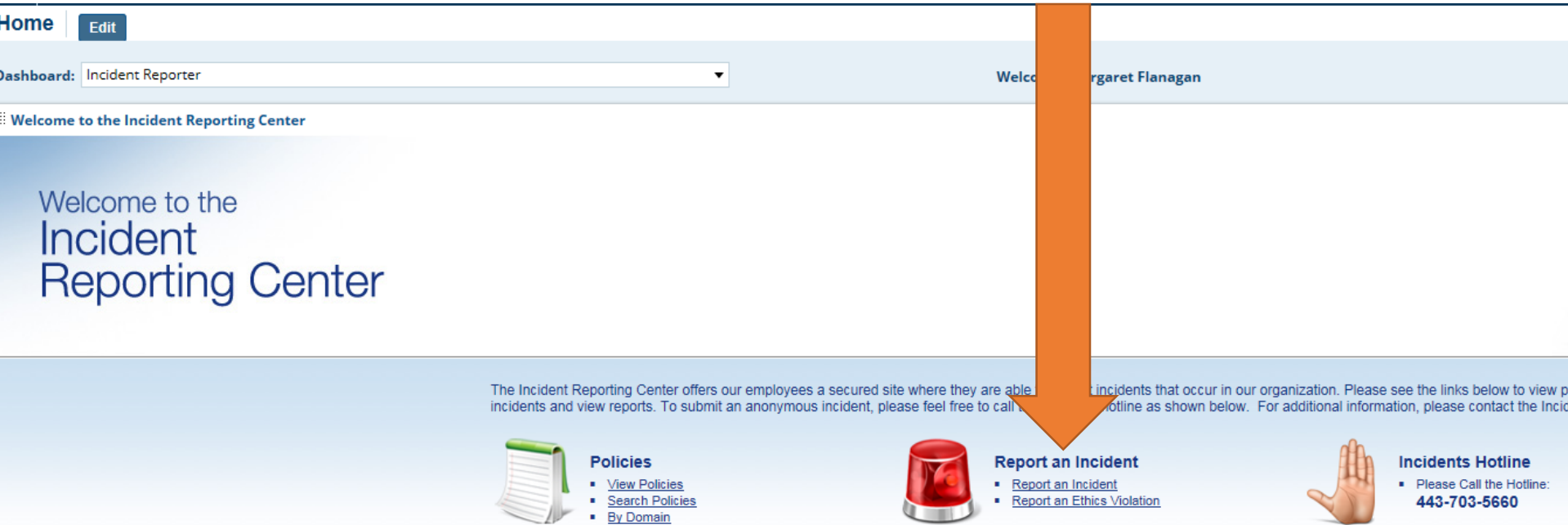
Online tool to report, track and follow-up on an incident and (in Fall 2018) centrally store our Policies and Procedures

- https://hcharcher/apps/ArcherApp/Home.aspx#home
- Use in Internet Explorer
- Same log-in as HCH account and Centricity(once logged in, should stay logged in)
- Will have icon on desktop and link on the portal

- All staff will have a login that allows them to access the incident reporting system

To start a report:
- Click the "Report an Incident" link; a new record will be generated

Add New Record Incidents

NEW **COPY** **SAVE** VIEW DELETE

▶ ABOUT

▼ EVENT INFORMATION

Incident ID:

Incident Summary:

Date/Time Occurred:

Date/Time Reported: 2/2/2018 11:06 AM

Date/Time Closed:

Days Open:

Incident Details:

Status: New

Type of Incident:

Sites Involved:

Notifications Made:

Witnesses :

HCH Number:

*Complete summary line and the date it occurred
*Date reported will automatically appear

15

Status: New ▼ Edit

Type of Incident: ... Edit

Sites Involved: ... Edit

Notifications Made: ... Edit

Witnesses :

HCH Number:

Types of Incident – drop down

Select Values 　X

Values

Available	Selected

Find: 🔍

- Near Miss
- ⊞ HIPAA violation
- ⊞ Recall
- ⊞ Treatment/Diagnostic/Procedure Related
- ⊞ Accident
- ⊞ Physical, Verbal or Criminal Incident
- Disruptive/Disorderly/Abusive Verbal
- Threat - Against an employee
- Threat - Against a client
- Threat - Against the agency
- Threat - Threat of self-harm
- Inappropriate Physical Contact (Grabbing, touching etc)
- Theft

OK　　Cancel

Status: New ▼ Edit

Type of Incident: [   ] ... Edit

Sites Involved: [   ] . Edit

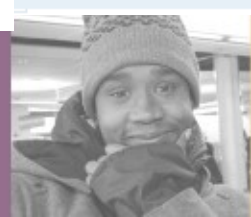Notifications Made: [   ] ... Edit

Witnesses: [   ]

HCH Number: [   ]

Notifications Made:

Site where the incident occurred

*If the incident happens while out on outreach, include information about the location in the "Incident Details" section

Select Values ☒

Values

Available	Selected
Find: [ ] 🔍	
---- 421 Fallsway	
---- 201 Baltimore Street	
---- Baltimore County	
---- Harford County	
---- West Baltimore	
---- Mobile Unit	
---- Agency Vehicle	
---- Convalescent Care	
---- Our Daily Bread	

OK   Cancel

Status: New ▼ Edit

Type of Incident: [   ] ... Edit

Sites Involved: [   ] ... Edit

Notifications Made: [   ] ... Edit

Witnesses : [   ]

HCH Number: [   ]

Additional departments notified

Select Values ☒

Values

Available	Selected

Find: [   ] 🔍

- Emergency medical services
- Human Resources Department
- Compliance Department
- Information Technology Department
- Relevant director
- Relevant chief
- Family member
- Department of Health (city)

OK   Cancel

Incident Summary: [   ]

Date/Time Occurred: [   ]

Date/Time Reported: 2/2/2018 11:14 AM

Date/Time Closed: [   ]

Days Open:

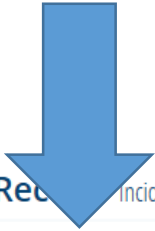Incident Details: [   ]

<u>Incident details – Objective description of incident</u>
- Avoid assumptions or conclusions
- Include key observations of the scene
- Manufacturer, model, and lot (or batch) number of any medical device involved
- Condition of the people involved (including any complaints of injury, observed injuries, and a brief comment on any follow-ups if available)

To officially file the report, click "save"

You can always go back and edit reports once they've been filed!

Add New Re... Incidents

NEW   **COPY**   **SAVE**   **VIEW**   **DELETE**

▶ **ABOUT**

▼ **EVENT INFORMATION**

Incident ID:		Status: New
Incident Summary:		Type of Incident:
Date/Time Occurred:		Sites Involved:
Date/Time Reported:	2/2/2018 11:14 AM	Notifications Made:
Date/Time Closed:		Witnesses :
Days Open:		HCH Number:
Incident Details:		

Incident Access History: | View Access History |

Related Incidents:

What happens after you submit…

1) All reports are sent to:
- Relevant Director (always), VP or Chief (in certain instances)
- The Compliance Department

2) All reports are reviewed and a determination made as to whether:
- The incident can be closed
- More information is needed
- Follow-up action is needed

3) Reports will be tracked by incident type and actions taken

4) The individual who submitted an incident will receive follow-up notification regarding next steps or if the incident is closed

SHOULD. I. REPORT?

➢ A client falls in the waiting room, but does not get hurt
➢ A client threatens another client
➢ A client threatens a staff member
➢ A sample medication is taken from the medication room to give to a client, but it's expired! This is caught before it is given to the client
➢ Your shoe breaks in the parking lot
➢ An Agency vehicle is hit while on a client escort – no one is injured
➢ A sink is leaking and there is a puddle
➢ A code blue is called
➢ Your lunch spills while getting out of your car
➢ A provider accidentally sticks themselves while performing a procedure
➢ A document containing PHI is left on the fax machine
➢ The power goes out at one of our sites

Next steps

- System officially launches **Monday, March 5th**
- Additional training at all sites**:** By request
- Additional training dates at Fallsway**:**
  - Tuesday, February 13th at 12:00 in the 3rd floor large conference room
  - Wednesday, February 28th at 12:00 in the 3rd floor large conference room

Questions??

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