

Effective Date: 12/2/2019
Review Date: 12/2/2019
Revised Date: 11/7/2019

North Sound Behavioral Health Administrative Services Organization, LLC

Section 1000 - Administrative: Critical Incident Reporting

Authorizing Source: HCA Contract

Approved by: Executive Director

Date: 12/2/2019

Signature:

POLICY # 1009.00

SUBJECT: CRITICAL INCIDENT REPORTING

PURPOSE

The North Sound Behavioral Health Administrative Services Organization (North Sound BH-ASO) shall establish a Critical Incident Management System consistent with all applicable laws and shall include policies and procedures for identification of incidents, reporting protocols and oversight responsibilities.

The North Sound BH-ASO will increase intervention for an Individual when incident behavior escalates in severity or frequency and shall communicate with the appropriate MCO when the North Sound BH-ASO becomes aware of an incident for a Medicaid Enrollee.

PROCEDURES

The North Sound BH-ASO shall submit an individual Critical Incident report for non-Medicaid Individuals for the following incidents:

1. Homicide or attempted homicide by an individual;
2. A major injury or trauma that has the potential to cause prolonged disability or death, or the unexpected death of an individual that occurs in a facility licensed by the state of Washington to provide publicly funded Behavioral Health services;
3. An unexpected death of an individual that occurs in a facility licensed by the state of Washington to provide publicly funded BH services;
4. Abuse, neglect or exploitation of an individual;
5. Violent acts allegedly committed by an individual to include:
 - a. Arson;
 - b. Assault resulting in serious bodily harm;
 - c. Homicide or attempted homicide by abuse;
 - d. Drive-by shooting; and/or
 - e. Extortion
 - f. Kidnapping
 - g. Rape, Sexual assault or indecent liberties
 - h. Robbery
 - i. Vehicular homicide
6. Unauthorized leave of a mentally ill offender or a sexual or violent offender from a mental health facility, secure Community Transition Facilities (i.e. Evaluation and Treatment Centers, Crisis Stabilization Units, Secure Detox Units, and Triage Facilities) that accept involuntary admissions.

7. Any event involving a Consumer that has attracted or is likely to attract media attention.

Reporting

1. The North Sound BH-ASO shall report Critical Incidents within one (1) business day in which the North Sound BH-ASO becomes aware of the event. The report shall include:
 - a. The date the North Sound BH-ASO becomes aware of the incident;
 - b. The date and time of the incident;
 - c. A description of the incident;
 - d. The name of the facility where the incident occurred, or a description of the incident location;
 - e. The name(s) and age(s) of individuals involved in the incident;
 - f. The name(s) and title(s) of facility personnel or other staff involved;
 - g. The name(s) and relationship(s), if known, of other persons involved and the nature and degree of their involvement;
 - h. The Individual's location at the time of the report if known (i.e. home, jail, hospital, unknown, etc.) or actions taken by the North Sound BH-ASO to locate the Individual;
 - i. Actions planned or taken by the North Sound BH-ASO to minimize harm resulting from the incident; and,
 - j. Any legally required notifications made by the North Sound BH-ASO.
2. The North Sound BH-ASO shall report Critical Incidents using the HCA Incident Reporting System at <https://fortress.wa.gov/hca/ics/>. If the system is unavailable the North Sound BH-ASO shall report Critical Incidents to HCAMCPrograms@hca.wa.gov.
3. The North Sound BH-ASO shall submit follow-up reports using the Incident Reporting System and close the case within forty-five (45) calendar days after the Critical Incident was initially reported. A case cannot be closed until the following information is provided:
 - a. A summary of any debriefings;
 - b. Whether the Consumer is in custody (Jail), in the hospital or in the community;
 - c. Whether the Consumer is receiving services and include the types of services provided;
 - d. If the Consumer cannot be located, the steps the North Sound BH-ASO has taken to locate the Consumer using available, local resources; and
 - e. In the case of the death of a Consumer, verification from official sources that includes the date, name and title of the sources. When official verification cannot be made, the North Sound BH-ASO shall document all attempts to retrieve it.
4. The North Sound BH-ASO shall submit a semiannual report of all Critical Incidents tracked by the North Sound BH-ASO.
 - a. At minimum, the report shall include an analysis of the following incidents:
 - i. Incidents identified through the Individual Critical Incidents process;
 - ii. A credible threat to Enrollee safety;
 - iii. Any allegation of financial exploitation of an enrollee;
 - iv. Suicide and attempted suicide; and
 - v. Other incidents as defined in North Sound's Policies and Procedures.
 - b. The following elements shall be included in the analysis:

- i. The number and types of Critical Incidents and comparison of changes over time;
 - ii. analysis of Critical Incidents that repeat;
 - iii. trends found in the population (i.e. regional differences, demographic groups, vulnerable populations);
 - iv. analysis of the effectiveness of the Critical Incident Management System; and
 - v. action taken by the North Sound BH-ASO to reduce incidents.
 - c. The following elements shall be included in the analysis: The number and types of Critical Incidents and comparison of changes over time; analysis of Critical Incidents that repeat; trends found in the population (i.e. regional differences, demographic groups, vulnerable populations); analysis of the effectiveness of the Critical Incident Management System; and action taken by the Contractor to reduce incidents.
5. The report is due no later than the last business day of January and July for the prior six- (6) month period.
 6. The North Sound BH-ASO shall also include a data file of all Critical Incidents from which the analysis is made using a template provided by HCA.

ATTACHMENTS

None