

### Critical Incident Definitions & Investigative Requirements

Category	Incident Type	Definition	Investigative Requirements
<b>I</b>	<b>Death</b>	<p>A reportable death is the death of a consumer of a state hospital or community residential program. Additionally, the suicide of a consumer receiving any type of services is a reportable death.</p> <p>Includes the death of any consumer:</p> <ul style="list-style-type: none"> <li>• In a staffed home or receiving 24/7 personal support</li> <li>• On the census of a state hospital or state operated community program</li> <li>• Enrolled in consumer-directed services</li> <li>• Occurring on site of a community provider or state hospital</li> <li>• In the company of staff of a community provider or state hospital</li> <li>• Absent without leave from inpatient or residential services</li> <li>• Occurring within two (2) weeks following the consumer's discharge from a state hospital or community residential provider</li> <li>• Transferred or discharged to a medical facility for treatment of any illness or injury that occurred during hospital or community provider custody, regardless of the time that has elapsed since the transfer or discharge</li> </ul>	<p>If the Incident Management &amp; Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>
<b>All</b>	<b>High Visibility</b>	<p>Critical Incidents which have system wide impact, have relevance to ongoing litigation of DHR and or are likely to be reported in the media are considered to be high visibility incidents.</p>	<p>If the Incident Management &amp; Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>
<b>I</b>	<b>(Allegation of) Physical abuse</b>	<p>The willful infliction of physical pain, physical injury, unreasonable confinement, or the use of excessive force. For purposes of this policy, "willful" means other than accidental. Does not include sexual assault or exploitation. Does not include approved physical interventions when appropriately utilized.</p>	<p>If the Incident Management &amp; Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>

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I	<b>(Allegation of Neglect)</b>	The failure of an employee or an organization to provide goods, services and supervision necessary to avoid physical harm, mental anguish or creates a significant risk of injury or death to a consumer	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	<b>(Allegation of Staff to consumer sexual assault or sexual exploitation)</b>	Any sexual contact between an employee and a consumer. Includes the solicitation of a consumer by an employee for sexual purposes.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	<b>(Allegation of Consumer to consumer sexual assault or sexual exploitation)</b>	Forced sexual activity between consumers.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	<b>Medication errors with adverse consequences</b>	Medication error includes omission and wrong dose, time, person, medication, route, position, technique/method and form. Adverse consequences are those that cause the consumer discomfort or jeopardizes his/her health and safety. Does not include refusal of medication by consumer.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	<b>Seclusion or restraint resulting in injury requiring treatment beyond first aid</b>	<p>Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical procedures.</p> <p>Injury includes any physical harm or damage that requires treatment beyond first aid or more serious treatment. The injury received is severe enough to require the treatment of a</p>	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.

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		consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician’s assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor’s private office through treatment at the emergency room of a general acute care hospital.	
<b>I</b>	<b>Suicide attempt that results in medical hospitalization</b>	The consumer receiving any type of services (including outpatient services) is hospitalized for medical reasons related to injuries from a suicide attempt.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
<b>II</b>	<b>(Allegation of) Verbal Abuse</b>	The use of words or gestures by an employee to threaten, coerce, intimidate, harass or humiliate a consumer.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>(Allegation of) Financial Exploitation</b>	The illegal or improper use of an individual’s labor, property or resources through undue influence, coercion, harassment, duress, deception, false representation, false pretense, or other similar means for another’s profit or advantage. The failure to account for the consumer’s funds by a payee.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Consumer who leaves the grounds of a state hospital without permission</b>	Reportable events include: <ul style="list-style-type: none"> <li>• Consumer is absent from a designated location and cannot be found w/in the hospital campus</li> <li>• Consumer who is off campus but under direct observation of hospital staff (e.g., appointment, recreational activity, being transported) is absent from the designated location.</li> </ul> <p>Not included are events where consumer is not under supervision of hospital staff and fails to return to designated location at designated time (i.e., failure to return from</p>	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.

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		authorized leave).	
<b>II</b>	<b>Consumer who is unexpectedly absent from community residential Program or day program</b>	Consumer has left the residence or the day program without knowledge of staff and whose location is not known. Would include all absences where law enforcement is notified.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Seclusion or restraint resulting in injury requiring minor first aid</b>	Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical procedures. Injury includes any physical harm or damage that requires minor first aid. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Vehicular accident with injury while consumer is in a state vehicle or is being transported by community or hospital staff</b>	The injury required treatment beyond minor first aid. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Incident occurring at a provider's site which required intervention of law enforcement services</b>	Includes 911 calls from staff for assistance, as well as reports to law enforcement of theft of consumer property by employees or non-employees while at the provider site or accompanied by staff.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Criminal conduct by consumer</b>	Conduct while on the site of the provider or when accompanied by staff. Would also include criminal conduct of a consumer who leaves the grounds of a state hospital without permission	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or

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		and/or a consumer who is unexpectedly absent from a community residential program or day program. At a state hospital, criminal conduct is reported only if the administrator has determined that a criminal report will be filed with local law enforcement.	electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Consumer to consumer assault resulting in injury requiring treatment beyond first aid</b>	Assaults occurring at the provider site or while in the company of provider staff.  The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
<b>II</b>	<b>Consumer to consumer assault with injury requiring minor first aid</b>	Assaults occurring at the provider site or while in the company of provider staff. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	Consumer to consumer assaults requiring minor first aid will be tracked through a statistical summary, submitted twice yearly to include an analysis of trends, identification of opportunities for improvement and description of changes in agency practice that are designed to reduce the numbers of consumer injuries.
<b>II</b>	<b>Medical hospitalization of a consumer of a state hospital or community residential program</b>	Any emergency admission to a medical facility, either directly or through the facility's emergency room. Would not include planned admissions, such as for elective surgery.	Medical Hospitalization Follow Up Report (Attachment C) will be submitted to the Incident Management & Investigations Section by mail or electronically within thirty days of discovery of the incident.
<b>II</b>	<b>Consumer injury requiring treatment beyond first aid</b>	Includes accidents; does not include illness. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment	Consumer Injury Requiring Treatment Beyond First Aid Follow Up Report (Attachment D) will be submitted to the Incident Management & Investigations Section by mail or electronically

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		required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.	within thirty days of discovery of the incident.
<b>II</b>	<b>Staff injury caused by a consumer and requiring treatment (State operated programs only)</b>	Injury that occurs while providing services to a consumer. Treatment to staff included minor first aid.	<b>State Hospitals only:</b> report upon request by the Incident Management & Investigations Section.