



MISSOURI DEPARTMENT OF MENTAL HEALTH

MARK STRINGER, DEPARTMENT DIRECTOR



DEPARTMENT
OPERATING
REGULATION
NUMBER

DOR
4.270

CHAPTER Implementation and Records	SUBCHAPTER Record Keeping	EFFECTIVE DATE 6/22/18	NUMBER OF PAGES 3	PAGE NUMBER 1 of 3
SUBJECT Reporting and Recording Incidents		AUTHORITY 630.050	HISTORY See Below	
PERSON RESPONSIBLE Director of Administrative Services			Sunset Date 7/1/21	

PURPOSE: Prescribes procedures for reporting and recording critical incidents and other incidents.

APPLICATION: Applies to all Department of Mental Health (department) employees responsible for completing, processing or reviewing incident reports, or taking action regarding an incident report. This DOR does not dictate what contract providers are required to report.

(1) As used in this DOR, the following terms mean:

(A) Critical incident: Significant incident involving department services, facilities or consumers that are to be reported to key department administration locally and in central office. The following incidents shall be classified as critical incidents:

1. Death of a consumer suspected to be other than natural causes;
2. Serious injury to a consumer;
3. Death or serious injury to a visitor at department state operated facilities;

4. Death or serious injury to a department employee or volunteer while on duty;

5. Serious incident of abuse/neglect, including abuse/neglect involving death, serious injury and sexual abuse;

6. Suicide attempt resulting in an injury requiring medical intervention (greater than minor first aid);

7. Elopement with law enforcement contacted or involved;

8. Criminal activity reported to law enforcement involving consumer as perpetrator or victim when the activity occurs at a facility. If not at a facility, then the criminal activity is serious (felony, etc.);

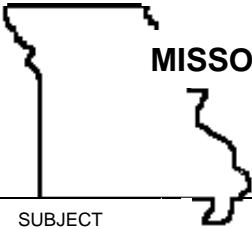
9. Fire, theft, or natural disaster resulting in extensive property damage, loss or disruption of service in department state operated facilities; and

10. Any significant incident the facility head district administrator, district deputy, chief executive officer or designee decides needs to be reported.

(B) Facility head: Chief Operating Officer, Regional Director or Superintendent.

(C) Incident: An event that was unusual or led to an undesirable outcome. This includes but is not limited to injury, death, suspicion or allegation of abuse/neglect/misuse funds-property, restraint, seclusion, etc.

(D) Event Tracking and Management (EMT): an electronic application operated by the department to collect and analyze data related to events that have actual or potential adverse outcomes for consumers and staff.



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(E) Regional Administrator: District Administrator or Regional Executive Officer.

(F) Risk Management Section: Division of General Services, Office of Administration, P.O. Box 809, Jefferson City, Missouri, 65102. Telephone (573) 751-4044.

(G) Serious injury: An injury that results in the hospital admission of the injured person.

(2) The facility head or designee shall immediately notify the regional administrator or designee of all critical incidents. The regional administrator or designee shall immediately notify the appropriate division director or designee by telephone and/or electronic mail as soon as possible following receipt of any incident report (verbal or written) that meets the criteria to be classified as a critical incident. In the event the regional administrator or designee is not available to make immediate notification to the division director or designee, the facility head, or designee shall notify the division director or designee in the above stated manner.

(3) All department state operated facilities shall have policies requiring the initiation and completion of reports of incidents.

(A) The facility policy shall identify employees responsible for completing incident reports. Facilities shall train the employees on how to complete the reports.

(B) Employees shall complete a report of incident by utilizing an approved DMH report form for incidents or by directly entering the report into EMT immediately after witnessing or discovering incidents. If incidents result in injuries, the employees shall report the injury to the appropriate qualified medical personnel.

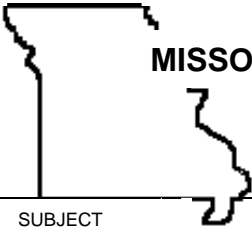
(C) The facility policy shall establish procedures that enable timely notification of critical incidents to supervisors and facility heads.

(D) If a paper report is being filed, the facility head shall designate the consumer records custodian or another facility employee to file separately (not in consumer files) the designated report. These reports are confidential and only quality enhancement and other facility committees as well as department, division and facility administrators and investigators may have access to them. These reports are maintained as confidential records and shall only be distributed by designated employees and as authorized by law.

(E) The facility policy shall require all deaths to be reported to the appropriate medical examiner.

(F) The facility policy shall require a review of all consumer deaths when the consumer was either active in services at the time of death or had been discharged less than sixteen (16) days prior to death.

(4) All reports of incidents must be entered into the EMT application by the end of the third working day following the date the incident occurred, was discovered, or



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notification of the incident was received. Complaints of abuse, neglect, or misuse of funds/property shall be reported and investigated as set out in DOR 2.205 and 2.210. All critical incident reports and complaints of abuse, neglect, or misuse of funds/property shall be entered into the EMT application within twenty-four (24) hours or by the end of the next working day after the incident occurred, was discovered, or the notification was received.

(5) If a department employee or volunteer is injured while on duty, the facility head or designee shall have the appropriate workers compensation form completed and sent to the Central Accident Reporting Office in the Risk Management Section of the Office of Administration.

(6) If injury or death results from any incident of a department employee on duty or consumer of a department state operated facility, appropriate medical personnel shall complete an approved DMH report of death or injury report form. The facility head shall identify in facilities policies the appropriate employee to notify a consumer's parent, guardian or next of kin of death or serious physical injury as set out in Section 630.145, RSMo.

(7) If the incident report concerns an automobile accident, facility staff shall refer to DOR 1.550 for reporting requirements.

(8) If an incident results in injury to a department employee or consumer caused by the condition of state property, the facility head or designee shall immediately report the incident by telephone to the Risk Management Section and then send them a completed DMH Form 8227, Liability Accident Notice.

(9) If loss by fire occurs at a department state operated facility, the facility head or designee shall send a copy of the fire department's report as well as internal reports to the department capital improvements coordinator for forwarding to the Risk Management Section.

References:

1. DOR 1.550, 2.205, 2.210.
2. Section 630.145, RSMo.

HISTORY: Replaces DOR 270. Original DOR effective July 1, 1983. Amendment effective July 1, 2002. Amendment effective July 1, 2003. Amendment effective July 1, 2006. Amendment effective July 1, 2009. Amendment effective June 6, 2012. On June 23, 2015, the sunset date was extended to July 1, 2018. On June 22, 2018, the sunset date was extended to July 1, 2021.