

## Incident Reporting Tips

(Agency Investigation Report “AIR”)

**As part of a quality agency investigation, please determine and report: If a similar event occurred in the past, what were the previous action plans and were these actions effective.**

**Abuse and Neglect: Please include the following points in your narrative, as applicable, in the appropriate sections:**

- ⊙ Was the victim taken to the ER and/or was the victim seen by a clinician/physician? If so, when?
- ⊙ Did the accused staff work with other people at your agency? If yes, have they been interviewed?
- ⊙ When was the accused staff person hired?
- ⊙ Was the criminal background check clear on hire?
- ⊙ Did the accused staff have all required training?
- ⊙ What were the staff evaluations like? Any performance issues?
- ⊙ Was there oversight of his work by your agency based upon your policies & procedures?
- ⊙ Were there any other reported events involving this staff?
- ⊙ If staff is a CMT, was the MBON notified for **substantiated** abuse<sup>1</sup>?
- ⊙ Describe all supports that were/will be provided to the victim to assist him/her in coping with any physical or psychological trauma.

**Choking<sup>2</sup>: Please include the following points in your narrative, as applicable, in the appropriate sections:**

- ⊙ Document the prescribed diet, e.g.: puree, ground, chopped, bite size, regular.
- ⊙ Review the staff ratio as well as the training and performance of staff on duty.
- ⊙ Was the person supported during the meal/incident according to needs identified in the IP/nursing plan of care? Was the prescribed diet noted in Section X followed?
- ⊙ Did the staff on duty have all required training?
- ⊙ Have staff evaluations been completed? Were performance issues identified & addressed?
- ⊙ Was there oversight of the staff member’s work by your agency based upon your Policies and Procedures?
- ⊙ Were there any other similar events involving this staff?

**Hospital Admission: Please include the following points in your narrative, as applicable, in the appropriate sections:**

- ⊙ The name of the hospital
- ⊙ What was the hospital discharge diagnosis?

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<sup>1</sup> Please see COMAR 10.39.07.02 Ethical Responsibilities.

<sup>2</sup> Please refer to the 08/31/2005 Educational Alert re: Choking at [http://dhmh.maryland.gov/ohcq/DD/docs/alerts\\_transmittals/dd08312005.pdf](http://dhmh.maryland.gov/ohcq/DD/docs/alerts_transmittals/dd08312005.pdf) and the updated 2012 Educational Alert at <http://dda.dhmh.maryland.gov/SitePages/Developments/Jan2012/Memo-January-30-2012.pdf>

- ⊙ Please note the preventative steps that were offered/taken related to the diagnosis, if any. (i.e.: If a person is admitted to the hospital with pneumonia, did he receive the Pneumococcal vaccination?)

**Injury: Please indicate if the person was supervised during the incident according to needs identified in the IP and nursing plan of care.**

**Medication Error: Please include the following points in your narrative, as applicable, in the appropriate sections:**

- ⊙ Did the staff on duty have all required training?
- ⊙ Have staff evaluations been completed? Were performance issues identified & addressed?
- ⊙ Was there oversight of the staff member's work by the delegating nurse as required by 10.27.11.05<sup>3</sup>?
- ⊙ Were there any other similar events involving this staff?
- ⊙ If indicated, were reports made to the Maryland Board of Nursing?
- ⊙ *In cases of pharmacy error*, was the pharmacy board notified? ([mdbop@dhmh.state.md.us](mailto:mdbop@dhmh.state.md.us))

**Restraints That Result in Any Type of Injury: Please include the following points in your narrative, as applicable, in the appropriate sections:**

- ⊙ Include the date the team meeting was held.
- ⊙ Document the recommendations made at the team meeting.
- ⊙ At the time of the incident, had the staff that used the restraint completed BPS training?
- ⊙ Following the incident, did the staff who used the restraint receive additional training?
- ⊙ Have staff evaluations been completed? Were performance issues identified & addressed?
- ⊙ Was there oversight of the staff member's work by your agency based upon your Policies and Procedures?
- ⊙ Were there any other similar events involving this staff?

**Theft of Individual's Property \$50+: Please include the following points in your narrative, as applicable, in the appropriate sections:**

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<sup>3</sup> COMAR 10.27.11.05:B. The nurse may delegate treatments of a routine nature if:

(4) There is a quality assurance mechanism in place to assure the function is performed safely and client outcomes meet accepted professional nursing standards including, but not limited to:

(a) An ongoing formalized documented performance appraisal mechanism designed to assure that unlicensed individual or certified nursing assistant's revalidation of continued competency is a component of the quality assurance mechanism; and

(b) Client outcomes meeting accepted professional standards, as reflected by:

(i) Infection rates; (ii) Rates of adverse events; (iii) Error rates; and (iv) Patient satisfaction surveys.

- ⊙ What were the results of the police investigation?

*If agency staff was accused of theft, please address the following:*

- ⊙ When was the accused staff person hired?
  - ⊙ Was the criminal background check clear on hire?
  - ⊙ Have staff evaluations been completed? Were performance issues identified & addressed?
  - ⊙ Was there oversight of the staff member's work by your agency based upon your Policies and Procedures?
  - ⊙ Were there any other reported events involving this staff?
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- ⊙ Was the property/money returned to the person from whom it was stolen?
  - ⊙ If staff is a CMT, was the MBON notified about for **substantiated** theft<sup>4</sup>?

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<sup>4</sup> Please see COMAR 10.39.07.02 Ethical Responsibilities.