Optum

Critical Incident Awareness and Adverse Event Reporting Training

**2024 Compliance Training
Quality Improvement**

Training Objectives

Upon completing this course, teammates will be able to:

Identify patients who are impacted

Recognize reportable Critical Incidents, Adverse Events and Near Miss/Good Catch Events

Identify individuals who are required to report a Critical Incident and Adverse Events

Take action to report a Critical Incident, Adverse Events and Near Miss/Good Catch Events

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Introduction: Critical Incident

✓ Critical Incident reporting applies to all Optum patients and is tracked in RL Datix.

✓ A Critical Incident is any actual or alleged event or situation that creates a significant risk of substantial or serious harm to the physical or mental health, safety or well-being of a patient and/or his or her caregiver

✓ Patients may be vulnerable to abuse or neglect for a variety of reasons including their medical or mental health conditions, disabilities, advanced age or frailty, social isolation, and poverty.

✓ D-SNP Programs may require submission of Critical Incident reporting to the health plan.

Listen for Critical Incidents

✓ Licensed professional such as physicians, nurses, social workers, and pharmacists, are not the only mandatory reporters for abuse and neglect.

✓ Any Optum teammate who becomes aware of a critical incident through interacting with patient or family member must report the incident.

✓ Be vigilant in listening and watching for evidence of critical events, and reporting them appropriately to the authorities.

Reportable Events

Teammates are required to watch for and report incidents of abuse or neglect in our patient population, collectively called "critical incidents." These include:

- ❑ **Abuse**
- ❑ **Neglect**
- ❑ **Exploitation**
- ❑ **Serious life-threatening medical event**
- ❑ **Disappearance/ Missing Member**
- ❑ **Suicide Attempt**
- ❑ **Unexpected Death**
- ❑ **Inappropriate restraints or Seclusion**
- ❑ **Other**

Critical Incident Definitions 1 of 2

Abuse – includes punishment as in striking a patient or willful use of offensive or demeaning language by a caretaker. (CI001)

Neglect – failure by any caretaker to provide adequate nutrition, clothing, healthcare, or a safe environment for patient. (CI002)

Exploitation – an act committed by a caretaker, relative, or other individual, and includes taking or misuse of property or resources such as money. (CI003)

Serious Life-Threatening Medical Event – an event that requires immediate emergency evaluation by a medical professional. This can be a visit to the emergency room that results in medical care that was not anticipated and would not be routinely provided by a Primary Care Provider. (CI004)

Disappearance of a Patient (Missing Person) – includes anytime there is police contact regarding a missing person regardless of the amount of time the person was missing. (CI005)

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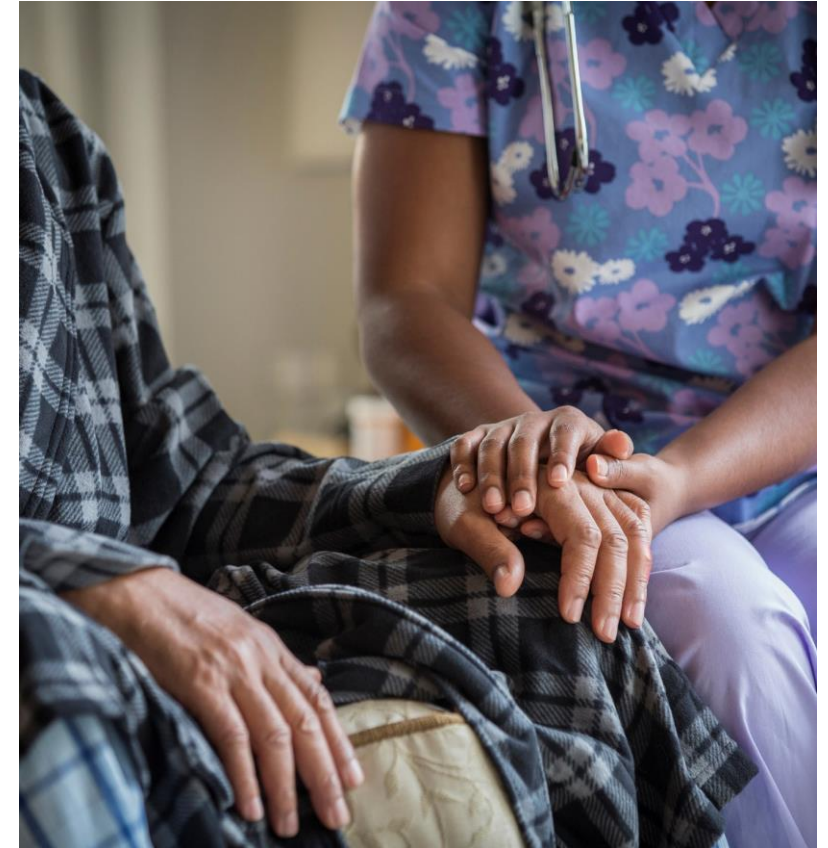
Critical Incident Definitions 2 of 2

Suicide Attempt – an intentional <u>act</u> to takes one's life. This does not include verbal threats. (CI006)

Unexpected Death – death of individual is reported, regardless of the cause or setting in which it occurred. (CI007)

Restraints or Seclusion – every time an individual is restrained, it may be: (CI008)

- **Personal**: the application of pressure, except physical guidance or promoting of brief duration that restricts the free movement of part or all of an individual's body.

- **Mechanical**: the use of a device that restricts the free movement of part or all of an individual's body. Such devices include: an anklet, a wristlet, a camisole, a helmet with fasteners, a muff with fasteners, a mitt with fasteners, a posey, a waist strap, a head strap, and restraining sheet. Such a device does not include one used to provide support for functional body position or proper balance, such as a wheelchair belt or one used for medical treatment, such as a helmet used to prevent injury during a seizure). It also means to cause a device that allows for free movement to be unusable. Such as locking a wheelchair or not allowing an individual access to technology.

- **Chemical**: the use of a chemical, including a pharmaceutical, through topical application, oral administration, injection, or other means to control an individual's activity and which is not a standard treatment for the individual's medical or psychiatric condition.

- **Seclusion**: involuntary confinement in a room that the member is physically prevented from leaving.

- **Isolation:** forced separation or failure to include the member in the social surroundings of the setting or community.

Other– Epidemic outbreaks, poisonings, fires, major accidents, death from unnatural causes or other catastrophes and unusual occurrences which threaten the welfare, safety or health of patients, and any instances of suspected or alleged mistreatment. (CI009)

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How to report Critical Incidents, Adverse Events and Good Catch

Proper authorities → Immediate Supervisor → RL Datix (event reporting)

- ❑ After reporting the incident to the proper authorities following your standard operating protocol, employees must also immediately report the incident to their direct supervisor.

- ❑ Document the incident in **RL Datix**, Optum's risk management reporting system.
  - • Use the 'Find a Form' search to narrow down event type results by key words

- ❑ The Clinical Risk Management team triages all RL Datix events to identify 'critical incidents' for reporting as required by specific health plans.

- ❑ Trends and opportunities in safety events are reported to Optum oversight Committees as appropriate.

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When to Call CRM

Significant Events

- Significant adverse events
- Unexpected death
- Unexpected outcome

Board Inquires/Legal notices

- Any Licensing board inquiry- time sensitive
- Notice of intent
- Summons and complaint (lawsuit)

Please do not respond directly

Patient Issues

- Behavioral issues
- Patient dismissals

Threats of litigation

- Any threat of litigation from patient or their family / representative
- Telephone calls from attorneys to discuss patient care

Complex patient issues

- Other issues/inquiries you are not sure how to handle or need advice

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What should be reported?

Events and Close Calls

Event

An untoward, undesirable, and usually **unanticipated event**, such as serious injury or death of a patient, visitor, or employee, or an unsafe condition within the healthcare organization. A patient safety event that resulted in harm to a patient.

- Also report incidents that could have resulted in harm.
- Identifying something as an event does not imply error, negligence, or poor quality care.

Good Catch/Close Call/ Near Miss

An event or situation that could have resulted in an accident, injury or illness, but did not, either by chance or through timely intervention.

- Unsafe situation that is indistinguishable from a prevented event except for the outcome.
- An error was committed but no harm or injury, either through early detection or sheer luck.

What do we want to hear about?

A non-exhaustive list…

- Falls/injuries
- Medication errors
- Temperature excursions
- Threat of injury/disruptive behavior
- Delayed diagnoses
- Misdiagnosis
- Exposure to airborne transmissible diseases
- Medical emergency/ 911 call

- Blood born pathogen exposure
- Near miss
- Equipment issue
- Established procedure/policy not followed
- Documentation error
- Unexpected death
- Sterilization issue
- AMA
- Other…

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Resources

❑ CA Adult Protective Services (APS) resources: https://www.cdss.ca.gov/inforesources/adult-protective-services

❑ Department of Social Services, Report Suspected Dependent Adult/Elder Abuse Form https://cdss.ca.gov/portals/9/fmuforms/q-t/soc341.pdf

❑ Policy QM-OPTUM-CA-007 Critical Incident Reporting (applies to D-SNP)

❑ RL Datix training on Ignite: https://helloignite.io/event/ocEventReporting/static/Overview

Complete training based on your role within the organization.

- **Frontline Data Entry Training**: All team members. Complete training under frontline user training tab. Upon completion of your training, you will be prompted to sign an attestation form. Those will be routed to your manager to ensure completion of training.
- **File Manager Training:** Site Admins, CTS team members, and Medical Directors

Thank you for completing the 2024 Critical Incident Awareness and Adverse Event Reporting Training.

For Questions: OptumCAQIMO@optum.mhealth.com

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