

## OHIO'S INCIDENT REPORTING AND TRACKING SYSTEM

### ABSTRACT

*The Ohio Department of Mental Retardation and Developmental Disabilities (ODMRDD) developed and implemented an internet-based centralized reporting system to report and track major and unusual incidents in its state MR/DD system. The system is used by county boards to report major and unusual incidents (MUIs) to the state, by the state to follow up on investigations and remediation related to MUIs, as well as for analysis of patterns and trends related to MUIs.*

### PRODUCT HIGHLIGHTS

- Internet-based centralized reporting system used by County Boards to report and track major and unusual incidents (MUIs)
  - Internet architecture provides common data entry and access to ODMRDD and County Boards
  - Automated tool accommodates entry and tracking of
    - Initial incident reports by County Board
    - State requests for additional information
    - Follow-up information
    - Prevention plan prepared and implemented by provider
    - Case closure
  - ODMRDD has immediate access to MUI data as soon as it is posted by a county
  - Replaces system of faxed reports, which were difficult to track and follow up
  - Reports generated by MUI data base permit
    - Tracking of individual incidents
    - Analysis of aggregate trends and patterns
  - Development of Incident Reporting and Tracking System
  - Consultant under contract with ODMRDD developed initial system
  - ODMRDD staff designed modifications and enhancements following initial implementation in selected pilot counties
- Statewide implementations began April 1, 2001
  - State rule governing MUI reporting finalized November 2001
    - As of March 2002, 87 of 88 counties are tracking and reporting MUIs online
    - Protocol for county investigations
    - Form for providers to report incidents
    - Significant increase in the reporting of MUIs:
      - ⊙ More reliable reporting and tracking (electronic rather than fax)
      - ⊙ More specificity about incident reporting in state rules
      - ⊙ More clarity about state expectations—any event that could possibly be an MUI should be reported
    - State Oversight
    - County Board accreditation; module on MUIs
    - Quarterly visits of state regional MUI managers to county incident units:
      - ⊙ Review policies and procedures; reporting issues
      - ⊙ Provide informal training on approaches to investigations and resolutions
      - ⊙ Annual assessment of county MUI performance using standardized state protocol
      - ⊙ State certification of MUI investigators: requirements for education, experience, continuing education



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■ Use of Data

- Analysis of incident trends and patterns: counties must prepare report and assure the state that providers have analyzed patterns in their MUIs
- Alerts about program practices issued by state to County Boards, providers, and advocates based on trend analysis
- Special report conducted of providers with history of high number of MUIs; provider correction plans required
- State uses reports to determine additional technical assistance/training needs
- Weekly reports prepared for ODMRDD director

■ Reports

- 18 are generated from the MUI data base covering:
  - ⊙ Status of individual investigations using several search criteria: permits county and state MUI staff to flag items requiring follow-up
  - ⊙ Aggregate reports on incidents by type, provider, and filing time period
- Committee of state and county users meets every six months to review types of reports currently generated and recommend changes

■ Lessons Learned

- Technical capability of localities required
  - ⊙ Substantial state commitment to training
  - ⊙ On-going rapid response technical support
  - ⊙ Provision of computers to counties without them
  - ⊙ Internet connections, preferably, high speed ones
  - ⊙ Provider and client data base must be kept up to date: system relies on link to enrollment data

→ Software development

- ⊙ Include persons directly involved with implementation in development
- ⊙ Keep in control of basic system; provide direction to consultants
- ⊙ Find staff who know both technical requirements and programs' issues
- ⊙ Focus on system compatibility and speed; not on screen appearance
- ⊙ Increase in MUIs reported after implementing new system
- ⊙ Will result from increased priority on reporting and more accurate and timely reporting methods
- ⊙ Be prepared to communicate implications to stakeholders, media, and general public

## PROGRAM CONTEXT

### Program:

*Home and Community Based Services and ICF/MRs.* Administered by Ohio Department of Mental Retardation and Developmental Disabilities (ODMRDD) and the Ohio Department of Job and Family Services under a Medicaid 1915 (c) waiver and with county funded services.

### Services Covered:

Traditional HCBS waiver services and ICF/MRs

### Persons Enrolled:

63,000 persons statewide



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## ADDITIONAL PROGRAM INFORMATION

- The Ohio Department of Mental Retardation and Developmental Disabilities operates two 1915 (c) waivers with a capacity to serve 10,600 persons statewide.
  - Residential Facilities Waiver serves people living in licensed community facilities with 1 to 55 residents
  - Individual Options Waiver covering services for persons receiving supportive living services
- Interagency agreement with the Department of Job and Family Services (the single state Medicaid agency).
- ODMRDD is responsible for managing the Home and Community services for persons with developmental disabilities. County Boards fulfill local administrative functions (e.g., provide case management, arrange individual services, contract with providers, manage major and unusual incident investigations directly or by contract).
- County Boards also manage county-funded home and community based services (e.g. early childhood intervention, vocational services, respite).
- Ohio Department of Mental Retardation and Developmental Disabilities directly operates 12 Developmental Centers (licensed ICF/MRs) serving 1,932 persons.
- Private ICF/MRs serve 5,900 persons.
- In the past several years, the state has significantly expanded the number of persons served by its 1915 (c) waivers—particularly the Individual Options Waiver.
- The Ohio Department of Mental Retardation and Developmental Disabilities is currently redesigning their waiver programs to increase the number of persons served and to distinguish enrollment within specific waivers based on level of consumer need rather than living setting.

## QUALITY MANAGEMENT SYSTEM

The Incident Reporting and Tracking System described in this report is the most recent addition to Ohio's quality management system for programs serving persons with developmental disabilities. Complementing the incident tracking system is a broad range of strategies designed to achieve quality through the operations of the County Boards, residential facilities and community service providers. In addition, program participants are the focus of annual quality assurance surveys that assess how services have been provided to individuals.

County Boards, responsible for administering community services programs for persons with developmental disabilities, must be accredited by the Ohio Department of Mental Retardation and Developmental Disabilities (ODMRDD). The state's assessment focuses on four domains: service planning and delivery, health/safety/welfare, rights, and administration. Depending on the County Board's compliance with federal and state rules, and its policies and procedures to implement state rules, the accreditation period ranges from one to five years.

Approximately 400 ICF/MRs and almost 900 community based licensed facilities serving individuals enrolled in the Individual Options or Residential Facility Waiver are surveyed annually by ODMRDD. In addition, ODMRDD certifies individuals and agencies that provide waiver and/or supportive living services, including case management.

The ODMRDD Quality Assurance Unit conducts annual quality assurance surveys of a random sample of waiver program participants. A 32 page survey tool has been developed for interviewing the program participant, family members, providers, and the case manager. In addition, the QA unit reviews the participant's service plan, services actually provided, any major and unusual incidents, participant outcomes and the policies of the participant's providers. Results of the QA surveys are used to report on statewide trends and patterns.



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A state-level Mortality Review Committee, chaired by ODMRDD's Medical Director, reviews all deaths in the past quarter. Committee members include representatives of key stakeholders such as providers, parents, advocates, County Boards, and the protection and advocacy agency. This broad based membership is enlisted to identify patterns and trends in program deaths, leading to alerts issued to counties and providers on topics such as situations requiring autopsies and procedures for do-not-resuscitate orders.

Finally, the state has established an on-line abuse registry that lists workers who have substantiated charges of abuse or theft against them. Providers are prohibited from hiring any person on the abuse registry and must document that they reviewed the registry prior to hiring staff.

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