

The logo consists of a red square with the letters 'TN' in white. Below the square is a horizontal line with a blue segment on the left and a red segment on the right.

TN

Department of
Children's Services

The image shows the Tennessee state flag waving against a blue sky. The flag is red with a blue circle in the center containing three white stars.

Incident Reporting Review Manual

Office of Performance and Quality Improvement

Tennessee Department of Children's Services | IR Manual | May 2022



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Purpose and Goal of Incident Reporting Reviews

Purpose

Any event affecting a child or a program's operation that is potentially of serious consequence is considered an incident. Review of Incident Reports helps provide the Department and its partners a better understanding of the care and services a child receives in foster homes and group care.

Goal

The goal of the IR review process is to provide ongoing and reliable assessment of the occurrence of incidents involving youth in the custody of the Department of Children's Services. Regular reviews allow the Department to monitor and track when and how incidents happen and are documented and make recommendations to improve practice.

Policy, Definitions, Protocols, and Trainings

The Department of Children's Services Policy [1.4, Incident Reporting](#), and the terms and definitions supplement to that policy, ensure that there are standardized procedures and protocols for identifying and reporting incidents. These can be found on the Tennessee Department of Children's Services website under Policies (<https://www.tn.gov/dcs/program-areas/qi/policies-reports-manuals/policiesprocedures.html>).

Incident reporting and incident responder trainings can be accessed by all employees through Edison, its online enterprise resource planning system, and provider incident reporting training that can be accessed through the provider training website:

<https://files.dcs.tn.gov/intranet/cccw/KB/IncidentReporting/IncidentReporting.pdf>.

Introduction

The Department of Children's Services (DCS) implemented monthly Severity Level (SL) 1 Restrictive Behavior Incident Report (IR) Reviews in 2015 for custodial youth adjudicated non-delinquent in order to assess whether restrictive behavior techniques were occurring within set standards, were appropriately documented, and ensuring the least restrictive behavior technique was being properly utilized. DCS policy states that physical restraint and seclusion will not be used as a means of punishment, discipline, coercion, convenience or retaliation nor used as a supplement for a lack of staff presence or competency. As a result, reviews evaluated whether there was clear documentation for the behavior that triggered the event, whether de-escalation attempts occurred, whether involved staff were identified, and whether the length of time of the incident was documented. This review evaluated whether the documentation was in accordance with DCS Policy and federal standards.

Any concerns that arise during the reviews are brought to the attention of the applicable Executive Directors (i.e., Child Mental Health & Education, Child Health, Office of Performance Quality and Improvement, Network Development, etc.).

COA Requirements

The Council on Accreditation (COA) addresses incident reporting and reviews in the following standards: PA-RPM 2.02, 2.03, and 2.04; PA-BSM 1.02, 1.03, and 1.04, PA-BSM 5; and PA-PQI 5.01, 5.02, 5.03, and 5.04; PA-PRG 3.01, 3.04, 3.05, 3.06, 3.07; PA-BSM 1.05; PA-BSM 2.02; PA-BSM 4; PA-CFS 24.01-24.05, PA-CFS 25.

ACA Requirements

The American Correctional Association (ACA) addresses incident reporting and reviews in the following standards: 4-JCF-2A-15, 4-JCF-2A-17, 4-JCF-2A-18, 4-JCF-2A-19, 4-JCF-2A-27, 4-JCF-2A-29, 4-JCF-2A-30, 4-JCF-3C-02, 4-JCF-3C-03, 4-JCF-3C-04, 4-JCF-3C-17, 4-JCF-4C-46, and 4-JCF-4C-47.

Qualitative Review

The Reviewer receives the Monthly Qualitative IR sample. All cases in the sample must be reviewed, completed, and submitted into Formstack.

The Sampling Process

IR samples include all custodial adjudications. All IRs must be in a “closed” and/or “submitted” status. The Provider Quality Team (PQT) monitors IRs monthly via a Tier Level.

Tier Level 1 involves all providers on a Provider Performance Improvement Plan (PPIP). This Tier involves a 10% sample, and all IR types are subject to review.

Tier Level 2 involves providers with a verified referral or concern made by one of the following: DCS Customer Relations, court, PQT/Regional staff, Network Development, Program Monitoring & Evaluation (PME), Licensing, or other official entity. This Tier involves a 5% sample, and all IR types are subject to review.

Tier Level 3 may involve, but is not limited to, providers with two or more of the following conditions: closed SIU investigation with substantiation and/or safety concerns; IR quantitative

concerns; and/or a previous finalized PPIP. This Tier involves a 5% sample, and all IR types are subject to review.

Tier Level 4 involves all other providers that do not fall within the above Tier categories and is for all general monitoring. This Tier involves a 5% grouped sample of all severity level 1 restrictive behavior IRs. Regardless of Tier level, each sample is identified through random number assignment.

The Review Process

The Reviewer receives the sample and answers a set of questions upon reviewing each IR in Formstack.

These questions may consist of the following, but are not limited to:

- Does it meet the definition of the IR type?
- Are other IR types a part of the review?
- Is a severity level 2 IR included in the review?
- Is the IR entered correctly?
- Are staff involved identified?
- Is the length of time documented (Restrictive Behavior IR types)?
- Is the behavior for the trigger documented (Restrictive Behavior IR types)?
- Are the de-escalation techniques documented (Restrictive Behavior IR types)?
- Any Concerns?

Quantitative Quarterly Data Reviews

Quantitative IR data is compiled on a monthly basis. A report is generated and shared with PQT and Regional Continuous Quality Improvement (CQI) circles.

A Central Office (CO) Incident Report (IR) CQ Circle meets as needed to discuss data, trends, and opportunities that are identified from these data sources. The CO IR CQI Circle serves as a guide to other groups (e.g. PQT, Regional CQI Circles, etc.) that need assistance in understanding or discussing the data, and also serve as a resource for IR concerns that need further review.

Additional IR Reports/Reviews

There are additional reports that are located in OBIEE and SharePoint for IR data. This data is utilized for trending, tracking, and quality work. The reports include:

- Incident Details Monthly Report/Timeliness of Entry Summary
- Incident Report Timeliness Responder