



## POLICIES & PROCEDURES

### SECTION 5, CHAPTER 9, POLICY 014

#### UNUSUAL OCCURENCES AND EVENTS REPORTING

<b>POLICY NUMBER:</b>	5-9-014
<b>SYSTEM OF CARE:</b>	BEHAVIORAL HEALTH
<b>FINALIZED DATE:</b>	8.21.2024
<b>EFFECTIVE:</b>	9.01.2024
<b>SUPERSEDES # :</b>	Supersedes Policy #'s: 05-09-007 Sentinel Event Review and Reporting Policy 05-09-008 Unusual Occurrence Reporting Policy 06-09-007 Sentinel Event Review and Reporting 06-09-008 Unusual Incident, Injury, Death Reporting Executed ADMH 1200 Unusual Occurrence Reporting (10-22-08) ADMH 1201 Sentinel Event Reporting (06-17-11)

**A. PURPOSE:** To establish uniform guidelines, requirements, and timelines for Unusual Occurrences and Events (UOE) for Mental Health Plan (MHP) Specialty Mental Health Services (SMHS) and Drug Medi-Cal Organized Delivery System (DMC-ODS) Substance Use Disorder (SUD) services to ensure that Yolo County Health and Human Services Agency (HHS) Behavioral Health (BH) and its Network Providers are following applicable federal and state requirements.

**B. RELATED DOCUMENTS:**

1. Unusual Occurrence / Event (UOE) Report Form
2. DHCS 5079: Unusual Incident/Injury/Death Report

**C. DEFINITIONS:**

1. **Death:** The death of any behavioral health member or previous member discharged 30 days or less at the time of death from any cause – even if death did not occur at a facility.
2. **Injury:** Any facility-related injury of any member which requires medical treatment.

- 3. Licensee (DHCS 5079 Form):** The entity identified on the license(s), issued by the Department of Alcohol and Drug Programs, to provide residential alcoholism or drug abuse recovery or treatment services in accordance with the provisions of Chapter 7.5 (commencing with Section 11834.01), Part 2, Division 10.5 of the Health and Safety Code and the requirements of this chapter.
- 4. Member:** for the purposes of this policy and procedure, a member is a person currently receiving behavioral health services or a member who has been discharged 30 days or less from behavioral health services at the time of the incident.
- 5. Sentinel Events:** A sentinel event is a member safety event that results in death, permanent harm, or severe temporary harm. They are a type of serious UOE that may be debilitating to both members and providers involved in the event.
- 6. Unusual Occurrence and Events (UOE):** are defined as situations or incidents that threaten or jeopardize the welfare, safety, or health of members or previous members discharged 30 days or less at the time of the occurrence or event, staff, or visitors (see examples below).
  - a. Examples of UOEs include, but are not limited to:
    - i. An epidemic outbreak of any disease whether or not such communicable disease is required to be reported by Title 17, California Code of Regulations;
    - ii. Poisonings;
    - iii. Fires, explosions, flooding, or other catastrophic event or major accident;
    - iv. Medication errors;
    - v. Any injury, accidental or otherwise, to any person on or in County property that requires treatment by a physician, but does not result in death;
    - vi. Accidents resulting in unintentional injury or death (including falls, motor vehicle accidents, etc.) to members, members discharged 30 days or less at the time of the injury or death, employees, or visitors if County property is involved;
    - vii. Sexual acts between members who are non-consenting, including rape, and / or between members and staff or visitors;
    - viii. Allegations of sexual harassment or abuse;
    - ix. Physical assaults on or by members, employees, or visitors;

- x. Executed Tarasoff Statute warnings;
- xi. Suicide of a member in a setting where the member receives outpatient care, 24 hour /around-the-clock care (i.e. hospital, residential treatment, crisis stabilization), or within 72 hours of discharge from a 24 hour/ around-the-clock care facility.

**D. POLICY:**

1. It is the policy of Yolo County Health and Human Services Agency (HHSA) Behavioral Health (BH) and its Network Providers that all unusual occurrences and events, including injury or death, be reported.
2. The UOE Report Form shall be completed and submitted in its entirety within seven (7) days of the event.
3. Additionally, for sentinel events, the Post Unusual Occurrence/Event Review section of the UOE report form shall be completed and submitted in its entirety within thirty (30) days of the incident.
4. All cases of reportable communicable diseases shall be reported to the Yolo County HHSA Public Health Officer or designee.
5. All fires and/or explosions occurring on or in county property shall be reported within twenty-four (24) hours to the local fire authority.
6. Substance Use Disorder Residential Licensees shall additionally make a telephonic report to DHCS within one (1) working day per the requirements outlined in 9 California Code of Regulations (CCR) § 10561.
  - a. The telephonic report shall be followed by a written report to the licensee's DHCS Licensing Analyst within seven (7) calendar days of the event. If a report to local authorities exists which meets the requirements cited in 9 CCR §10561 (b)(1), a copy of such a report will suffice for the written report required by the department.
  - b. BH-QM may request evidence that the Residential SUD Licensee reported to DHCS per 9 CCR § 10561.
7. Any additional pertinent information that is requested by DHCS shall be provided.
8. The UOE Report form and all related documents shall be retained by Yolo County BH-QM for at least one (1) year after the incident date.

- a. Staff shall not keep personal copies or place copies in a member charts.

**E. PROCEDURE:**

**1. REPORTING REQUIREMENTS:**

a. Staff/Supervisor Responsibility

- i. Staff witnessing, experiencing, or becoming aware of an incident shall report the incident to their supervisor and Yolo County HHSA BH-QM as soon as possible by phone or secure email and no later than twenty-four (24) hours after the incident.
- ii. All verbal or email reports determined by Yolo County HHSA BH-QM to meet reporting requirements shall be followed by completion of a UOE form.
  - a. UOE forms shall be completed by appropriate staff and sent via secure email to Yolo County HHSA BH-QM within seven (7) days.
- iii. Information regarding further developments, follow-up, additional reports, and/or additional information shall be documented and forwarded to BH-QM.
- iv. For sentinel events, supervisory or management staff shall additionally conduct post-event reviews and submit the completed Post Unusual Occurrence Review portion of the UOE form within 30 days of the event.
  - a. Contractors may use whatever method of incident review they choose (i.e. Root Cause Analysis or other structured review) to identify possible causes of the incident and related opportunities for improvement.
  - b. Reviews shall include interviews with relevant participants, chart review as appropriate, and indication of which systems or processes were reviewed, including but not limited to:
    - i. Behavioral Health Assessment Processes,
    - ii. Physical Heal Assessment Processes,
    - iii. Medication protocols,
    - iv. Staffing resources,
    - v. Security,
    - vi. Facility processes,
    - vii. Care Coordination,

- viii. Availability of information,
  - ix. Risk assessment protocols,
  - x. Reception protocols,
  - xi. Control of medications (storage/access),
  - xii. Staff training,
  - xiii. Policies and Procedures,
  - xiv. Communications with member/family/support persons,
  - xv. Communications among staff, or
  - xvi. Other system area.
- c. Reviews shall include planned actions to mitigate and monitor potential causes, where applicable.

**b. Behavioral Health Quality Management Responsibility**

- i. Inform Yolo County HHSA Leadership of unusual occurrences and events, as appropriate.
  - a. At the discretion of Yolo County HHSA Leadership, the County Administrative Office (CAO), and/or County Counsel's office will be notified within twenty-four (24) hours of notification of the occurrence.
- ii. Report unusual occurrences and events to DHCS and/or any other government entity, as determined, within twenty-four (24) hours or as soon as possible after becoming aware of a reportable incident.
- iii. Initiate requests for relevant law enforcement, autopsy, or licensing reports, as appropriate.
- iv. Consult with County Counsel and/or Human Resources as part of its inquiry process, as appropriate.
- v. Maintain a log that includes detailed information specific to all UOEs received.
- vi. Present recent Unusual Occurrences and Events to the Quality Improvement Committee (QIC) or other relevant oversight body as appropriate for review, monitoring, oversight, and to ensure the timely implementation of any corrective action.

**F. REFERENCES:**

1. 9 CCR § 784.15
2. 9 CCR §10561
3. DMH Letter 1995-04, Page 7-12 "Reporting Unusual Occurrences"
4. MHP Contract, Exhibit A
5. California Evidence Code (CEC) § 1157

Approved by:

**Karleen Jakowski, LMFT**

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**Karleen Jakowski, LMFT, Mental Health Director  
Yolo County Health and Human Services Agency**

**Date**