

5122-14-14

Appendix A

Inpatient Psychiatric Service Provider
Reportable and Six-Month Reportable Incidents

In addition to the definitions in rule 5122-14-01 of the Administrative Code, the following definitions are applicable to Ohio Administrative Code (OAC) rule 5122-14-14, "Incident Notification and Risk Management":

- (1) "Emergency/Unplanned Medical Intervention" means treatment to be performed by a licensed physician, podiatrist, dentist, physician assistant, or certified nurse practitioner, but the treatment is not serious enough to warrant hospitalization. It includes sutures, staples, immobilization devices, and other treatments not listed under "First Aid" regardless of whether the treatment is provided at the hospital, or at a doctor's office/clinic/hospital ER, etc. This does not include routine medical care or shots/immunizations, as well as diagnostic tests, such as laboratory work, x-rays, scans, etc., if no medical treatment is provided.
- (2) "First Aid" means treatment for an injury such as cleaning of an abrasion/wound with or without the application of a Band-aid application of a butterfly bandages/Steri-Strips, application of an ice/heat pack for a bruise, application of finger guard, non-rigid support such as a soft wrap or elastic bandage, drilling a nail or draining a blister, removal of a splinter, removal of a foreign body from the eye using only irrigation or swab, massage, drinking fluids for relief of heat stress, eye patch, and use of over-the-counter medications such as antibiotic creams, aspirin and acetaminophen. These treatments are considered first aid, even if applied by a physician. These treatments are not considered first aid if provided at the request of the patient and/or to provide comfort without a corresponding injury.
- (3) "Hospitalization" means inpatient treatment provided at a medical acute care hospital, regardless of the length of stay. Hospitalization does not include treatment when the individual is treated in and triaged through the emergency room with a discharge disposition to return to the community or admission to a psychiatric unit.
- (4) "Injury" means an event requiring medical treatment that is not caused by a physical illness or medical emergency. It does not include scrapes, cuts, or bruises that do not require medical treatment.

- (5) “Sexual Conduct” means, as defined in Section 2907.01 of the Ohio Revised Code, vaginal intercourse between a male and female; anal intercourse, fellatio, and cunnilingus between persons regardless of sex; and, without privilege to do so, the insertion, however slight, of any part of the body or any instrument, apparatus, or other object into the vaginal or anal opening of another. Penetration, however slight, is sufficient to complete vaginal or anal intercourse.
- (6) “Sexual Contact” means, as defined in Section 2907.01 of the Ohio Revised Code, any touching of an erogenous zone of another, including without limitation the thigh, genitals, buttock, public region, or, if the person is a female, a breast, for the purpose of sexually arousing or gratifying either person.

Reportable Incidents – Per Incident

The following lists and defines each event category which must be reported per incident in accordance with paragraph (G) of rule 5122-14-14 of the Administrative Code.

Category	Reportable Incident Definition
Involuntary Termination without Appropriate Patient Involvement	Discontinuing services to a patient without informing the patient in advance of the termination, providing a reason for the termination, and offering a referral to the patient. This does not include situations when a patient discontinues services without notification, and the hospital documents it was unable to notify the patient due to lack of address, returned mail, lack of or non-working phone number, etc.
Suicide	The intentional taking of one’s own life by a patient.
Suicide Attempt	Intentional action by a patient with the intent of taking one’s own life and is either a stated suicide attempt or clinically determined to be so, regardless of whether it results in medical treatment.
Homicide by Patient	The alleged unlawful killing of a human being by a patient.
Accidental Death	Death of a patient resulting from an unusual and unexpected event that is not suicide, homicide, or natural, and which happens on the grounds of the hospital or at off-grounds events.

Category	Reportable Incident Definition
Subcategory (check if applicable):	1. Death of a patient resulting from accidental or unintentional overdose
Physical Abuse	Allegation of staff action directed toward a patient of hitting, slapping, pinching, kicking, or controlling behavior through corporal punishment or any other form of physical abuse as defined by applicable sections of the Revised or Administrative Code.
Sexual Abuse	Allegation of staff action directed toward a patient where there is sexual contact or sexual conduct with the patient, any act where staff cause one or more other persons to have sexual contact or sexual conduct with the patient, or sexual comments directed toward a patient. Sexual conduct and sexual contact have the same meaning as in Section 2907.01 of the Revised Code.
Neglect	Allegation of a purposeful or negligent disregard of duty imposed on an employee by statute, rule, organizational policy, or professional standard and owed to a patient by that staff member.
Defraud	Allegation of staff action directed toward a patient to knowingly obtain by deception or exploitation some benefit for oneself or another or to knowingly cause, by deception or exploitation, some detriment to another.
Sexual Assault by Non-staff, Including a Visitor, Patient, or Other	Any allegation of one or more of the following sexual offenses as defined by Chapter 2907 of the Revised Code committed by a non-staff against another individual, including staff, and which happens on the grounds of the hospital or during the provisions of care or treatment, including during hospital off-grounds events: rape, sexual battery, unlawful sexual conduct with a minor, gross sexual imposition, or sexual imposition.
Physical Assault by Non-staff Including Visitor, Patient, or Other	Knowingly causing physical harm or recklessly causing serious physical harm to another individual, including staff, by physical contact with that person, which results in an injury requiring emergency/unplanned medical

Category	Reportable Incident Definition
	intervention, hospitalization, or death, and which happens on the grounds of the hospital or during the provision of care or treatment, including during hospital off- grounds events.
Away Without Leave (AWOL)	A patient in an acute inpatient setting has been absent from a location defined by the patient's status regardless of leave or legal status. A patient is considered to be AWOL if the patient (1) has not been accounted for when expected to be present or (2) has left the grounds of the hospital without permission. Implicit in this definition is that the patient has been informed of the limits placed on his/her location prior to the elopement incident.
Medication Error	Any preventable event while the medication was in the control of the health care professional or patient, and which resulted in permanent patient harm, additional hospitalization, or death. Such events may be related to professional practice, health care products, procedures, and systems, including prescribing; order communication, product labeling, packaging, and nomenclature; compounding; dispensing; distribution; administration; education; monitoring; and use.
Adverse Drug Reaction	Unintended, undesirable, or unexpected effect of a prescribed medication(s) that results in permanent patient harm, further hospitalization, or death.
Patient Fall	Loss of upright position that results in landing on the floor, ground, or an object or furniture, or a sudden, uncontrolled, unintentional, non-purposeful, downward displacement of the body to the floor/ground or hitting another object like a chair or stair, resulting in: <ol style="list-style-type: none"> 1. Injury requiring emergency/unplanned medical intervention

Category	Reportable Incident Definition
<p>Medical Events Impacting Hospital Operations</p>	<p>2. Injury requiring hospitalization</p> <p>The presence or exposure of a contagious or infectious medical illness within a hospital, whether brought by staff, patient, visitor, or unknown origin, that poses a significant health risk to other staff or patients in the hospital, and that requires special precautions impacting operations. Special precautions impacting operations include medical testing of all individuals who may have been present in the hospital, when isolation or quarantine is recommended or ordered by the health department, police, or other government entity with authority to do so, and/or notification to individuals of potential exposure. Special precautions impacting operations does not include general isolation precautions, i.e., suggesting staff and/or patients avoid a sick individual or vice versa, or when a disease may have been transmitted via consensual sexual contact or sexual conduct.</p>
<p>Temporary Closure of One or More Sites/Units</p> <p>Subcategory (check one):</p>	<p>The hospital ceases to provide services at one or more locations or units for a minimum period of more than seven consecutive calendar days due to:</p> <ol style="list-style-type: none"> 1. Fire 2. Disaster (flood, tornado, explosion, excluding snow/ice) 3. Failure/malfunction (gas leak, power outage, equipment failure) 4. Other (name)
<p>Inappropriate Use of Seclusion or Restraint</p>	<p>Seclusion or restraint utilization that is not clinically justified, or mechanical restraint or seclusion employed without the authorization of staff permitted to initiate/order mechanical seclusion or restraint.</p>

Category	Reportable Incident Definition
<p>Subcategory (check all that apply):</p> <p>Total minutes</p>	<p>1. Seclusion</p> <p>2. Mechanical restraint</p> <p>3. Physical restraint (transitional holds are not physical restraint)</p> <p>4. Prone restraint</p> <p>The total number of minutes of the seclusion or restraint</p>
<p>Inappropriate Restraint Techniques and Other Use of Force</p> <p>Subcategory (check all that apply):</p>	<p>Staff utilize one or more of the following methods/interventions prohibited by rule 5122-26-16 of the Administrative Code:</p> <p>1. Behavior management interventions that employ unpleasant or aversive stimuli such as the contingent loss of the regular meal, the contingent loss of bed, and the contingent use of unpleasant substances or stimuli such as bitter tastes, bad smells, splashing with cold water, and loud, annoying noises.</p> <p>2. Any technique that restricts the individual’s ability to communicate, including consideration given to the communication needs of individuals who are deaf or hard of hearing.</p> <p>3. Any technique that obstructs vision.</p> <p>4. Any technique that causes an individual to be retraumatized based on an individual’s history of traumatic experiences.</p> <p>5. Any technique that obstructs the airways or impairs breathing.</p>

Category	Reportable Incident Definition
	<p>6. Use of mechanical restraint on individuals under age eighteen.</p> <p>7. A medication that is used as a restraint to control behavior or restrict the individual's freedom of movement and is not a standard treatment or dosage for the individual's medical or psychiatric condition or that reduces the individual's ability to effectively or appropriately interact with the world around the individual.</p> <p>8. The use of handcuffs or weapons such as pepper spray, mace, nightsticks, or electronic restraint devices such as stun guns and tasers, other than the use of handcuffs or other devices used by corrections and law enforcement personnel for security purposes.</p> <p>The presence of weaponry in an agency poses potential hazards, both physical and psychological, to patients, staff, and visitors. Utilization by the agency of non-agency employed armed law enforcement personnel (e.g., local police) to respond to and control psychiatric crisis situations, will be minimized to the extent possible.</p> <p>9. Prone restraint</p>
<p>Seclusion/Restraint Related Injury to Patient</p>	<p>Injury to patient caused, or it is reasonable to believe the injury was caused, by being placed in seclusion/restraint or while in seclusion/restraint, and first aid or emergency/unplanned medical intervention was provided or should have been provided to treat the injury, or medical hospitalization was required. It does not include injuries which are self-inflicted, e.g., a patient banging his/her</p>

Category	Reportable Incident Definition
Subcategory (check one):	<p>head, unless the hospital determines that the seclusion/restraint was not properly performed by staff, or injuries caused by another patient, e.g., a patient hitting another patient.</p> <ol style="list-style-type: none"> 1. Injury requiring first aid 2. Injury requiring unplanned/emergency intervention 3. Injury requiring additional hospitalization
Seclusion/Restraint Related Death Subcategory (check one):	<p>Death of a patient which occurs while a patient is restrained or in seclusion, within twenty-four hours after the patient is removed from seclusion or restraint, or it is reasonable to assume that patient's death may be related to or is a result of seclusion or restraint.</p> <ol style="list-style-type: none"> 1. Death during seclusion or restraint 2. Death within twenty-four hours of seclusion or restraint 3. Death related to or result of seclusion or restraint

Six Month Reportable Incidents

The following lists and defines the incident data which must be reported every six months in accordance with paragraph (H) of rule 5122-14-14 of the Administrative Code.

Category	Six Month Reportable Incident Definition
Injury Requiring Emergency/Unplanned Medical Intervention or Hospitalization	An injury to a patient requiring emergency/unplanned medical intervention or transfer to a hospital medical unit and which happens on the grounds of the hospital

Category	Six Month Reportable Incident Definition
	or during the provision of care or treatment, including during hospital off-grounds events.
Illness/Medical Emergency	A sudden, serious, and/or abnormal medical condition of the body experienced by a patient that requires immediate and/or unplanned transfer to a hospital medical unit for treatment, and which happens on the grounds of the hospital or during the provision of care or treatment, including during hospital off- grounds events. A medical illness/emergency does not include injury.
Seclusion	A staff intervention that involves the involuntary confinement of a patient alone in a room where the patient is physically prevented from leaving.
Age 17 and Under	The aggregate total number of all episodes of seclusion and aggregate total minutes of all seclusion episodes.
Age 18 and Over	The aggregate total number of all episodes of seclusion and aggregate total minutes of all seclusion episodes.
Mechanical Restraint	A staff intervention that involves any method of restricting a patient’s freedom of movement, physical activity, or normal use of his or her body, using an appliance or device manufactured for this purpose.
Age 17 and Under	The aggregate total number of all episodes of mechanical restraint and aggregate total minutes of all mechanical restraint episodes.
Age 18 and Over	The aggregate total number of all episodes of mechanical restraint and aggregate total minutes of all mechanical restraint episodes.
Physical Restraint	A staff intervention that involves any method of physically (also known as manually) restricting a patient’s freedom of movement, physical activity, or normal use of his or her body without the use of mechanical restraint devices.

Category	Six Month Reportable Incident Definition
Age 17 and Under	The aggregate total number of all episodes of physical restraint and aggregate total minutes of all physical restraint episodes, excluding transitional hold.
Age 18 and Over	The aggregate total number of all episodes of physical restraint and aggregate total minutes of all physical restraint episodes, excluding transitional hold.
Transitional Hold	A staff intervention that involves a brief hold, without undue force, of a person in order to calm or comfort them; or holding a person’s hand to safely escort them from one area to another. At no time may a transitional hold be a prone, mechanical, or physical restraint. Transitional holds are not seclusion or restraint.
Age 17 and Under	The aggregate total number of all episodes of transitional hold and aggregate total minutes of all transitional hold episodes.
Age 18 and Over	The aggregate total number of all episodes of transitional hold and aggregate total minutes of all transitional hold episodes.
<p data-bbox="203 1123 803 1543">Seclusion/Restraint Related Injury to Staff</p> <p data-bbox="203 1554 803 1764">Subcategory (check one):</p>	<p data-bbox="820 1123 1421 1543">Injury to staff caused, or it is reasonable to believe the injury was caused, as a result of placing an individual in seclusion/restraint, and first aid or emergency/unplanned medical intervention was provided or should have been provided to treat the injury, or medical hospitalization was required. It does not include injuries which occur prior to, or are rationale for, placing an individual in seclusion or restraint.</p> <ol data-bbox="820 1554 1421 1764" style="list-style-type: none"> 1. Injury requiring first aid 2. Injury requiring emergency/unplanned medical intervention 3. Injury requiring hospitalization