CLASS 1, 2, 3 (CLIENT SPECIFIC)

STEP-BY-STEP INSTRUCTIONS FOR ENTERING AN INCIDENT REPORT IN KYGFIS

www.ky.panosoft.com

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An "Incident" is defined as "anything that alters the status of the client" – this means anything behavioral, emotional, mental, and/or physical.

1. www.ky.panosoft.com will take you to the "Logon" page for KYGFIS (you may want to bookmark this web address)

2. Enter your Username and Password and click on "log on". If you are not set up with a KYGFIS Username and Password, contact Jessica.Wayne@ky.gov or Michael.Handy@ky.gov

3. Click in the "Client" box (top left of screen)

4. Enter the last name and first name of the client (Example: Skywalker, Luke) and click on "search". This box is NOT case sensitive but it does require the correct spelling of the name.

5. When the search feature is complete, "Skywalker, Luke" (or the real name you entered) should appear within the alphabetized list (generally it is the first name on the first line). If the name doesn't show, delete the name out of the box and try again. Once the name appears, click on name and file will open to the "Face Sheet" – header says "Client Information".

6. To add a new Incident, use the left navigation bar and click on "Incidents".

7. When the Incident page opens, click on "insert" (top right). The Heading will say "Insert Incident Information" - you are now in "insert" mode.

Incident Record

8. Date of Actual Incident - The current date is automatically populated within this field. However, if the incident occurred on a different date, then enter the correct date using the date format of MM/DD/YYYY (notice the box turns blue). The date of an incident is provided to the GSSW by the provider/agency. You can choose dates by either clicking on the calendar next to the field or you may type in a date using the date format above. Once you have entered a date, tap the "Tab" key on your keyboard and you will move to the next data field.

9. Date Guardianship Notified of Incident - This is the date the provider/agency notified you of the incident. Enter this date in the blank field or click on the calendar and choose a date. If the incident is received via telephone, then the date of the telephone call is the Date Guardianship was Notified of Incident. If incident is faxed, then the fax date would be the Date Guardianship was Notified, if incident is e-mailed, then the e-mail date would be the Date Guardianship was notified.

10. Regardless of how you receive notice of an incident, an actual incident report is to be submitted and uploaded to KYGFIS as an attachment to the Class 1, 2, or 3 generated. This is addressed in #47-56.

Incident Type

11. Incident Level - The Provider/Agency will assign the Incident Level (Class 1, 2, or 3) to Incident Reports which you will pick from the drop down box. **This field must be completed before you can SAVE the document.**

    EXCEPTION: SCL Agencies, at the behest of BHDID, have combined Class 1 & 2 Levels into Class 2 (non-critical incidents) and Class 3 (critical incidents). All other agencies still use Class 1, 2, and 3 categories. For SCL Agencies, the GSSW will determine if the Incident Report fits in our Class 1 or 2 Categories and indicate in the Incident Level drop down box.

    In some cases, the GSSW will not agree with the level assigned by the Provider/Agency. With Supervisor approval, the level of Incident may be changed to more accurately reflect the description of the Incident.

    When the Incident Level Class 3 is chosen, a "Supervisor" box will appear. Choose the name of your supervisor from the drop-down box. Their address will populate the "Supervisor Email box. Your supervisor will receive a copy of the Class 3 that you are entering, once saved. In the event the supervisor position is vacant in your region, please choose the "back-up" supervisors name from the drop down box and they will get the e-mail. Only one e-mail address can be entered! **Field must be completed before the document can be saved.**

12. The Definitions for each Incident Level are provided. Once the Incident level is determined, check the box that best describes the incident. Choose one Incident Level ONLY (1, 2, or 3) then choose one primary cause of incident. If none of the choices apply, then click the "Other Incident" box for Class 1's but for Class 3's, type the primary cause of the incident in the category called "Other". There is currently no "Other" category for Class 2's. There will be times when an Incident is received and two, maybe three categories could apply. In these cases, choose the highest Incident Level and the most serious category being reported.

Incident Details

13. APS Referral – "APS" is the acronym for Adult Protective Services which is located in the Department for Community Based Services (DCBS). If the incident is referred to APS regardless of source, choose "yes" from the drop down box. Otherwise, choose "no". **Field must be completed before the document can be saved.**

14. APS Referral by – This field is asking who made the APS referral. Using the drop down box, choose one of the three choices.

15. APS Other Referral – If "Other" is entered in the APS Referral by" field, the name of the person or agency is to be identified in this field.

16. First and Last Name of Person or Persons in the **Presence** of Client at the Time of Incident – This means exactly what it says. Guardianship staff is to secure the name of the person or persons in the presence of our client at the time of the incident. Any other facility staff name is not acceptable. Capitalize the first letter of the first and last name. Ex: Luke Skywalker is correct but "luke skywalker" or "Luke skywalker" is **NOT** correct. Field is case sensitive and often these names will be

entered in KYGFIS **more than once so consistency is important**! This field must be completed before the document can be saved.

There will be times when #17 is an exception:

- If the client is alone at the time of the incident, then the client's name should be entered (first and last name).
- If the name of the person or persons in the presence of client at the time of the incident is unknown at the time the report is entered, "TBD" is to be entered in the first and last name fields. There is an expectation for follow-up and this TBD will be replaced with a name.

17. Terminated - In the event the employee is **terminated**, please click the "terminated" field.

18. Agency Refused to Provide Name of Employee with our Client at the Time of the Incident - Check this box if agency fails to give you the first and last name of the employee that was **with our client at the time of the incident**. What defines "Fail"? Fail means one or both of the following:

    a. The name(s) of employee(s) is not listed on the Incident Report and/or;
    b. The Agency uses a name (i.e., Manager, the Program Director, etc.) instead of identifying the actual employee with the client at the time of the incident.

    In the event they refuse to provide the requested information, please notify your supervisor who is expected to take appropriate steps.

19. Agency Refused to Provide a Formal Incident Report to the Guardian of this Client - Providers may notify GSSW staff of an incident by fax, e-mail, or phone but a formal incident report that can be scanned and attached to the incident report in KYGFIS is required. Please request Providers submit the formal Incident Report and give them a seven (7) day deadline. Formal Incident reports submitted by providers may come in many forms. They can be standardized (Ex: SCL providers) or not so standardized such as Nursing Notes, Progress Notes, E-Mails, and Faxes. The key is to scan what you receive and attach to the Incident Report in KYGFIS. Our Records are subject to open records requests and the document submitted by the provider will often show the incident in a different light than what you find after you investigate. This discrepancy can become critical at any given time. Additionally, a scanned/attached incident report provides "proof" of actions taken by staff in the course of ensuring the health, safety, and welfare of the client. GSSW's are to make reasonable attempts to secure the incident report but in the event the agency fails to respond within the seven (7) day deadline, the "Agency Refused to Provide a Formal Incident Report to the Guardian of this Client" box should be checked. This data is collected and reviewed by central office. Agencies/providers deemed to be problematic will be addressed by management. Family Care Homes, Personal Care Homes, and other small entities that care for our clients are notorious for not even reporting an incident even though they are supposed to (see KRS 216.515). In the event you receive notice of an incident, please ask for an incident report and if it is not received within the seven (7) day deadline, check the applicable box. In addition, if a client lives with an unrelated caregiver or family member we still need to request a written report of the incident, again, within the seven (7) day deadline. An email or handwritten account from the provider will suffice as a formal incident report. If you don't get one, mark the box so we have accurate data to address.

20. Describe Incident - Field must be completed, do not enter "see attached." **IMPORTANT REQUIREMENT: NO E-MAILS AND NO EXTRA/EMPTY/BLANK LINES IN THIS BOX PLEASE!!!!!!!!!!**

Enter ONE PARAGRAPH ONLY and then attach the actual e-mail to the follow-up but NEVER copy/paste the e-mail in this box - NEVER, EVER!!!!! This requirement applies to the initial incident report box called "Describe the Incident" plus the box called "Follow Up Actions AND any subsequent follow ups entered.; however, you may attach the e-mail or any other documentation to the incident report. Very often the descriptions of incidents taken from the provider incident reports are poorly written and likely to be indecipherable. A GSSW has one of two choices; they can request another incident report be submitted clarifying the description or the GSSW can describe the incident based on oral and written communication with the provider. The description of the incident must be clear and free from misinterpretation. It is to be grammatically correct with no typographical errors or incomplete sentences. It is imperative the reader understand the chain of events which is to always include "who, what, when, where." **This field must be completed before the document can be saved.**

Provider Agency

21. Vendor: Click on the drop down arrow and an extensive list of providers/vendors/agencies will appear. Choose the Client's Vendor. If the client lives alone, choose "Self" from the Vendor drop down box. Once a vendor has been chosen, the next box, or 9 fields will populate (Who, Address, City, State, Zip, Phone, fax). A Vendor must be chosen from the drop down box before the document can be saved.

22. **ALWAYS CHOOSE FROM THE DROP DOWN BOX. UNDER NO CIRCUMSTANCES ARE YOU TO KEY IN OR TYPE IN A VENDOR NAME/ADDRESS. IF THE VENDOR IS NOT LISTED, PLEASE CONTACT CINDY FORD at Cindy.Ford@ky.gov or JENNIFER ROSENBERG at Jennifer.Rosenberg@ky.gov TO ADD THE VENDOR FOR YOU.**

23. **Have any questions about this section? See if it's covered below before you panic!**

Agency Responsible for Client at the Time of the Incident

24. Name and Address of Agency Responsible for Client at the Time of the Incident OR check this box if same as above:" – If the Vendor you entered in the previous field was also responsible for our client at the time of the incident, then click the box and their vendor information will populate this section.

    If our client was away from the primary vendor, such as being transported from one location to another, maybe to a day treatment program, or somewhere similar yet not under the direct supervision of the primary vendor, then choose the secondary vendor from the drop down box. If the secondary vendor is not listed in this very extensive drop down box of vendors but you think the vendor will be utilized in the future, then you are to contact Cindy Ford or Jennifer Rosenberg to add the new Secondary Vendor to our main vendor database. Once added, you can go back and pick the correct vendor by choosing from the drop down box.

Example: Luke Skywalker's (playful name used here) resides in a CAKY (primary vendor) Family Home located in Frankfort. He boards the Bluegrass Ultra Transit (BUS) early one morning to spend the day at the Frankfort Active Day Treatment Program. The BUS pulls up in front of the day treatment program and as Luke disembarks, he misses a step and stumbles to the ground. Bluegrass Ultra Transit (secondary vendor) is then the Agency Responsible for Client at the Time of the Incident and you would choose their Name/Address from the drop down box.

Choosing from the drop down box is the only way to GO! But "what about the times we might have a secondary vendor that we will use only <u>once</u> you ask? That can happen!

Example: Let's say one of our client's has an "incident" while in the temporary custody of family or friends and you KNOW these family/friends are not a Vendor we are likely to use again.

Do we really want to create a permanent address for a temporary "vendor?" Absolutely NOT! If you feel pretty confident we won't need this address again in the future, go ahead and enter the full and complete contact information for the family or friend, this means first and last name (spelled correctly) and then a complete United States Postal Service deliverable address. The data you enter will be specific to that incident and to that client but will NOT be listed in the Main Vendor List which we do not want! Don't fret. If you find you will use them more than once, then contact Cindy Ford or Jennifer Rosenberg and they can add them to our already enormous Vendor database.

What about the client **<u>who lives alone</u>** and an incident occurs? Simply add the Vendor's name from the Vendor Drop down box to complete the Provider Address and for the "Agency Responsible for the Client at the Time of the Incident" ADD the Client's full name and address.

Please remember, "Agency Responsible for Client at the time of the Incident" must be completed before the document can be saved.

Initial Action Plan

25. GSSW Initial Action Plan - The GSSW enters how they plan on approaching/handling the incident report. Who they intend to contact, when, how, what immediate actions they plan on taking to ensure the health, safety, and welfare of the client. You will also receive Incident Reports from time to time (primarily Class 1's that are very minor in nature) and determine, after reviewing, no follow up with the facility and/or the client is necessary. In those cases, the following statement is to be entered in the field: "GSSW reviewed incident and no additional follow up needed". **This field must be completed before the document can be saved.**

26. Additional Follow Up Needed - This field is set to "Yes" as there is an expectation that all incidents will be reviewed by field staff. Following the review, if it is determined no other follow-up is needed other than the review itself, please follow the directive in #26 above and enter "GSSW reviewed incident and no additional follow up needed" <u>AND</u> choose "NO" in the Additional Follow Up Needed" field which CLOSES THE INCIDENT. <u>It is imperative the "GSSW Initial Action Plan" and the "Additional Follow Up Needed" fields support each other!!!!</u> There can be multiple follow up reports on the same incident. It is important that all information and subsequent follow-up efforts in reference to the incident is recorded as a "follow-up" to the incident until the incident is completely resolved. **<u>IMPORTANT REQUIREMENT: NO E-MAILS AND NO EXTRA/EMPTY/BLANK LINES IN THIS BOX PLEASE!!!!!!!!!!! Enter ONE PARAGRAPH ONLY and then attach the actual e-</u>**

mail to the follow-up but NEVER copy/paste the e-mail in this box - NEVER, EVER!!!!! This requirement applies to the initial incident report box called "Describe the Incident" plus the box called "Follow Up Actions AND any subsequent follow ups entered. It is not acceptable to record Incident information on the EVENT side of KYGFIS. There are times when a GSSW can use incident activities as case management contacts. In that event, you may enter the case management contact as a follow-up to the incident on the Incident side of KYGFIS as well as a case management contact on the event side of KYGFIS.

Notes

27. Notes. Generic notes to yourself can be made here. The text within this field is not reviewed nor part of the reportable incident report.

Incident Resolved (For Supervisor Use Only)

28. Supervisors are to review Report 2g – Active Client Incidents with Follow Up Needed. The Incidents that show up on this report are those where the "Additional Follow Up Needed" is marked "yes". After reviewing the Incident and assured it has been resolved and complete with required documentation attached (i.e. Provider Incident Report) you can "resolve" the Incident so it is no longer being reflected on the Report.
    a. Steps to Resolve:
        1. Click on Incidents
        2. Check the box next to the Incident you want to resolve.
        3. At the bottom of the list of Incidents you will see a "Incident Resolved" button. Click on it and a white box will appear that says, "1 incident record(s) will be resolved. Continue?" Click on "OK" (or "cancel if you want to cancel the action).
        4. A new box will appear that says "Incident(s) resolved Complete", Click on OK.
    b. To see what this action causes, open the Incident report and scroll down to the bottom and you will see:

        Incident Resolved: Yes
        Incident Resolved by: <Your name will populate here>
        Incident Resolved Date: <current date will populate here>

Alternately, there is an "Incident Unresolved" button. In the course of reviewing Incident Reports, you may determine an incident is not resolved even though the "Additional Follow Up Needed" is marked as "no" which means this particular Incident Report will not show up on Report 2g. Following the same steps to Resolve an Incident can be used to "Unresolve" an Incident. When an Incident is "Unresolved" it will appear on Report 2g until it has been changed to "Resolved" at which time the Incident Report will fall off Report 2g.

You may have also resolved an incident but at a later date, determine additional steps need to be taken to resolve the incident and you can then "Unresolve" the "Resolved" incident

29. **ADDT'L FOLLOW-UPS** to an Incident Report get initiated when there is additional information received

   a. Follow steps 3-5 above.

   b. The previously entered Incidents will be listed. Using your mouse pointer, hover over the incident you want and click. The incident will open and you will be in "insert" mode again.

   c. At the left navigation bar, click on "Addt'l Follow Ups" and a new screen will appear.

   d. Click on "Insert" in the top right hand corner.

   e. Enter the additional information in the "Follow Up Actions" box IN ONE PARAGRAPH. Spell check does not work in this area so check for accuracy. **IMPORTANT REQUIREMENT: NO E-MAILS AND NO EXTRA/EMPTY/BLANK LINES IN THIS BOX PLEASE!!!!!!!!!!! Enter ONE PARAGRAPH ONLY and then attach the actual e-mail to the follow-up but NEVER copy/paste the e-mail in this box….NEVER, EVER!!!!! This requirement applies to the initial incident report box called "Describe the Incident" plus the box called "Follow Up Actions AND any subsequent follow ups entered.**

   f. If satisfied, click on "Save" – "Save" can be found at the top or bottom of the screen.

   g. Some Incident Reports will have multiple follow-ups. To help you see what you have entered so far, you can view your Follow-ups by Clicking on the "Prev" or "Next" buttons at the top of the screen. These two buttons will take you to the beginning and ending of follow-ups for each client. Very handy!

30. ATTACHING AN E-MAIL OR ANY OTHER DOCUMENT TO A FOLLOW UP

    Follow-ups can be initiated several ways. They can be an e-mail from the provider, a telephone call, or even another incident report can serve as a follow up to the initial incident report. If you have a document you want to attach, Scan and save to your desktop then follow steps 47-56 below.

31. EDIT MODE

    Edit Mode is used to make a correction to an already saved Incident Report or to make a correction to the saved subsequent follow-ups (unlike the Event side of KYGFIS).

   a. Follow Steps 3 thru 5 above.

   b. Click on "Incidents" from the left navigation bar (always double-check that you have the right client file) and the incidents related to that client will pop up.

   c. Hover your mouse pointer over the incident that needs to be edited and click one time. It will open.

   d. You will now see two tabs at the top left of the screen. "View" and "Edit"

   e. Click on "Edit"

f. Make the necessary changes/edits. **IMPORTANT REQUIREMENT: NO E-MAILS AND NO EXTRA/EMPTY/BLANK LINES IN THIS BOX PLEASE!!!!!!!!!!! Enter ONE PARAGRAPH ONLY and then attach the actual e-mail to the follow-up but NEVER copy/paste the e-mail in this box - NEVER, EVER!!!!! This requirement applies to the initial incident report box called "Describe the Incident" plus the box called "Follow Up Actions AND any subsequent follow ups entered.**

g. If done, click "SAVE CHANGES"

If you need to edit more than one incident report on the same client, most likely won't happen but just in case it does....click on "SAVE AND EDIT PREV" or "SAVE AND EDIT NEXT" and this will allow you to scroll back or forth to edit any other incident reports within that client's record. It basically keeps you in "Edit" mode.

All Done? Saved your Edits? Click "release" from the left navigation bar and you will go back to the page that lists each of the incident reports for the particular client.

32. ATTACHING THE VENDOR'S INCIDENT REPORT TO THE FILE

a. Before starting the process of attaching an incident report to the Incident in KYGFIS, you must have the Vendor's Incident Report scanned and saved to your desktop. If you need assistance on scanning/saving incident reports, please consult your supervisor.

b. Once you have ENTERED and SAVED your Incident Report, not the Vendor's, you will be returned to the "View Incident" screen. You will then see the Incident Report you just entered.

c. At the left navigation bar, click on "Files" (under "Incident" heading) and a new screen will appear.

d. Click "Insert" (top right) and the screen will open to "Insert" mode.

e. Click in the Name box and enter the client's first and last name.

F. Click in the Description Box, Enter the words "Incident Report"

G. Next, click the "Browse" button and search your desktop until you find the Vendor's Incident Report, highlight the document with your pointer and click "Open".

h. You will now see the "browse" field has been populated. In other words, it has picked up the scanned incident report and attached it to the file.

i. Click on "Save" and when the box opens that asks "Are you sure you want to submit this form? Click on "ok".

j. If you need to attach additional scanned documents to the Incident Report, instead of clicking "Save" - click on "Save and Re-insert" and the screen will change requiring you to follow steps a-i again.