



Office of the Commissioner
Significant Reportable Events

Policy # DHHS-37-10

Issue Date: June 7, 2010

Revised Date: June 15, 2010

I. SUBJECT

Significant Reportable Events

II. POLICY STATEMENT

It is the policy of the Department of Health and Human Services to ensure that certain events are reported to departmental management in a timely, uniform and thorough manner utilizing appropriate channels.

III. RATIONALE

Department employees regularly encounter and become aware of noteworthy events of varying severity and importance which should be brought to the attention of departmental management.

The purpose of this policy and procedure statement is to establish a Significant Reportable Events Policy for the Department, and define situations that occur that should initiate the reporting of Significant Reportable Events, so that Department officials may respond appropriately to inquiries from the Governor, the public, legislators, and others.

IV. PROCEDURE STATEMENT

A. Reporting Requirements:

1. All Offices must have systems in place to receive information concerning reportable events, and to document potential significant reportable events for the Office Director or the Office Director's designee immediately upon receipt.
2. The Office Director or designee must report significant reportable events to each of the following individuals in the Commissioner's Office (the Commissioner, the Deputy Commissioner of Integrated Services, the Deputy Commissioner of Operations and Benefits Administration and the Communications Director) by email immediately upon receipt and determination that a significant reportable event has occurred.

3. Email reports should be labeled "Significant Reportable Event" in the subject line.
4. See "Reporting Process for Significant Events" attachment to this policy for additional reporting requirements to the Division, Licensing and Regulatory Services (as appropriate) and permanent documentation of the incident in the Office data base.

B. Content of Report:

1. The email reporting a significant reportable event to the Commissioner's Office should include the following information:
 - a. What happened?
 - b. When did it happen?
 - c. Where did it happen?
 - d. Who was involved? Are they a consent decree class member or a client in DHHS custody?
 - e. Current status and action plan. Plan should designate responsibility for managing the incident going forward.

V. DEFINITIONS

Significant Reportable Event:

An event that is unexpected and involves any of the following:

- Potential for public health or public safety concerns;
- Possible media coverage or involvement of other state agencies;
- A "serious event" involving protected person or persons for whom the Department has legal responsibility, including children in custody, adults under guardianship and individuals under the custody of the Commissioner; and/or
- The need for immediate intervention by the Department to ensure safety in facilities licensed or operated by the Department.

Serious Event:

An unanticipated death, major permanent loss of function, or serious injury that is unrelated to the normal course of the individual's illness or treatment.

VI. DISTRIBUTION

All Staff via e-mail and hard copy postings on designated bulletin boards. DHHS policies are also found on the website.

VII. ATTACHMENT

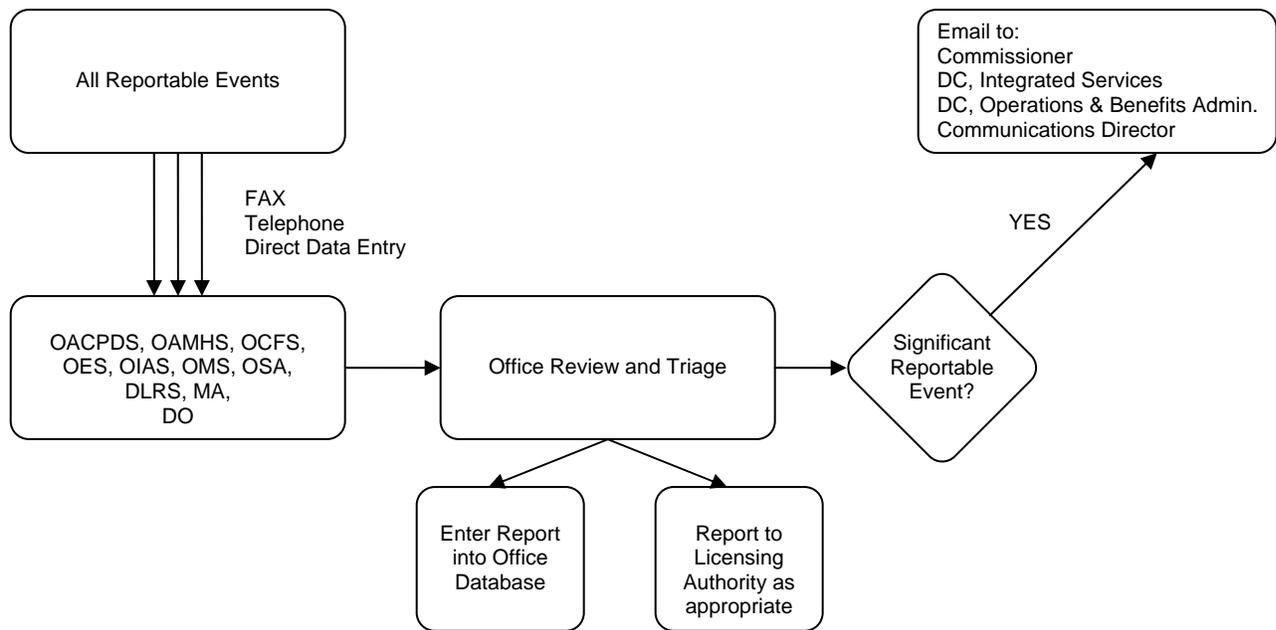
Reporting process for significant reportable events.

June 15, 2010

Revised Date

Brenda M. Harvey, Commissioner

Reporting Process for Significant Reportable Events



Acronym	Office Title
OACPDS	Office of Adults with Cognitive and Physical Disabilities Services
OAMHS	Office of Adult Mental Health Services
OCFS	Office of Child and Family Services
OES	Office of Elder Services
OIAS	Office of Integrated Access and Support
OMS	Office of MaineCare Services
OSA	Office of Substance Abuse Services
DLRS	Division of Licensing and Regulatory Services
MA	Multicultural Affairs
DO	District Operations