

# Office of Licensing

## Serious Incident Review and Root Cause Analysis TEMPLATE

*This is an example and not a real person.*

Individual's Name and I.D. Number:	Date of Incident: 1/4/2023
Jasmine XXXX ID Number *****	Date of Discovery of Incident: 1/4/2023
	Incident Report #: ABCDEFG123
	Review Completed Date: 1/15/2023
	Review Completed By: Tota-Lee Great, MSW
Individual's DOB: 1/2/1985	Program: Acme Day Support
Location of Incident: Riding in the van to day support.	Type of Incident: Level II serious incident
Service Received at Time of Incident: Group home transportation.	Sources of Information: <input type="checkbox"/> Record Review <input type="checkbox"/> Policy Review <input checked="" type="checkbox"/> Interview with Individual <input checked="" type="checkbox"/> Interview with Staff <input type="checkbox"/> Human Rights Investigation <input type="checkbox"/> Other: Click or tap here to enter text.
Is this the first incident of this kind? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No, when did this occur before? 2/1/2022	Is this addressed in the ISP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable
Detailed description of what happened ( <i>Provider may copy information included within the Injury/Incident Description/Circumstances field of CHRIS or include a step-by-step detailed account of the incident</i> ): <b>[Jasmine resides in a group home and attends day support. She is semi-independent with her medication.]</b>  <b>Jasmine and 3 others were riding in the Group Home van to work. She became short of breath and self-administered 1 puff from her inhaler. Upon arrival at the job site, she was in respiratory distress and the van driver called 9-1-1. Jasmine was taken to the emergency room. She was diagnosed with and treated for acute asthmatic episode.</b>  <b>Medication: Albuterol 90mcg Inhaler 2 puffs x2 per day for asthma and 2puffs x2 per day as needed for shortness of breath.</b>	
Analysis of Incident ( <i>Analysis of trends and potential systemic issues or causes; analysis of why incident happened; identification of all underlying causes of the incident that were in the control of the provider</i> ):  Quality Improvement Tool used during review: <input checked="" type="checkbox"/> 5 Whys <input type="checkbox"/> Fishbone <input type="checkbox"/> FMEA <input type="checkbox"/> Other: Click or tap here to enter text. ( <i>While our regulations do not require use of another tool to analyze trends, providers are required to include their analysis</i> )	

**Disclaimer:** This template was completed in accordance with 12VAC35-105-160. In order to ensure completion within the 30-day regulatory timeframe, the most available information/resources were utilized to complete this review.

# Office of Licensing

## Why was Jasmine short of breath?

- The weather had changed, and she usually has difficulty with the change in air pressure. The inhaler was ineffective when she used it.

## Why wasn't Jasmine's inhaler effective?

- Observation of her inhaler indicated that the inhaler was expired and empty.

## Why was the inhaler expired and empty?

- Jasmine does not have a routine for checking the expiration date.
- She did not keep her routine check-up with her doctor.

## Why didn't Jasmine keep her routine check-up with the doctor?

- Support staff did not follow the plan for assisting Jasmine with putting the appointment on her calendar.

## Why didn't support staff follow the plan regarding assistance with scheduled appointments?

- There was no 2023 calendar purchased to record appointments and some appointments made in 2022 were not recorded on the calendar.

## Statement of Cause(s)

- Jasmine's support plan does not include specific training for use and care of her inhaler.
- Jasmine did not have a plan to ensure her inhaler prescription was current and filled.

## Recommendations/Action Plan (*Solutions to mitigate the potential for future incidents*):

There are no recommendations at this time. There were no underlying causes under the provider's control.

Recommendation(s)/Technical Assistance: Click or tap here to enter text.

Action Plan:

1. **Complete an Evaluation for Independence with Medication Self-administration.**
2. **Modify Jasmine's Individual Support Plan to indicate if Jasmine is able to check expiration date and know how to determine when the inhaler is almost empty.**
3. **Monitor Jasmine's use of her inhaler.**
4. **Assist Jasmine with purchasing a calendar. Assist as needed with the use of her calendar for future appointments.**
5. **Train all support staff regarding any changes to Jasmine's plan.**

Due Date: 2/28/2023

**Disclaimer:** This template was completed in accordance with 12VAC35-105-160. In order to ensure completion within the 30-day regulatory timeframe, the most available information/resources were utilized to complete this review.

# Office of Licensing

Enhanced Root Cause Analysis Determination:

Based on this incident, was a threshold met as outlined in the Root Cause Analysis policy?

- Yes
- No

If "yes," the threshold criteria met is:

- Click or tap here to enter text. similar Level II serious incidents occur to the same individual or at the same location within a six-month period.
- 2 or more of the same Level III incidents occur to the same individual or at the same location within a six-month period.
- Click or tap here to enter text. similar Level II or Level III serious incidents occur across all of the provider's locations within a six-month period.
- A death that occurs as a result of an acute medical event that was not expected in advance or based on a person's known medical condition.

Analysis included:

- Convening a team
- Collecting and analyzing data
- Mapping processes
- Charting causal factor
- Other: Click or tap here to enter text.

Tota-Lee Great, MSW

Quality Manager

1/15/2023

**Completed by:**

**Title/Position:**

**Date:**

**Disclaimer:** This template was completed in accordance with 12VAC35-105-160. In order to ensure completion within the 30-day regulatory timeframe, the most available information/resources were utilized to complete this review.