

The Basics of Incident Management

The Incident Reporting Cycle from Discovery to Closure

Purpose



To provide a high-level overview of the incident management process, specifically the path of an incident report in the incident reporting system, from discovery through closure. This includes regulatory timeframes, the steps involved in the review process, the impacts of a management review that results in a "Not Approved" status, and how to monitor incidents.

Note: The Bureau of Supports for Autism and Special Populations (BSASP) has a different organizational structure that impacts the incident workflow.

Topics



- Definitions
- Reporting Timeframes by Category
- First Section Submission
- Initial Management Review
- Investigations and Administrative Reviews
- Final Section Finalization
- Extensions
- County Management Review
- ODP Regional Management Review
- Closure
- Using the EIM My Workload Dashboard to Monitor Incident Timeliness

Definitions



Discovery Date: the date and time an actual, suspected or alleged incident is discovered by a person who is responsible to recognize and report.

Occurrence Date: the date the actual, suspected or alleged incident occurred.

Initial Reporter: any person who witnesses or experiences the incident, is informed of an allegation of an incident, or is the first to discover or recognize the signs of an incident.

Point Person: a person that receives information from an initial reporter and is responsible to manage the incident from beginning to end.

First Section Submission: the action of the Provider or SCO submitting an incident first section in the incident reporting system by clicking the "Submit" button.

Finalize: the action of the Provider or SCO finalizing an incident final section in the incident reporting system by clicking the "Submit" button.

Closed: when the final section is approved by ODP. The incident moves to a "Closed" status.

Determining Discovery Date



The **Discovery Date** determines the first and final section due dates. So how do we determine the discovery date?

The discovery date is the date and time when a person, required by regulation, policy and/or law to report, first becomes aware of an actual, suspected or alleged reportable incident involving an individual receiving services. This includes employees, contracted employees and volunteers of an ODP provider or SCO as well as those paid to provide HCBS services through an ODP service model such as Participant Directed Services (PDS - AWC and VF/EA).

Initial Reporters: Who They Are and Why It Matters



Those with a Responsibility to Recognize and Report

These are people required by regulation, policy, or law to report incidents. This includes:

- Provider employees
- Contracted staff
- Volunteers
- Supports Coordination Organizations (SCOs)
- People paid to provide HCBS services including those through the PDS model (AWC and VF/EA)

Those without a Responsibility to Recognize and Report

These are people not bound by regulation to report, such as:

- Individuals
- Family members (unpaid)
- Friends
- Neighbors
- Community members
- Anyone not paid and trained in a formal caregiver role

Why This Distinction Matters for Discovery Date:

- The discovery date is the date and time when a person who is required to report becomes aware of an actual, suspected or alleged incident.
- When someone without a reporting obligation (like an unpaid family member) is the initial reporter, the discovery date and time is not when they became aware of an actual, suspected or alleged incident. Instead, it is the date and time when they inform a person who is responsible to report.

Break for Questions

Reporting Timeframes by Category



24 Hours

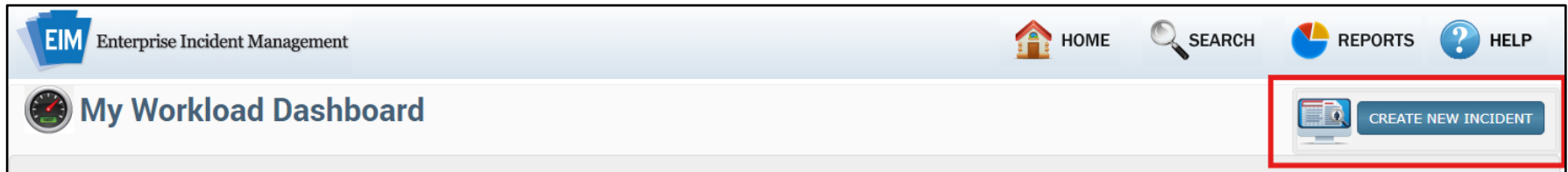
Abuse	Passive Neglect
Behavioral Health Crisis Event	Rights Violation
Death	Self-Neglect
Exploitation	Serious Illness
Fire	Serious Injury
Law Enforcement Activity	Sexual Abuse
Missing Individual	Site Closure
Neglect	Suicide Attempt

72 Hours

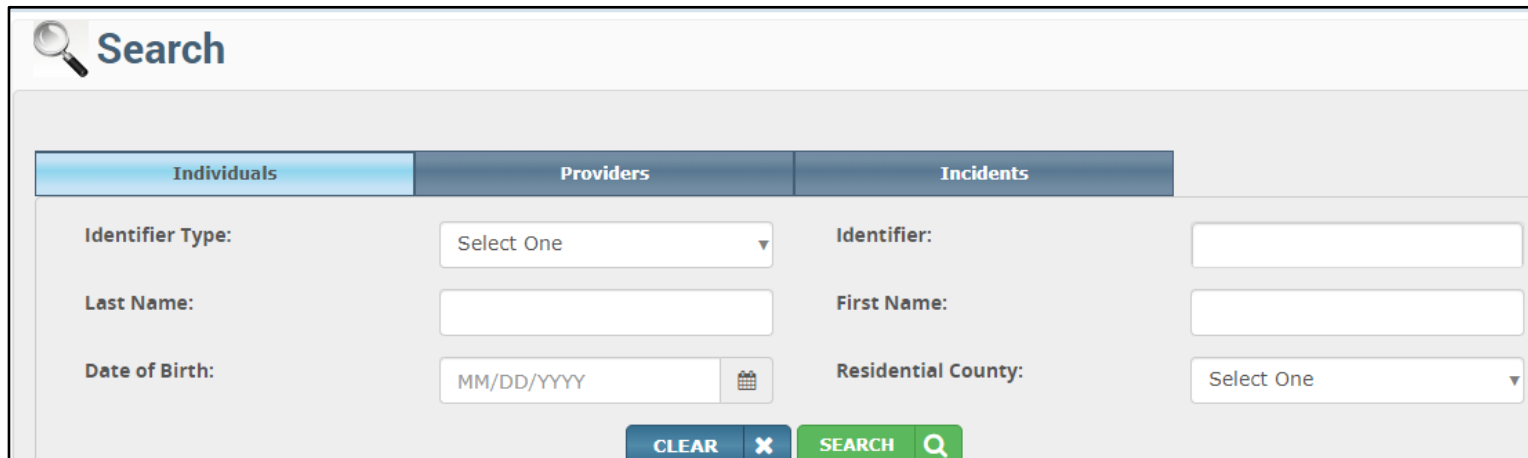
Physical Restraint
Medication Error

First Section Submission


All incidents, alleged incidents and suspected incidents are to be submitted in Department's information management system within 24 or 72 hours of the discovery date and time.



The screenshot shows the EIM Enterprise Incident Management dashboard. The top navigation bar includes links for HOME, SEARCH, REPORTS, and HELP. The main content area features a "My Workload Dashboard" on the left and a "CREATE NEW INCIDENT" button on the right, which is highlighted with a red box.



The screenshot shows the Search interface. It includes a search bar with a magnifying glass icon and the word "Search". Below the search bar are three tabs: "Individuals", "Providers", and "Incidents". The "Individuals" tab is selected. The search form contains the following fields:

Individuals	Providers	Incidents
Identifier Type: <input type="text" value="Select One"/>	Identifier: <input type="text"/>	
Last Name: <input type="text"/>	First Name: <input type="text"/>	
Date of Birth: <input type="text" value="MM/DD/YYYY"/> 	Residential County: <input type="text" value="Select One"/>	

At the bottom of the form are two buttons: "CLEAR" and "SEARCH".

First Section Submission



The Incident Detail page of the incident will reflect the status of all incident documents. It is important to ensure the status of the Incident First Section is **Submitted**.

If EIM is unavailable, the submission of incidents is to occur by completing the Services for Individuals with an Intellectual Disability or Autism Incident Report form, DP 1081, Attachment 3 of the IM Bulletin [Attachment+3+DP+1081.pdf](#). Record the reason the incident is not entered in the Department's information management system

A screenshot of the "Incident Detail" form. At the top, it says "Incident Detail" with a small icon. Below that, it shows "ID: 91866" and "Version: 9". There is a green box with "Individual:" and "MCI:". Below that is a table with two columns: "Document Name" and "Status". The table has one row with a plus icon in the first column, "Incident First Section" in the second column, and "Submitted" in the third column, which is highlighted with a red border.

	Document Name	Status
+	Incident First Section	Submitted

All incidents submitted using this form must be entered into the Department's information management system as soon as possible after resolution of the issue(s) that prevented entry. The form must be sent to the appropriate ODP entities (ODP regional office, BSASP office, County ID program/AE) in the most efficient mode possible. This includes via a secure electronic notification, which is HIPAA compliant.

Initial Management Review



An Initial Management Review is conducted by the County ID Program/AE and ODP to determine if appropriate actions to protect the individual's health, safety, and rights have occurred. This review is conducted within 24 hours of the submission of the Incident First Section. All comments entered by the AE/County ID Program and/or ODP during the Initial Management Review of an incident shall be addressed in the Final Section. If one of the two questions in either initial management review are answered "No" an alert will be sent the workload dashboard. **BSASP does not include a County Review**

Initial Management Review

Were the actions taken to protect the individual's health, safety, and rights prompt and adequate? ★

Were the actions taken to protect the individual's health, safety, and rights documented? ★

Review Comments:

The first section indicates the agency nurse was contacted on 04/01/25 @ 6:33am. There is no mention of what, if any, additional actions were taken after the agency nurse was contacted and before the individual was transported to the hospital @ 5:00pm. The final section needs to include any actions taken after contact with agency nurse leading up to transport to the hospital.

3620 characters remaining

- ✓ The Certified Investigator Report (CIR) and Administrative Review (AR) must be submitted within 30 days of discovery of the incident by a staff person, unless the provider notifies the Department in writing that an extension is necessary and the reason for the extension
- ✓ The CIR and AR must be finalized in EIM before the Incident Final Section can be finalized.

Final Section Finalization



- ✓ Contains updated and additional detail about the incident that was not available or included in the Incident First Section
- ✓ Includes the investigation determination
- ✓ Additional actions taken to protect the health, safety and well-being of the individual
- ✓ Corrective Action in response to an incident and to prevent recurrence of the incident
- ✓ Finalized within 30 days of the discovery date, unless the provider notifies the Department in writing that an extension is necessary and the reason for the extension

Extensions



- ✓ Once started, incidents must progress through the submission and review process on a set time schedule.
- ✓ If situations arise making it impossible to complete documents within 30 days of discovery, the reporting entity must inform the Department in writing prior to the original due date.
- ✓ Report extensions cannot exceed thirty (30) days per each extension.
- ✓ The reason for needing an extension must be noted for an updated due date to be applied.
- ✓ Once the extension request is completed, the due date will be updated to reflect the new due date.

County Management Review



Upon finalization of the Incident Final Section by the provider or SCO, the County evaluates the entire incident Report.

If the County determines all necessary actions have taken place and additional information is not needed, the incident will be **Approved**.

If the County determines additional information is needed, the documented response & actions by the reporting entity are inadequate, or something else needs to be addressed, the incident will be **Not Approved**.

A screenshot of a web form titled "Management Review". The form has a light gray background. At the top, the title "Management Review" is in a blue box. Below it, there is a "Review Date:" label followed by a date input field showing "01/01/2025" and a calendar icon. Below that is a "Review Approval Status:" label followed by a dropdown menu. The dropdown menu is open, showing "Select One" at the top, a search bar, and two options: "Approved" and "Not Approved". Below the dropdown is a text area labeled "Comments/Recommendations (If not approved, comments mandatory):". Red boxes highlight the "Management Review" title, the "Review Approval Status:" label, and the dropdown menu.

The reporting entity has 10 calendar days from the date of the Disapproval to respond and finalize a new version of the Incident Final Section. If an incident Final Section is "Not Approved", an alert will be sent to the workload dashboard.

****BSASP does not include a County Review****

ODP Regional Management Review



- The last entity to review an incident is ODP. If ODP determines all necessary actions have taken place and additional information is not needed, the incident will be **Approved**.
- If additional information is needed, the documented response and actions by the reporting entity are inadequate, or something else needs to be addressed, the incident will be **Not Approved**.
- The reporting entity has 10 calendar days from the date of the Disapproval to respond and finalize a new version of the Incident Final Section. If an incident Final Section is "Not Approved", an alert will be sent to the workload dashboard.


The image shows a screenshot of a web application interface for "ODP Regional Management Review". On the left is a sidebar menu with a "County Management Review" link highlighted by a red box. Below it are two links, "Investigation Assignment" and "Management Review Information", each preceded by a green checkmark icon and also highlighted by a red box. The main content area is titled "Management Review" and contains a "Go To" button labeled "Management Review Information". Below this, there are two fields: "Review Date:" with a value of "10/08/2024" and a calendar icon, and "Review Approval Status:" with a value of "Not Approved" and a dropdown arrow. A section titled "Comments/Recommendations (If not approved, comments are mandatory):" contains a text box with the following text: "Specific to items #5 and #7 in the 'Actions Taken' section, #5, if known, what caused him to feel dizzy and #7, was a fall risk assessment discussed with his PCP and what recommendations, if any, did the PCP make? Thank you."

Response to Management Review


When a County or Regional Management Review results in a Not Approved status, the response shall be documented in the designated text field in the Final Section.

[A Guide to Responding to a Not Approved Management Review](#) expands on the review process, Not Approved reviews, and updating the information within the areas of the report needed based on the reasons the incident was Not Approved and reviewer comments.

Verification of Incident Classification

Discovery Date and Time: ★ 

Primary Category: ★

Primary Category Date Occurred: ★ 

Secondary Category: ★

Reason for Reclassification (if applicable):

4000 characters remaining

Investigation Required? ★

Proceed with Investigation? ★

Assigned Certified Investigator:

Investigation will be conducted by:

4000 characters remaining

As a result of a Not Approved Management Review, summarize updates, clarifications, and corrections:

4000 characters remaining

Choking/Falling Indicator: ★

This text box appears and is mandatory when the management review is not approved, and a second incident final section is created. This field lets you respond to an unapproved review.

Closure




When ODP **Approves** the incident through the Management Review process, the status of the incident will be **Closed**.

The incident cannot be edited by anyone who has access to the reporting system after the status of the incident is Closed.


Management Review

Review Date:

★ 01/01/2025 

Review Approval Status:

★ Approved ▼

 **Incident Detail**

ID: [99998](#)

Version: 11

Type: Individual Incident

Primary Category: Serious Illness

Status: **Closed**

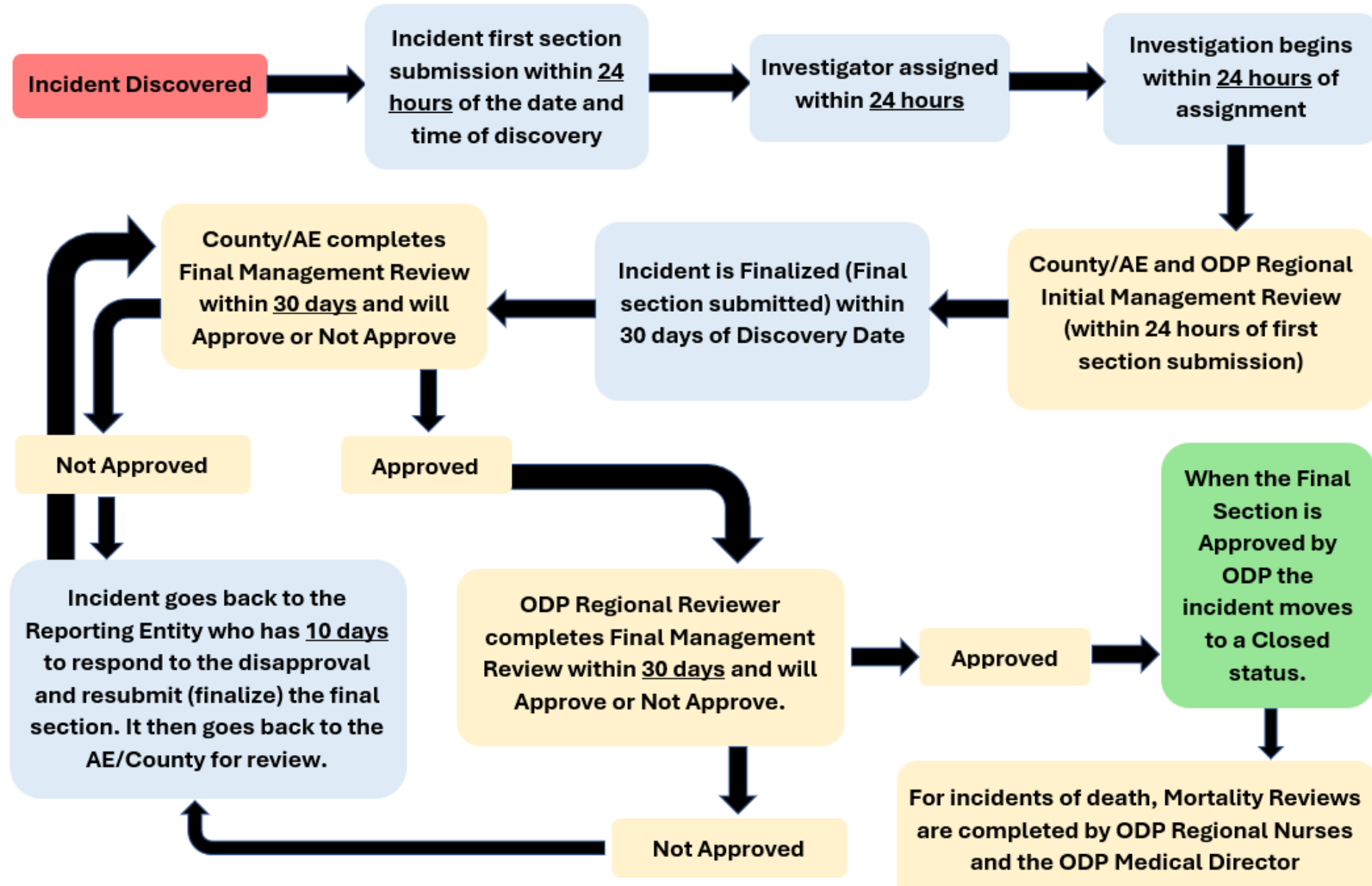
Individual: [PCG-EIMMR, CHRISTIAN](#)

Provider: [PCG ODP EIM PROVIDER THREE](#)

MCI: [790377236](#)

Discovery Date: 06/30/2023

Incident Reporting Timeline and Review Cycle



Break for Questions

Monitoring Timeliness

Switch to live demo.



HOME



SEARCH



REPORTS




HELP



My Workload Dashboard



CREATE NEW INCIDENT

Work Items		Alerts		News		
<div> Documents Requiring My Attention (Grouped By Document Due Date)</div>						
Program Office	Type	Overdue	Due Today	Coming Due	Due Date not Assigned	Total
ODP-ID/A	Individual Incident	892	0	0	222	1114
ODP-ID/A	Site Level Incident	69	0	0	6	75



Detail Summary



Export to Excel

ID	MCI	Individual Name	Filing Organization	County	Primary Category	Document	Due Date	Type
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No Document Details to display.

Filters

Program Office	▼
Organization	▼
Waiver/Program	▼
Incident/Complaint	▼
Incident/Complaint Types	▼
Document Type	▼
Document Name	▼
County	▼
Incident Point Person	▼
Incident Created By	▼

SELECT ALL

UNSELECT ALL

APPLY

SET AS DEFAULT

My Workload Dashboard



pennsylvania
DEPARTMENT OF HUMAN SERVICES




Enterprise Incident Management



HOI



My Workload Dashboard

Work Items		Alerts			News	
 Documents Requiring My Attention (Grouped By Document Due Date)						
Program Office	Type	Overdue	Due Today	Coming Due	Due Date not Assigned	Total
ODP-ID/A	Individual Incident	912	0	1	229	1142
ODP-ID/A	Site Level Incident	69	0	0	6	75

Overdue: Meaning these are incidents that have a due date that has already passed.

Due Today: Meaning the incident due date is today.

Coming Due: Meaning the incident is not due today, but it will be coming due the next day or in less than 30 days. Incidents where an extension was filed will also appear in this column, they will not show as overdue until that extension has expired.

Due Date not Assigned: Meaning this incident has just begun and the components which help decide the due date such as the Incident Primary and Secondary Categories and the Discovery Date have not yet been selected.

My Workload Dashboard

My Workload Dashboard provides a high-level overview of what needs your attention

EIM Enterprise Incident Management

My Workload Dashboard

Work Items		Alerts	
Documents Requiring My Attention (Grouped By Document Due Date)			
Program Office	Type	Overdue	Due Today
ODP-ID/A	Individual Incident	912	0
ODP-ID/A	Site Level Incident	69	0

Filing Organization County Primary Category Document

No Document Details to display.

Workload Dashboard

Work Items		Alerts		News	
Documents Requiring My Attention (Grouped By Document Due Date)					
Type	Overdue	Due Today	Coming Due	Due Date not Assigned	Total
Individual Incident	912	0	1	228	1141
Site Level Incident	69	0	0	6	75

Detail Summary

[Export to Excel](#)

ID	MCI	Individual Name	Filing Organization	County	Primary Category	Document	Due Date	Type
99990	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	09/28/2023	Individual Incident
99989	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Behavioral Health Crisis Event	Incident First Section	07/02/2024	Individual Incident
99981	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Abuse	Incident Final Section	11/25/2023	Individual Incident
99979	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	09/27/2023	Individual Incident

Users can view and access incidents that need their attention by clicking on the number in the respective column. In this example, the 912 incidents listed are "overdue". These incidents can be exported to Excel by clicking the **[Export to Excel]** button.

My Workload Dashboard

My Workload Dashboard

Work Items

Alerts

News

Documents Requiring My Attention (Grouped By Document Due Date)

Program Office	Type	Overdue	Due Today	Coming Due	Due Date not Assigned	Total
ODP-ID/A	Individual Incident	912	0	1	228	1141
ODP-ID/A	Site Level Incident	69	0	0	6	75

Detail Summary

Export to Excel

ID	MCI	Individual Name	Filing Organization	County	Primary Category	Document	Due Date	Type
99990	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	09/28/2023	Individual Incident
99989	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Behavioral Health Crisis Event	Incident First Section	07/02/2024	Individual Incident
		PCG-EIMMR,	PCG ODP EIM			Incident Final		

	A	B	C	D	E	F	G	H	I
1	ID	MCI	Individual Name	Filing Organization	County	Primary Category	Document	Due Date	Type
2	99990	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	9/28/2023	Individual Incident
3	99989	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Behavioral Health Crisis Event	Incident First Section	7/2/2024	Individual Incident
4	99981	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Abuse	Incident Final Section	11/25/2023	Individual Incident
5	99979	790377236	PCG-EIMMR, CHRISTIAN	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	9/27/2023	Individual Incident
6	99970	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Serious Injury	Incident Final Section	11/25/2023	Individual Incident
7	99969	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Law Enforcement Activity	Incident Final Section	11/25/2023	Individual Incident
8	99960	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Behavioral Health Crisis Event	Incident Final Section	11/25/2023	Individual Incident
9	99957	670378987	PCG-EIMMR, CYRUS	PCG ODP EIM PROVIDER THREE	Philadelphia	Rights Violation	Incident Final Section	11/25/2023	Individual Incident

Questions related to:

Incident Management Policy RA-impolicy@pa.gov

Enterprise Incident Management (EIM) RA-PWODPEIMASSIST@pa.gov

Resources located on the Learning Management System (LMS):

[A Guide to Working with Alerts](#)

[A Guide to Responding to a Not Approved Management Review](#)

[A Guide to My Workload Dashboard](#)