



## **INSTRUCTIONS FOR COMPLETING ESRD FACILITY INCIDENT REPORT FORM HEALTH AND HUMAN SERVICES COMMISSION FACILITY LICENSING GROUP**

Use this form to notify HHSC of an incident and the actions taken by the facility. Explain how the facility will improve care as a result of the incident. Complete the entire form with all requested attachments so that the HHSC may review the incident without requiring additional information or documents.

### **Instructions for Completing the Incident Report Form**

Print or type the information. Provide as much information as possible. **Use the facility name and license # on your license.**

**Reporting Information:** Incident reports are required for the following:

1. death of a patient (**Do not report death related to a traffic accident, pre-scheduled elective surgery, hospitalization greater than 14 days, a do-not-resuscitate (DNR) directive, a hospice patient, or a patient who withdraws from dialysis**);
2. any ambulance transport from the dialysis facility to a hospital due to the patient's emergent medical condition; this includes ambulance transports after a call to 911, whether or not the lights are flashing and or the siren is on as the ambulance leaves the dialysis facility or parking lot; **do not report non-emergent transports.**
3. conversion of staff or patient to hepatitis B surface antigen (HbsAg) positive (Submit a report with lab results for all patients and staff in the facility, with their hepatitis status, antibody status, and vaccination status);
4. involuntary transfer or involuntary discharge of a patient;
5. fire in the facility (submit the report from the fire department).

**Facility Information:** Include the facility license number, facility provider number (CCN), address, contact person, telephone number, email address, and fax number. The facility license number is on your facility license. The facility provider number is the Medicare six-digit number. The contact person will be the person the surveyor will ask for should a follow-up telephone call be needed.

**Summary:** Briefly state what happened, who was involved (e.g., RN, LVN, PCT, MD, other), and what action was taken at the time of the incident. For example: The treatment was started without incident. About 2 Y, hours after the treatment began, the PCT noted that the patient's blood pressure dropped from 130 systolic to 90 systolic. The nurse assessed the patient and found the patient was asymptomatic. The blood pressure was retaken, and it was 92 systolic. The patient was placed in Trendelenburg position, and the blood pressure was retaken after 15 minutes. The patient began experiencing dizziness, and the blood pressure was now 89 systolic. The nurse administered 200 cc normal saline. After 15 minutes the blood pressure dropped to 80 systolic, and the physician was notified. 911 was called and the patient was transferred to the hospital for evaluation. She remained there overnight and was discharged within 48 hours.

**Narrative:** Provide a narrative report of your investigation. Explain how you handled the incident and what actions you will take to reduce the potential for similar incidents in the future. For example: The investigation concluded: The patient's record was evaluated, and it was noted that the patient had been experiencing hypotension (down to 95 systolic) for the past 2 weeks during the dialysis treatment. The dietitian had identified about 3 weeks ago that the patient had gained weight following the Christmas holidays. The physician had not adjusted the patient's dry weight. An interdisciplinary team met to discuss the change in the patient's condition. The dry weight was increased by 3 kgs and a plan was discussed to assist the patient in weight loss. A representative of the interdisciplinary team met with the patient after her return to the clinic to discuss the change in the patient care plan. The patient agreed with the dietary plan and will meet with the dietitian bi-monthly to evaluate her progress. The patient's fluid status will be evaluated monthly or as required according to the dietitian's report. Staffing on 091010 met state requirements. The registered nurse assessed and documented the assessment at the time of the incident. QA discussed failure of staff to identify and report the patient's hypotension for 2 weeks. Educated staff and physicians. This QA indicator will be completed ongoing on a monthly basis.

**Treatment Information:** Check the services type (HD In-Center, PD, or Home HD). Also check the access type (graft, fistula, central catheter, or PD). Please complete the charts based on the example below. Please attach copies of the last 3 treatment sheets. If the patient is deceased, also include the mortality review of the patient.

Date	Pulse		Blood Pressure		Weight	
	Pre	Post	Pre	Post	Pre	Post
2/14	80	74	130/74	120/65	84kg	80kg

Hct. or Hgb.		Kt/V or URR		Potassium	
Date	Result	Date	Result	Date	Result
2/9	33.1	2/1	67%	2/1	4.5

**Patient Transfer:** If the patient is transferred to another facility, please include the name of the facility and the date of transfer. In addition to the above information, please include the following: Plan of care and reassessment of the patient's plan of care; evidence of interventions with the patient and/or care-giver (i.e. progress notes); coordination with Network 14; physician's orders; copies of letters to patients; and copies of policies/procedures for involuntary transfer of a patient.

**Signature:** The supervising nurse must print name and title, sign, and date the incident report. Fax or mail the completed incident report to the number or address provided. Do not put any information in the box marked "HHSC Use Only."



## ESRD FACILITY INCIDENT REPORT FORM

### Reporting Information

#### Reportable Incident:

- |   |   |
|---|---|
| <input type="checkbox"/> Death of a Patient                             | <input type="checkbox"/> Hospital Transfer              |
| <input type="checkbox"/> Hepatitis B Conversion – Patient               | <input type="checkbox"/> Hepatitis B Conversion - Staff |
| <input type="checkbox"/> Involuntary Transfer or Discharge of a Patient | <input type="checkbox"/> Fire in the Facility           |

Date of this report: \_\_\_\_/\_\_\_\_/\_\_\_\_ Date of the incident: \_\_\_\_/\_\_\_\_/\_\_\_\_

Time of the incident: \_\_\_\_\_  AM  PM Date of last dialysis treatment: \_\_\_\_/\_\_\_\_/\_\_\_\_

### Facility Information

Facility License #: \_\_\_\_\_ Facility Provider (CCN) # \_\_\_\_\_  
Name of Facility: \_\_\_\_\_  
Address: \_\_\_\_\_ City: \_\_\_\_\_ Zip: \_\_\_\_\_  
Contact Person: \_\_\_\_\_ Telephone: \_\_\_\_\_  
Email: \_\_\_\_\_ Fax Number: \_\_\_\_\_

### Summary

**Provide a brief summary of the incident (what happened, who was involved, what action was taken at the time of the incident)** *(Please attach a separate sheet if necessary.)*

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### Narrative

**Provide a narrative report of your investigation (how was the incident handled, what actions will be taken to reduce the potential of similar incidents in the future)** *(Please attach a separate sheet if necessary.)*

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### Action

**Action you will take as a result of this incident:** *(check all that apply)*

- |  |   |
|--|---|
| <input type="checkbox"/> Education of staff  | <input type="checkbox"/> Corrective action and monitoring |
| <input type="checkbox"/> Education of patient  | <input type="checkbox"/> Revision of policy/procedure     |
| <input type="checkbox"/> Education of care-giver   | <input type="checkbox"/> Development of policy/procedure  |
| <input type="checkbox"/> Measure, analyze, and track in OAPI (Quality Assessment and Performance Improvement)      |   |
| <input type="checkbox"/> Information is incomplete at this time. A follow-up narrative will be sent within 30 days |   |
| <input type="checkbox"/> Other: _____  |   |

## Patient Information

**If the incident involves a patient, please complete the following:**

Patient's First Name: \_\_\_\_\_ Middle: \_\_\_\_\_ Last: \_\_\_\_\_  
 DOB: \_\_\_\_/\_\_\_\_/\_\_\_\_ Started dialysis: \_\_\_\_/\_\_\_\_/\_\_\_\_ Admitted here: \_\_\_\_/\_\_\_\_/\_\_\_\_  
 Diagnoses (all): \_\_\_\_\_

Current Condition: *(check one)*

- Return to previous modality at this facility  
 In Hospital \_\_\_\_\_ *(name of hospital)*  
 Deceased

## Treatment Information

Service Type: *(check one)*

- HD In-Center  
 PD  
 Home HD

Access Type: *(check one)*

- Graft  Fistula  
 Central Catheter  PD

Current Dry Weight: \_\_\_\_\_ Kg Total Heparin Dose: \_\_\_\_\_ Units Reuse #: \_\_\_\_\_

**Complete the following charts for the treatment involved, the last two treatments, and the most recent labs. Please attach copies of the last 3 treatment sheets. If the patient is deceased, also include the mortality review of the patient.**

Date	Pulse		Blood Pressure		Weight	
	Pre	Post	Pre	Post	Pre	Post

Date	Result	Date	Result	Potassium	
				Date	Result

## Patient Transfer

**Complete this section only if the patient was transferred to another facility.**

Name of Facility: \_\_\_\_\_ Date of Transfer: \_\_\_\_\_

In addition to the above information, please include the following: plan of care and reassessment of the patient's plan of care; evidence of interventions with the patient and/or care-giver (i.e. progress notes); coordination with Network 14; physician's orders; copies of letters to patient; and copies of policies/procedures for involuntary transfer of a patient.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_

**Forward within ten business days of incident to:**

Health and Human Services  
 Commission  
 Complaint and Incident Intake  
 Mail Code E249  
 PO Box 149030  
 Austin, Texas 78714-9030  
**OR**  
 FAX: 877-438-5827  
**OR**  
 cii.hcq@hhsc.state.tx.us

**HHSC Use Only**

Reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
 No Action required  
 Action required:  
 \_\_\_\_\_  
 \_\_\_\_\_  
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