

Appendix 6
Protective Service Level System Levels and Duties
 May 1, 2005

Level	Criteria	Provider	P&A	DDPA/DD Unit
1. No A/N/E	a. Not a reportable incident as determined by RDG.	- May review with P&A. Handle through other system/processes.	- Provide TA to provider - Document as I&R	N/A
2. Agency Action	a. Suspected A/N/E b. AND no harm or risk of harm to consumer is evident. c. AND this is not a repeat occurrence of a similar incident w/in 12 months (first time incident)	- Assess Risk Mgmt - Notify RDDPA and P&A w/in 1 working day. - Complete written response (may be incident report) - Send to RDDPA and P&A w/in 5 working days. - Notify guardian upon completion of review.	- Assess Risk Mgmt - Provide TA to provider - Review documentation - Document as I&R	<u>Regional CM</u> - Review documentation - DDCM to follow up if necessary through QER process <u>State</u> - Provide TA as requested.
3. Corrective Action	a. Suspected A/N/E b. AND no harm to consumer is evident (risk of harm may be present) c. AND this is a repeat occurrence of a similar incident w/in 12 months -consumer was not placed at risk of harm d. OR this is not a repeat occurrence of a similar incident w/in 12 months (First time incident) – consumer was placed at risk of harm. e. OR insufficient response to Agency Action (determined by DD or P&A).	- Assess Risk Mgmt - Notify guardian, P&A and RDDPA or (DDCM if RDDPA is not available) within 1 working day. - Complete written documentation (may be incident report) within 5 working days. Must include a time specific response plan (system and individual issues) and steps to prevent recurrence. - Send documentation to P&A and RDDPA - Notify guardian upon completion.	- Assess Risk Mgmt - Provide TA to provider - Review documentation - Option to request Investigative Action - Document as I&R; open as Assistance or PSI if warranted.	<u>Regional CM</u> - Review documentation - Respond if needed - DDCM to follow up through QER process or immediately if warranted - Option to request Investigative Action. <u>State</u> - Provide TA as requested.
4. Investigative Action	a. Suspected A/N/E b. AND harm to consumer is evident. c. OR this is a repeat occurrence of a similar incident w/in 12 months – consumer was placed at risk of harm d. OR insufficient response to Corrective Action (determined by P&A or DD) e. OR Professional Judgement	- Assess Risk Mgmt - Notify guardian - Notify P&A within 8 hours - Notify RDDPA (DDCM if RDDPA) not available) within 1 working day - Comply with all requirements of Investigative Action protocol including notification to the State DD unit.	- Assess Risk Mgmt - Provide TA to provider - Follow current P&A Protective Services policy - Document as Protective Service Investigation	<u>Regional CM</u> - Review report with complete documentation. - DDCM to follow up with consumer and guardian through QER process or as soon as is needed depending upon the incident. <u>State</u> - Review report with complete documentation - Provide TA and follow up as requested or as needed in terms of licensure issues.

Allegations that would otherwise fall under the Agency Action or Corrective Action Levels may be upgraded to Investigative Action at the discretion of the facility CEO or designee.

Refer to Definitions/Explanation of Terms in the Appendix for terms used in criteria, notification and TA.

RDDPA – is the Regional DD Program Administrator. DDCM – is the regional DD case manager.