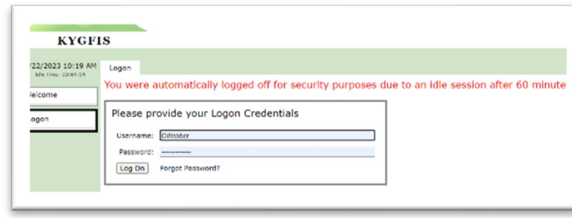
6/2024

CLASSES 1, 2, & 3 – CLIENT SPECIFIC SAFETY
STEP BY STEP GUIDE IN ENTERING INCIDENT REPORTS INTO KYGFIS

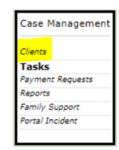
NOTE: AN "INCIDENT" IS DEFINED AS "ANYTHING THAT ALTERS THE STATUS OF THE CLIENT"
THIS MEANS ANYTHING BEHAVIORAL, EMOTIONAL, MENTAL, AND/OR PHYSICAL.

This Guide Includes the Following:



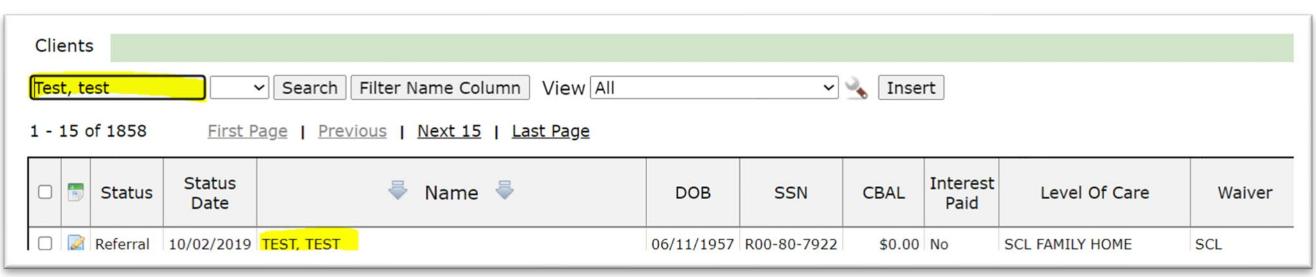
GETTING STARTED: HOW TO ENTER CLASSES 1, 2, & 3 INCIDENTS

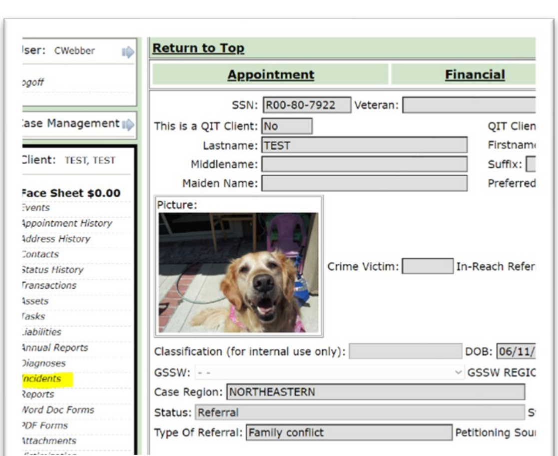
1. **Log on**: LOG ON TO KYGFIS at www.ky.panosoft.com. Bookmark the web address for easy future access. If you have not been given a Username and Password, contact Jessica.Wayne@ky.gov, Administrator, and she will sign you up.
2. **Username/Password**: Enter your Username and Password and click on "log on".
3. **Find Client**: Click "Clients" in the Case Management Box (left of screen).



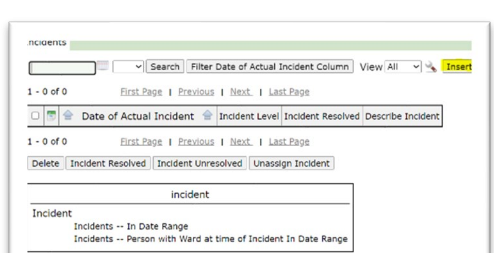
4. **Enter Client Name**: Enter client's Last name, followed by a comma, and then their first name (Example: Test, Test), then click on "Search". This box is NOT case sensitive, but it does require the correct spelling of the name.

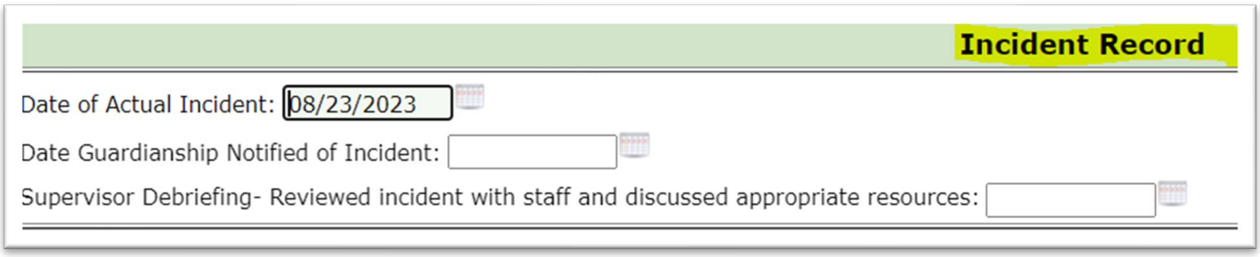
5. **Identify Client's Name:** When the search results appear, "Test, Test" (or the real name you entered) should appear within the alphabetized list (generally, it is the first name on the first line). If the name does not show, delete the name out of the box and try again. Once the name appears, click on name and file will open to the "Face Sheet" The header will say "Client Information."





6. **Find Incident Screen:** To add a new Incident, use the left navigation bar and click on "Incidents".
7. **How To Enter Incident Info:** When the Incident page opens, click on "Insert" (top right). The Heading will say "Insert Incident Information" - you are now in "Insert Mode."





8. **<u>Within Incident Record - Date of Actual Incident:</u>** The current date is automatically populated within this field. However, if the incident occurred on a different date, then enter the correct date using the date format of MM/DD/YYYY. The date of an incident is provided to the GSSW by the provider/agency. You can choose dates by either clicking on the calendar next to the field or you may type in a date using the date format above. Once you have entered a date, tap the "Tab" key on your keyboard and you will move to the next data field.

9. **<u>Within Incident Record - Date Guardianship Notified of Incident</u>**: This is the date the provider/agency notified you of the incident. Enter this date in the blank field or click on the calendar and choose a date. If the incident is received via telephone, then the date of the telephone call is the Date Guardianship was Notified of Incident. If the incident in written form, such as a fax or e-mail, then the e-mail/fax date would be the Date Guardianship was notified. Regardless of how you receive notice of an incident, an actual incident report is to be submitted and uploaded to KYGFIS as an attachment to the Class 1, 2, or 3 generated.

****EXCEPTION:****
SCL Agencies, at the request of BHDID, combined Classes 1 & 2, therefore, only 2 incident levels are utilized: Class 2 (non-critical) and Class 3 (critical). **For SCL Agencies**, the GSSW will determine what class is appropriate for the Incident Report and will input into KYGFIS, accordingly. All other agencies still use Classes 1, 2, & 3 categories.

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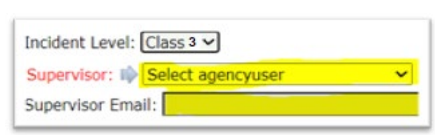
10. **<u>Select Incident Level</u>**: The Provider/Agency will assign the Incident Level (Class 1, 2, or 3) to Incident Reports which you will select from the drop down box. NOTE: In some cases, the GSSW will not agree with the level assigned by the Provider/Agency. With Supervisor approval, the level of Incident may be changed. **Field must be completed before the document can be saved.**

11. **<u>Enter Supervisor Info</u>**: When the Incident Level Class 3 is chosen, a "Supervisor" box will appear. Choose the name of your supervisor from the drop-down box. Their address will populate the "Supervisor Email" box. Your supervisor will receive a copy of the Class 3 entered, once saved. In the event the supervisor position is vacant in your region, please choose the "back-up" supervisor's name from the drop- down box for them to receive the autogenerated email. Only one e-mail address can be entered! **Field must be completed before the document can be saved.**



12. **<u>Scroll Down To Appropriate Incident Report Section:</u>** The Definitions for Classes 1-3 are provided, as well as the categories that fall within each Class level. Once the Incident Level is determined, check the box that best describes the incident. Choose only one category. If none apply, then choose the "Other" box for the class you feel is appropriate. In cases where it is hard to determine the Class, choose the highest Incident Level and the most serious category being reported.

Class 1 Incident Report:
Definition: Minor in nature; does not create a serious consequence such as an explained scratch, bruise, medication error that does not require a medical intervention.
Categories of a Class 1 Incident Report **(Choose Only One)**
- ☐ Fall without Injury
- ☐ Self-Inflicted Minor Injury
- ☐ Minor Injury
- ☐ Skin Issue
- ☐ Aggressive Act (without injury)
- ☐ Resident to Resident (without injury)
- ☐ Resident to Staff (without injury)
- ☐ Medication Error (minor in nature)
- ☐ Other Incident (without serious consequence)

Class 2 Incident Report
Definition: Class 2 is serious in nature; includes but is not limited to the use of the emergency room, the use of physical or chemical restraint, police involvement.
Categories of a Class 2 Incident Report **(Choose Only One)**
- ☐ Use of Restraint
- ☐ Emergency Medical Care
- ☐ Threat of harm (Resident to Resident)
- ☐ Fall with Injury Requiring Treatment Beyond First Aid
- ☐ Aggressive Act (with injury)
- ☐ Other Incident with Potential to Cause Serious Injury
- ☐ Resident to Resident (minor injury)
- ☐ Resident to Staff (minor injury)
- ☐ Serious Injury of Known Cause without Suspicion of Abuse, Neglect, or Exploitation.

Class 3 Incident Report:
Definition: Grave in nature; this includes suspected abuse, neglect, or exploitation, a medication error which requires a medical intervention, suspicious bruising, the arrest of an individual, death of an individual, or any occurrence that endangers or is life-threatening to the health, safety, and welfare of the client.
Categories of a Class 3 Incident Report **(Choose Only One)**
- ☐ Suspected Abuse, Neglect, or Exploitation
- ☐ Death of Resident by Natural Circumstances
- ☐ Death of Resident by Unnatural Circumstances
- ☐ Resident on Resident Aggression with Serious Injury
- ☐ Resident on Staff Aggression with Serious Injury
- ☐ Suicidal Ideation/Threats
- ☐ Suicide Attempt
- ☐ Homicidal Ideation/Threats
- ☐ Homicide Attempt
- ☐ Resident Found Out of Level of Supervision
- ☐ Staff to Resident: (Revised 11/23/15); ANY staff to resident abuse (verbal/physical), neglect, or exploitation whether minor or major in nature is to be investigated immediately! (This means staff need to immediately review the Class 3 incident and evaluate what needs to be done to ensure client is no longer in danger from the staff and to prevent further instances. Determination should include: does client need to be removed from the agency/facility; can the accused staff have further contact with client; should APS be notified; should police be called; should charges be filed; does client need treatment, etc)
- ☐ Missing Person/Elopement/AWOL
- ☐ Sexual Abuse/Assault
- ☐ Serious Injury of Known Cause Along with Suspicion of Abuse, Neglect, or Exploitation
- ☐ Serious Injury of Unknown Cause
- ☐ Medication Error (Requires Medical Intervention)
- ☐ Other

Characters typed: 0 (limit: -1)

Incident Details

APS Referral: APS Referral By: APS Other Referral:
Law Enforcement Notified: Law Enforcement Notified By: Other:

First and last name of person or persons in the presence of client at the time of incident:

First Name:	Last Name:	Terminated: ☐
First Name:	Last Name:	Terminated: ☐
First Name:	Last Name:	Terminated: ☐
First Name:	Last Name:	Terminated: ☐
First Name:	Last Name:	Terminated: ☐

Refused to provide name of person with client at time of the incident: ☐
Agency refused to provide a formal incident report to the Guardian of this client: ☐

Describe Incident:

13. **Incident Details - APS Referral**: "APS" is the acronym for Adult Protective Services which is located in the Department for Community Based Services (DCBS). If the worker safety incident is referred to APS, regardless of source, choose "Yes" from the drop-down box. Otherwise, choose "No." **Field must be completed before the document can be saved.**

14. **Within Incident Details – APS Referral By**: This field is asking who made the APS referral. Using the drop down box, pick one of the three choices.

15. **Within Incident Details – APS Other Referral**: If "Other" is entered in the "APS Referral by" field, the name of the person or agency is to be identified in this field.

16. **Within Incident Details – First and Last Name of Person or Persons in the Presence of Client at the Time of Incident:** Guardianship staff is to secure the name of the person or persons in the presence of our client at the time of the incident. Enter the name(s) of those who witnessed guardianship staff being threatened or harmed. **NOTE: Exception - If no other parties were present, and it was merely Guardianship staff and the client, enter the client's name, FIRST Name, then LAST Name. If a person(s) is present but their name is unknown, enter "TBD" in the first and last name fields, then follow-up with getting that person's name.**

17. **Within Incident Details – Terminated Boxes**: In the event the provider/agency employee is terminated, please click "terminated.".

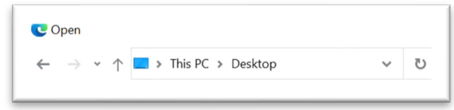
18. **Within Incident Details –Refused to Provide Name of Person with Client at Time of the Incident**: If an agency fails to give you the first and last name of an employee that was with our client at the time of an incident, please mark this box.

19. **Within Incident Details –Agency Refused to Provide a Formal Incident Report to the Guardian of this Client**: Providers may notify GSSW of an incident by fax, e-mail, or phone, but a formal incident report needs to be received, scanned, and attached to the incident in KYGFIS, therefore, request that Providers submit the formal Incident Report within seven (7) days. Formal Incident reports may come in many forms: standardized (Ex: SCL providers), nursing notes, progress notes, e-mails, and faxes. Our records are subject to Open Records Requests, and documents, submitted by providers, will often show incidents in a different light, other than what you find, after that matter has been investigated. Discrepancies can become critical very quickly. Family Care Homes, Personal Care Homes, and other small entities that care for our clients, are required to report incidents per statute (KRS 216.515). However, if a client lives with an unrelated caregiver, or family member, we still request a written report of the incident, utilizing the seven (7) day deadline. An email or handwritten account from family/caregiver will suffice as a formal incident report. Incident reports provide "proof" of our actions, as guardians, in the course of ensuring the health, safety, and welfare, of the client. GSSW's should attempt to secure incident reports, but in the event the agency fails to respond within the seven (7) day deadline, check the box, "Agency Refused to Provide a Formal Incident Report to the Guardian of this Client." This data is collected and reviewed by central office. Agencies/providers, deemed to be problematic, will be addressed by management.

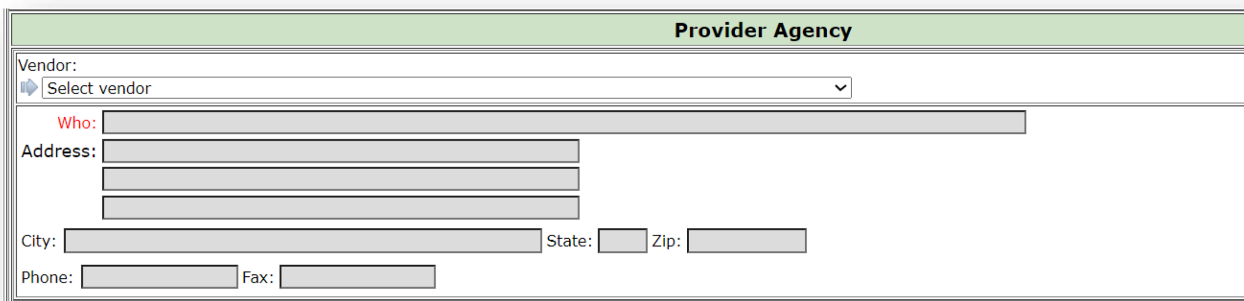
20. **Within Incident Details –Describe Incident:** Describe, in detail, the sequence of events that led to the event involving the client of the CHFS Guardianship Program. The description should explain what took place, before, and during the event. **Field must be completed before the document can be saved.**

What To Do When Populating Large Text Boxes	What NOT To Do When Populating Large Text Boxes
• Enter **ONLY** One Paragraph Detailing Who, What, When, Where. Be Clear, Concise & Understandable.	• No Misrepresentations and Do Not Enter "See Attached"
• Use Accurate Grammar, Spelling, & Complete Sentences	• No Grammatical, Spelling Errors, and /or Incomplete Sentences
• Emails Should Be Added To Follow-ups As Attachments	• Do NOT Copy Email Verbiage and/or Other Verbiage Into the Text Box. It Creates/Causes Blank/Empty/Extra Lines Inside the Box
• Ask Providers For Further Report Details to Better Clarify the Chain of Events That Took Place	
• Save Incident Report Making Sure All Field Headers In RED Are Populated	

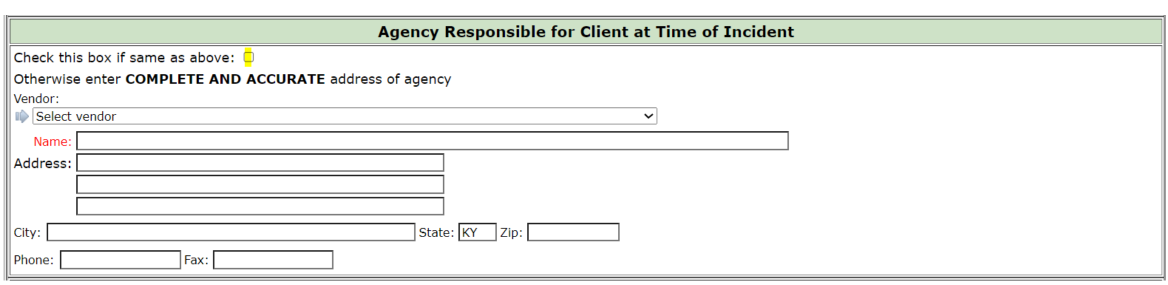
NOTE: After you save the incident information, now is the time to attach emails/photos or other files to the record. First make sure you have SCANNED in the documents to be upload. (You can save them to your Desktop.) **Return to the Incident Record in KYGFIS. Reference the Incident section to the left. Click "Files" and a new window will appear. In the top right of the Files window, you will see "Insert." Click "Insert" and then "Choose File. This will take you to your "Open" files window. Select the appropriate file then "Open" at the bottom of the window. The document will then be attached to the record and you will need to click "Save" to finalize the upload.**



21. **Provider Agency Section – Select Vendor (Primary Vendor):** Click on the drop-down arrow and an extensive list of providers/vendors/agencies will appear. Choose one. Once a vendor has been chosen, the remaining fields will auto-populate. A Vendor must be chosen from the drop-down box before the document can be saved. **NOTE: A "Vendor" must be chosen from the drop-down box. If the vendor is not listed, please ask your supervisor, or email the designated Benefits Branch Staff, to add the vendor for you. <u>DO NOT</u> "key in" or "type in" a vendor name/address in the Select Vendor drop-down area.**



22. **Agency Responsible for Client at the Time of the Incident (Secondary Vendor): Check Box or Select Vendor:** If the Vendor you entered in the Provider Agency box, is also the provider responsible for our client at the time of the incident, then click the box at the top (highlighted in the image below) and their vendor information will auto-populate this section.



However, if the Provider Agency vendor was not with our client at the time of the incident due to other obligations (such as being transported from one location to another, attending a day treatment program, or attending a similar event, outside of the Provider Agency's direct supervision), then use the drop-down box to choose the Secondary Vendor that was with our client at the time of the incident.

If the Vendor is not listed in the drop-down box, but you think the vendor will be utilized in the future, you can have it added to the list. Once the new vendor is added, go back and select them from the vendor list and the other fields will auto populate. **Field must be completed before the document can be saved. NOTE: If the vendor is not listed, please contact the designated Benefits Branch Staff to add the vendor for you. <u>DO NOT</u> "key in" or "type in" a vendor name/address in the Select A Vendor drop-down area.**

SCENARIOS TO REVIEW

EXAMPLE 1: Luke Skywalker resides in a CAKY Family Home, (Primary Vendor), located in Frankfort. He is transported by Bluegrass Ultra Transit (BUS) to spend the day at the Frankfort Active Day Treatment Program. When arriving at the day treatment program, Luke exits the BUS. Before entering the facility, Luke calls you on his cell phone and he is having behavior issues, upsetting other clients in transport. In this scenario, Bluegrass Ultra Transit (Secondary Vendor) is then the Agency Responsible for Client at the Time of the Incident and you would choose their Vendor Name from the drop-down box.

EXAMPLE 2: A client has an incident while in the temporary custody of family/friend and you know the family/friend of the client is not a Vendor and will NOT likely be used again, therefore, there would be no need to have their contact information added to the drop-down box. In this scenario, go ahead and enter the full and complete contact information for the family/friend. Type in their First Name and Last Name, (make sure both are spelled correctly), and then a complete United States Postal Service (USPS) deliverable address. The data you enter will be specific to that incident, and to that client, but will NOT be listed in the Main Vendor List. If later you determine that you WILL need to reference the family/friend contact information more often, as stated above the Example Sections, contact the designated Benefits Branch Staff to get them added to the Main Vendor List.

EXAMPLE 3: What about a client **who lives alone** and an incident occurs? In this scenario, the client is both Primary AND Secondary Vendor. Enter the client's First Name, Last Name, and Contact Information into the Provider Agency section as well as the Agency Responsible for Client at Time of Incident section.

23. **GSSW Initial Action Plan – Safety Plan**: Describe what actions you took or will take to ensure your safety or the safety of others. Detail who will you notify, did you complete the Cabinet's Incident Report, and if you did, provide the date and time when you submitted that information. **IMPORTANT REQUIREMENT: PLEASE,NO E-MAILS AND NO EXTRA/EMPTY/BLANK LINES IN THIS BOX! Enter ONE PARAGRAPH ONLY and then attach the actual e-mail to the follow-up but NEVER copy/paste the e-mail in this box.** **Field must be completed before the document can be saved.**

24. **Within GSSW Initial Action Plan - Additional Follow Up Needed**: If it is determined that no other follow-up is needed, change field to "No," which CLOSES THE INCIDENT. It is imperative that the "GSSW Initial Action Plan" and the "Additional Follow Up Needed" fields support each other! There can be multiple follow up reports on the same incident. It is important that all information and subsequent follow-up efforts in reference to the incident are recorded as follow-ups to the incident until the incident is completely resolved. This requirement applies to the initial incident report box called "Describe Incident" plus the box called GSSW Initial Action Plan. **NOTE: Supervisors review Report 2g to monitor Follow-Up Needed entries.**

FOR SUPERVISORS

Supervisors are to review Report 2g – Active Client Incidents with Follow Up Needed.

Active Incidents show up on the 2g Report because the "Additional Follow Up Needed" is marked "yes". Following the Supervisor's review of the Incident, confirming it has been resolved and the required documentation is attached (i.e. Provider Incident Report), they will "Resolve" the Incident so it is no longer reflected on the Report.

STEPS TO RESOLVE

1. Click on Incidents
2. Check the box next to the Incident you want to resolve.
3. At the bottom of the list of Incidents you will see an "Incident Resolved" button. Click on it and a white box will appear that says, "1 incident record(s) will be resolved. Continue?" Click on "OK" (or "cancel" if you want to cancel the action).
4. A new box will appear that says "Incident(s) resolved Complete", Click on OK.

To double-check that the incident has been "Resolved", the Supervisor can reopen the Incident report and scroll down to the bottom to confirm the process was completed successfully, by whom, and the date it was resolved.

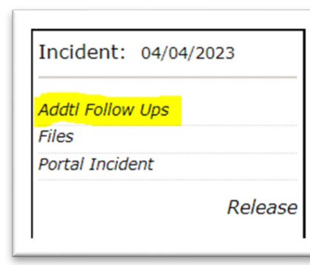
Incident Resolved: Yes
Incident Resolved by: < Your name will populate here >
Incident Resolved Date: < Current date will populate here >

Alternately, there is an "Incident Unresolved" button. In the course of reviewing Incident Reports, the Supervisor may determine an incident is not resolved although the "Additional Follow Up Needed" is marked as "no," Following the same steps above, to Resolve an Incident, you can also use as a guide to "Unresolve" an Incident.

25. **Notes Section – General Note Taking**: The Incident Notes Section is for any generic notes that you might want to make for yourself. The text within this field is not reviewed nor part of the reportable incident report. For your use only. It is not acceptable to record Incident information in the "Event" section of KYGFIS. However, there are times when a GSSW can use incident activities as case management contact details which would then allow you to enter the case management contact as a follow-up to the incident under the Incident section of KYGFIS, as well as a case management contact under the "Events" section in KYGFIS.

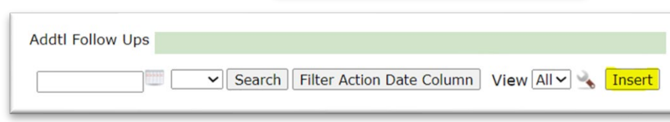
IF YOU HAVE UPDATED INFORMATION FOR AN EXISTING CLASS 1-3 INCIDENT; ENTER IT AS A FOLLOW-UP!

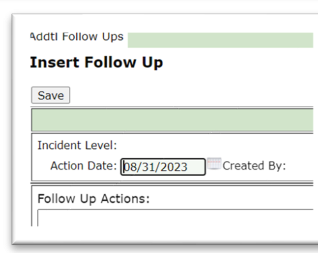
26. **Updating/Adding Info to an Existing Incident:** Identify and click on the existing incident requiring updates. The incident will open and you will be in "Insert" mode meaning you will be ready to add information.



27. **Reference Navigation Bar to Assist In Adding Info:** On the left of the screen, see the Incident navigation box and click on "Addtl Follow Ups" and a new screen will appear.

28. **Navigate to Insert Follow Up Screen:** Click on "Insert" in the top right-hand corner and it will take you to the Insert Follow up screen. In the "Follow Up Actions" section, enter the additional information in the text box. Follow the recommendations below regarding "What To Do . . and What NOT To Do .. When Populating Large Text Boxes."





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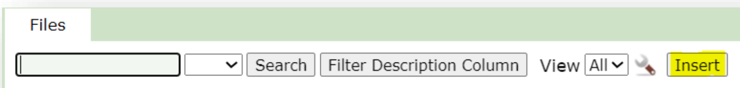
• Ask Providers For Further Report Details to Better Clarify the Chain of Events That Took Place	
• Save Incident Report Making Sure All Field Headers In RED Are Populated	

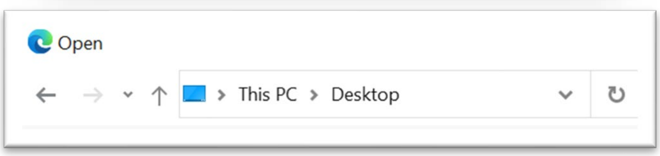
29. **Review and Save What You've Input:** Once the information is entered, review it to ensure there are no spelling or grammatical errors. Following your review, if no errors are detected, click on "Save". **NOTE: There are multiple "Save" options that can be found at the top or bottom of the screen. If you refer to the "Insert Follow Up" picture above, you can see the "Save" button option at the top of the screen.**

30. **View Entries After Input:** Incident Reports can have multiple follow-ups. To view what has been entered, you can view your Follow-Ups by clicking on the "Prev" or "Next" buttons at the top of the screen. These two buttons will take you to the beginning and ending of follow-ups for each client.

ATTACHING AN E-MAIL OR ANY OTHER DOCUMENT TO A FOLLOW UP:

31. **Follow-ups and Attachments:** Follow-ups can be initiated several ways: e-mails from various parties, telephone calls, or other incident reports can also serve as a follow up to an incident. If you have a document you want to attach, SCAN the document, save it to your desktop, then attach it to the follow up by utilizing the "Files" option in the Navigation Bar.





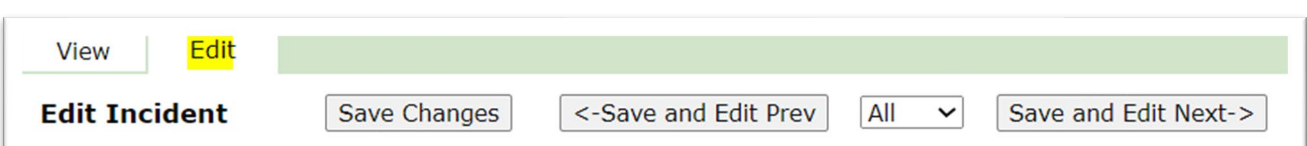
NOTE: To attach emails/photos or other files to the record. First make sure you have SCANNED in the documents you have to upload/attach. You can save them to your Desktop or wherever you prefer. Return to the Incident Record in KYGFIS. Reference the Incident section to the left. Click "Files" and a new window will appear. In the top right of the Files window, you will see "Insert." Click "Insert" and then "Choose File". This will take you to your "Open" files window. Select the appropriate file then "Open" at the bottom of the window. The document will then be attached to the record and you will need to click "Save" to finalize the upload.

EDIT MODE:

32. **Edit Mode – Corrections to Records:** Edit Mode is used to make a correction to an already saved Incident Report or to make a correction to the saved, subsequent, follow-ups (unlike the Event section of KYGFIS).

33. **Identify Appropriate Incident Record:** Find the appropriate client record and navigate to "Incidents" from the left navigation bar (always double-check that you have selected the appropriate client file).

34. **Select Incident:** Hover your mouse pointer over the incident that needs to be edited and click one time to open the record and you will see 2 tabs at the top: "View" and "Edit."



35. **Edit Record:** Click on "Edit." Make the necessary modifications/edits. When edits have been completed, click "SAVE CHANGES." Follow the recommendations below regarding "What To Do . .and What NOT To Do .. When Populating Large Text Boxes."

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• Enter **ONLY** One Paragraph Detailing Who, What, When, Where. Be Clear, Concise & Understandable.	• No Misrepresentations and Do Not Enter "See Attached"
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• Emails Should Be Added To Follow-ups As Attachments	• Do NOT Copy Email Verbiage and/or Other Verbiage Into the Text Box. It Creates/Causes Blank/Empty/Extra Lines Inside the Box
• Ask Providers For Further Report Details to Better Clarify the Chain of Events That Took Place	
• Save Incident Report Making Sure All Field Headers In RED Are Populated	

36. **Multiple Edits:** If you need to edit multiple incident reports, click on "SAVE AND EDIT PREV" or "SAVE AND EDIT NEXT." Those options will allow you to scroll back and forth to edit any other incident reports, as needed. Be sure to click "Save" after editing each record.

37. **Exit Incident Screen**: When you have completed all Incident activities, select "Release" in the Navigation Bar to return to the FaceSheet.