

OMH NIMRS DEFINITIONS FOR INCIDENT TYPES AND SEVERITY RATINGS

Incident Type – Subtype		Definition	Required Reporting
Abuse/ Neglect Report to JC & OMH	ALLEGATION OF ABUSE & NEGLECT: Abuse and neglect involve an act (or failure to act) by an employee.		Report to JC & OMH 1. Report to the JC: Call 1-855-373-2122 or submit the web form which can be accessed at https://vpcr.justicecenter.ny.gov/WI/ 2. Report to OMH: After the report is made to the JC, the information will be transferred to the Justice Center Import queue in NIMRS . The report must be imported as a NIMRS incident and then “emailed” to OMH. 3. Investigate, document findings and “close” report in NIMRS within 45 days
	– Physical Abuse	Non-accidental contact with a client which causes or potentially causes physical pain or harm	
	– Psychological Abuse	Includes any verbal or nonverbal conduct that is intended to cause a patient emotional distress.	
	– Sexual Abuse	Any sexual contact involving a custodian and a patient, or any sexual contact involving a patient that is encouraged or allowed by a custodian	
	– Neglect	Any action, inaction or lack of attention that breaches a custodian's duty and that results in or is likely to result in physical injury or serious or protracted impairment of the physical, mental or emotional condition of a patient.	
	– Deliberate Inappropriate Use of Restraint	Restraint that is done for the purpose of punishment, for the convenience of a custodian, or with deliberate cruelty.	
	– Obstruction of reports of Reportable Incidents	Conduct by a custodian intended to impede the reporting or investigation of a reportable incident.	
	– Unlawful use/administration of a controlled substance	Any illegal administration, use, or distribution by a custodian of a controlled substance (e.g. codeine, Oxycontin, Ambien, cocaine)	
Death Report to JC & OMH	DEATH: Death of a client of a State operated or licensed mental health provider who was enrolled in or receiving services from the facility or program at the time of the death. Must include any patient death occurring within 30 days of discharge from a mental health program. (Although Part 524 Regulations condenses the definition, NIMRS will continue to use the following discrete sub-types).		Report to JC & OMH 1. Report to the JC: Call JC Death Reporting Line at 1-855-373-2124 to make initial report 2. Report to OMH: After the report is made to the JC, the information will be transferred to the Justice Center Import queue in NIMRS . The report must be imported as a NIMRS incident and then “emailed” to OMH. 3. Submit Report of Death to the Justice Center using NIMRS within 5 days of the initial report to the JC.
	Death Subtypes in NIMRS:	Death of a client due to known medical causes following the expected course of illness or disease, while under treatment consistent with standard medical practices (a natural death)	
	– Natural Causes, Expected	Death of a client due to unexpected natural causes.	
	– Natural Causes, Unexpected	Death of a client apparently caused by an act by another individual.	
	– Homicide of Client	Death of client caused by deliberate self-inflicted injury intended to end his/her own life.	
	– Suicide	Accidental and unexplained, except those related to treatment provided.	
	– Accidental	Death of a client which is related to the lack of treatment provided in accordance with generally accepted medical standards.	
	– Lack of Appropriate Treatment	Death of a client associated with the use or attempted use of restraint or seclusion.	
	– Restraint or Seclusion	Cause of death is not known.	
	– Unexplained		

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* In some cases definitions are abbreviated. The revised 14 NYCRR Part 524 contains full incident definitions.

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<div>Significant Incidents</div> <div>Report to JC & OMH (if event occurs on program premises or under supervision)</div>	SIGNIFICANT INCIDENT: The following incidents are Significant Incidents , reportable to the Justice Center and OMH, when they occur on program premises or when the patient was under the actual or intended supervision of a custodian:		<div>Report to JC & OMH</div> <div>1. Report to the JC: Call 1-855-373-2122 or submit the web form which can be accessed at https://vpcr.justicecenter.ny.gov/WI/</div> <div>2. Report to OMH: After the report is made to the JC, the information will be transferred to the Justice Center Import queue in NIMRS. The report must be imported as a NIMRS incident and then “emailed” to OMH.</div> <div>3. Investigate, document findings and “close” report in NIMRS within 50 days</div>
	Adverse drug reaction, Severe**	Unintended, undesirable, unexpected or excessive response to a medication given at normal doses, which results in serious injury or harm.	
	Assault**	A violent or forceful physical attack by a person other than a custodian, in which a patient is either the victim or aggressor, and which results in serious injury or harm.	
	Child Missing from Staff Supervision	A patient of an outpatient mental health program who is under the age of 18, and whose whereabouts are not accounted for when expected to be present or under the supervision of an employee. (included under “Missing Patient” in Part 524)	
	Choking	A choking event experienced by a patient as a result of ingestion of food or other foreign object, resulting in life threatening harm or admission to a hospital, and there is a written directive for such patient concerning risk of choking in place at the time of the event.	
	Crime: an event which is or appears to be a crime under New York State or Federal law which 1) involves a patient as a victim, or 2) which affects or has the potential to affect the health or safety of one or more patients of the program or 3) has the potential to have a significant adverse impact on the property or operation of the program.		
	Crime Subtypes in NIMRS: – Homicide Attempt	Act of aggression intended to kill victim.	
	– Homicide by Client	If client is victim of homicide, report as client death.	
	– Narcotics, Sale or Possession	Include client acts which are or appear to be crimes.	
	– Robbery	Include client acts which are or appear to be crimes.	
	– Possession of Deadly Weapon	Possession of deadly weapon not properly registered or otherwise considered a crime.	
	–Other Crime	Crime not listed elsewhere which endangered or potentially endangered the life, health, or welfare of a client or other individual. Include client acts which are or appear to be crimes.	
	Falls by Patients**	Events where patients trip, slip or otherwise fall in an inpatient or residential setting, resulting in serious injury or harm	
	Fights**	A physical altercation between two or more patients, in which there is no clear aggressor and no clear victim, resulting in serious injury or harm	
	Fire Setting**	Action by a patient, either deliberate or accidental, that results in fire on program premises and which causes serious injury, or a risk of serious injury, to any person.	
	Injury of Unknown Origin	Any suspicious injury to a patient for which a cause cannot be immediately determined.	
	Medication Error** - An error in prescribing, dispensing, or administering a drug which results in serious injury or harm		
	Med Error Subtype in NIMRS – Category C**	Error reached the patient but did not cause harm	

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<div>Significant Incidents</div> <div>Report to JC & OMH (if event occurs on program premises or under supervision)</div>	– Category D**	Error reached the patient and required monitoring and/or intervention to preclude/prevent harm	<div>Report to JC & OMH</div> <div>1. Report to the JC: Call 1-855-373-2122 or submit the web form which can be accessed at https://vpcr.justicecenter.ny.gov/WI/</div> <div>2. Report to OMH: After the report is made to the JC, the information will be transferred to the Justice Center Import queue in NIMRS. The report must be imported as a NIMRS incident and then “emailed” to OMH.</div> <div>3. Investigate, document findings and “close” report in NIMRS within 50 days</div>
	– Category E**	Error may have contributed to and/or resulted in temporary harm and required intervention	
	– Category F**	Error may have contributed to and/or resulted in temporary harm requiring initial or prolonged hospitalization (normally Risk Level 3)	
	– Category G**	Error may have contributed to and/or resulted in permanent harm to patient	
	– Category H**	Error occurred that required intervention necessary to sustain life	
	Missing patient (Inpatient/Residential)	A patient of an inpatient or residential program who has not been accounted for when expected to be present (in accordance with facility or program practice or policies) and who has not been found on the facility grounds or other expected location, or who is known to have left the facility grounds without the permission of an employee, when such permission is otherwise required (A patient of an outpatient program who is under the age of 18, and whose whereabouts is not accounted for when expected to be present or under the supervision of an employee is reported as “Child Missing from Staff Supervision” in NIMRS)	
	Mistreatment: – Unauthorized Restraint or Seclusion	Unauthorized use of restraint or seclusion that is inappropriate because it was implemented without a valid physician's order or in a manner that was otherwise not compliant with applicable state or federal regulations, but which does not rise to the level of abuse (i.e. physical abuse or Deliberate Inappropriate Use of Restraint.	
	– Inappropriate use of time out	Use of time out to remove a patient from regular programming and isolate him/her in an area for the convenience of a custodian or as a substitute for programming	
	– Intentional Improper Administration of medication	Intentional administration to a patient of a prescription drug or over-the-counter medication which is not in substantial compliance with a prescription.	
	– Misappropriation of patient resources	Misappropriation of a patient's resources, including but not limited to funds, assets, or property, by deception, intimidation, or similar means, with the intent to deprive (either temporarily or permanently) the patient of those resources.	
	Self Abuse**	Self-inflicted injury not intended to result in death that results in serious injury or harm.	
	Sexual Assault - A sexual attack including but not limited to those that result in vaginal, anal, or oral penetration, i.e., rape or attempted rape and sodomy or attempted sodomy; and/or any sexual contact between a person who is 18 years old or more and a person who is less than 15 years old, or between a person who is 21 years of age or older and a person who is less than 17 years old, or which involves a patient who is deemed incapable of consent		
	– Rape or Nonconsensual Sodomy	Sexual assault resulting in vaginal, anal, or oral penetration.	
	– Other Sexual Assault	A sexual attack, other than rape or sodomy, which otherwise meets the criteria for sexual assault (force or violence, inability to consent, statutory age differences of participants), including attempted sodomy and forcible sexual encounters.	
	Sexual Contact Between Children	Vaginal, anal, or oral penetration by patients under age 18 that occurs in a setting where the patient receives around-the-clock care or on the premises of an outpatient program.	
	Suicide Attempt	An act committed by a patient of a mental health provider in an effort to cause his or her own	

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Incident Type – Subtype		Definition	Required Reporting
Significant Incidents		death.	Report to JC & OMH (see steps above)
	Verbal Aggression by Patients**	A sustained, repetitive action or pattern by a patient or patients of ridiculing, bullying, demeaning, making derogatory remarks, verbally harassing, or threatening to inflict physical or emotional harm on another patient or patients, which causes serious injury or harm.	
	Other Incident**	An event, other than those identified above, which has or creates a risk of, an adverse effect on the life, health, or safety of a patient.	
OMH Incidents Report <u>ONLY</u> to OMH	OMH INCIDENTS: The following off-site incidents are reportable ONLY to OMH		Report <u>ONLY</u> to OMH 1. Log into NIMRS & select “New Incident” from the home screen. 2. A “pop-up” with info on the reporting process will be displayed. Click “x” to bypass. 3. Enter required information on each NIMRS screen and click “Email OMH”.
	Crime in the Community	An event which is, or appears to be, a crime under New York State or Federal law, and which is perceived to be a significant danger to the community or which involves a patient whose behavior poses an imminent concern to the community.	
	Missing Subject of AOT Court Order:	A client who is subject to an AOT court order who fails to keep a scheduled appointment and/or who cannot be located within a 24 hour period (Outpatient Only) Inpatient and residential programs should report missing AOT persons under "Missing Client".	
	Suicide Attempt, Off-site	An act committed by a patient of a mental health provider in an effort to cause his or her own death that occurs off program premises or when the patient was not under the actual or intended supervision of a custodian.	

Incident Severity Rating			
Rating Severity Factor	Serious		
	1 - Low	2 - Moderate	3 - Severe
Harm Select the severity rating which reflects the level of physical and/or psychological harm, along with the medical and/or psychiatric intervention needed as a result of the incident.	– No physical harm or minor harm, e.g., bruise, minor laceration; – Medical intervention limited to first aid or less; and/or – No or little psychological harm; – No psychiatric treatment beyond reassurance and support.	– Moderate physical harm; – Medical intervention and treatment beyond first aid, e.g., sutures; and/or – Moderate psychological harm, e.g., negative changes in effect, behavior or cognition; – Change in psychotropic or psychotherapeutic intervention.	– Serious physical injuries; – Emergency life-saving procedures, admission to hospital, or treatment in ER; and/or – Life threatening psychiatric conditions; – Major change in treatment, e.g., admission to more intensive treatment setting or level of supervision.
Risk Select the risk severity rating which reflects the potential for harm, given the actions taken and the level of motivation of the person(s) involved in the incident.	– No risk or slight risk of complications or serious harm.	– Potential for moderate injury.	– Risk for life-threatening harm.

CALL (518) 474-3619 IF YOU HAVE ANY QUESTIONS ABOUT REPORTING AN INCIDENT