

MANAGING RISK: The California Experience



August 2004




Lanterman Developmental Disabilities Services Act

- Department of Developmental
Services
 - Regional Centers
- 




Department of Developmental Services (DDS)

- Contracts with Regional Centers
 - Statewide planning, coordination and oversight
- 




Regional Centers (RCs)

- 21 Regional Centers
 - Private Nonprofit
 - Board Membership of 50%
Individuals/Family Members
- 



Regional Centers

- Single point of entry
 - Diagnostic services
 - Person-centered planning
 - Service coordination
 - Purchase of services and supports
 - Advocacy services
 - **Quality management**
- 

Regional Centers


Department of Developmental Services
Regional Centers
(Colors correspond to areas served by each Regional Center)



Updated: July 1, 2003




Regional Centers FY 04-05

- 199,250 Individuals Served
 - 80,000 “Vendored” Service Providers in over 150 Service Categories
 - \$2.5 Billion Budget
- 



California's Risk Management System


FY 2001-02, DDS initiated development of a statewide, data-based **Risk Prevention, Mitigation and Management System** to improve individual and system outcomes






California's Risk Management System

Key entities

- Department of Developmental Services
 - Regional Centers
 - Vendors
 - The Columbus Organization, independent contractor
 - Investigative/Protective Agencies
- 



Risk Management Principles

- Individuals have a right to a quality of life free of abuse, neglect, and exploitation
 - Quality of life starts with those who work most closely with individuals
 - Safety is everyone's responsibility
 - Collaboration between all entities is integral to ensuring safety
- 




Risk Management Principles

**PREVENTION
IS THE
#1
PRIORITY**






Elements of Effective Risk Management

- Training
 - Individualized risk assessment and planning
 - Immediate follow-up and intervention
 - Timely accurate incident reporting
- 



Elements of Effective Risk Management

- Collection and analysis of incident data
 - Identification of trends
 - Development and implementation of mitigation strategies
 - Monitoring and evaluation
- 




Risk Management - RCs

- **Establish a Risk Management, Assessment and Planning Committee to include**
 - clinical staff
 - quality assurance staff
 - training staff






Risk Management Committee

- Develops a RC Risk Management and Mitigation Plan
 - Reviews aggregate data to
 - identify local trends
 - establish priorities for local quality improvement activities
 - Monitors/evaluates effectiveness of the Plan
- 





Risk Management Plan

- **Addresses training and technical assistance to RC staff, vendors on**
 - reporting of special incidents
 - individualized risk assessment and planning
 - environmental risk assessment and safety planning
 - implementing prevention and mitigation plans
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Risk Management Plan


- Local procedures for accurate and timely reporting
 - Coordination with investigative/protective service agencies
 - Process for review of aggregate data to identify trends and intervention strategies
 - Process for review of medical records
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Special Incident Reporting- Vendors

Must report

- suspected abuse/exploitation
 - suspected neglect
 - serious injury/accident
 - unplanned hospitalization
 - missing person
 - victim of crimes
 - death
- 




Special Incident Reporting - Vendors

- Ensure individual's safety
 - Report incident to regional center
 - Report to other
investigative/protective agencies as
required by law
- 




Special Incident Reporting-RCs

- Receive report, ensure individual's safety
 - Report to investigative/protective agencies as required
 - Enter incident data into electronic data system
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Special Incident Reporting- RCs

- Conduct follow-up assessment and planning to mitigate future risk
 - Update information in data system on a flow basis
 - Report outcomes, including action of other investigative/protective agencies
- 




Risk Management - DDS

- Maintains regulations and statewide electronic data system
 - Monitors RC and vendor compliance for accuracy and timeliness of reporting
 - Engages independent risk management contractor to conduct analysis of data
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Risk Management - DDS

- **Provides training and technical assistance to RCs on**
 - legal requirements
 - identification of reportable incidents
 - reporting requirements
 - electronic reporting system
 - integration of risk assessment into person-centered planning
- 




Risk Management - DDS

- **Quality Management Committee reviews aggregate data to**
 - identify statewide trends
 - establish priorities for statewide quality improvement projects
 - monitor and evaluate effectiveness of interventions
- 




Direct Support Professional Training - DDS

- **Provides required training for all residential vendors and staff on**
 - prevention of incidents
 - risk assessment
 - strategies to mitigate risk
 - identification of reportable incidents
- 



Direct Support Professional Training - DDS

- reporting procedures
 - creating and maintaining safe environments
 - preventing and responding to environmental and medical emergencies
 - safe wheelchair mobility
 - identifying types and levels of risk in daily activities
 - participating in individualized planning around risk
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The Columbus Organization Supports for DDS & Regional Centers

Special Incident Reporting Data

- Quarterly Statewide Reports and Recommendations
 - Focused Reviews
 - Physical and Sexual Abuse
 - Medication Errors
 - Victims of Crime
- 



The Columbus Organization

Supports for DDS & Regional Centers


Mortality

- Bi-Annual reports
 - Focused reviews of Regional Center Mortality review processes, including Mortality Committee operations
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The Columbus Organization Supports for DDS & Regional Centers

● Training and Information Exchange

- 3 Annual Risk Assessment & Mitigation Conferences (in 6 regional sites or in all 21 Regional Centers)
 - Year 1: Introduction, Current Trends, Agency Response, Individual Response
 - Year 2: Approaches to Assessment, Evaluation and Planning, Special Incident Reporting, Causal Analysis
 - Year 3: Cultural Diversity, Aging, Substance Abuse, Clinically Specific Risk Factors
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Supports for DDS & Regional Centers

Training & Information Exchange (cont.)

- Web Site – www.ddssafety.net
 - Newsletter
 - Regional Center training & technical assistance
 - Risk Management Committees
 - Mortality Review Committees
 - Service Coordinators
 - Providers
- 



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Supports for DDS & Regional Centers

- **Training & Information Exchange (cont.)**
 - Development of Training Manual for Regional Centers
 - Review of research & literature on Incident Reporting and Mortality Review






Outcomes

- Increased “risk awareness” for Regional Centers and providers
 - Increased reporting
 - Suggested definition refinements
 - Identification of areas of need
 - Direct Support Professional training revised to include risk management
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Outcomes

- Focused attention through DDS wellness grants to address specific Regional Center risk concerns
 - Enhanced collaboration of Regional Centers with providers and other agencies
 - Improved outcomes for California consumers
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Resources

• *Risk Management
Website*

www.ddssafety.net

email:columbusorg@
ddssafety.net

• *Direct Support
Professional
Training Website*

www.dds.ca.gov

manders6@
dds.ca.gov

