Kansas
Department for Aging
and Disability Services

AIR – Adverse Incident Reporting User Manual

August 2018

Table of Contents

General Instructions

Purpose   The electronic Adverse Incident Reporting (AIR) form is used to report adverse/critical incidents involving individuals receiving services from agencies licensed or funded by the Kansas Department for Aging and Disability Services.

System Requirements and Browser Settings

- Internet Connection
- Internet Browser:
  - Microsoft Internet Explorer 11 or newer – Recommended, and the only browser that KDADS supports for Web Applications.
  - Other browsers may be used with the understanding that KDADS cannot troubleshoot any issues that may arise using KDADS Web Applications with another browser.

Contact Persons

Issue	Contact Person
Application How To Questions and Security Access	**KDADS Help Desk** *Phone:* *(785) 296-4987 or* *(800) 432-3535* *E-Mail:* *KDADS.helpdesk@ks.gov*
Questions about AIR Policies and Guidelines.	*Phone:* *(785) 296-4986 or* *(800) 432-3535* *Ask for the program manager for the waiver or service that the affected client is associated with.*

Important   The required fields referenced in this chapter refer to system-required fields. These fields are required in order for the form to be saved. The information that is required due to policy may be different from those that are system required.

All information saved in any KDADS web application or web form is encrypted and secure.

Accessing the Application

How To   Follow the steps in the table below to access a blank AIR form from the KDADS public website.

Step	Action	Result
1.	From an internet browser, go to the KDADS public website at www.kdads.ks.gov.	The *Kansas Department for Aging and Disability Services* public website displays.

Step	Action	Result
2.	Click on the **Adverse Incident Reporting (AIR)** link located under 'QUICK LINKS' on the right side of the home page.	A blank *Adverse Incident Reporting* form displays.

Creating / Saving the Adverse Incident Reporting (AIR) Form

Introduction   All required fields must be completed before the AIR form can be successfully saved. The initial creation (saving) of the form is done via the 'Create Report' button. When the completed form is submitted to KDADS, the reporting process is complete.

Sample Blank form:

Creating / Saving the AIR Form, continued

How To
Follow the steps in the table below to create a new Adverse Incident Reporting form.

Step	Action	Result
1.	Click on the AIR form link as described in the previous steps.	A blank AIR form displays.
2.	Enter the information for the incident being reported.	All required fields must be completed before the form can be saved.
3.	Click on the **Create Report** button (located at the top and the bottom of the form.)	- The report is created, and the data is saved. - The **Create Report** button no longer displays. **Apply Changes** button displays. **Submit to KDADS** button displays.
**Note:** Validation errors will display for any missing required information, and the report will *not* be saved. Enter the missing required fields and click the Create Report button again.	

<div align="center">Before the form is created/saved:</div>

⚠ **Adverse Incident Reporting**

Adverse Incident Reporting Purpose

Effective incident management is essential to assuring the health and welfare of KDADS program participants. The Adverse Incident Reporting (AIR) System focuses on the identification and follow-up to critical events or incidents **that bring harm, or create the potential for harm,** to a KDADS program participant.
AIR focuses on critical events or incidents that the state itself deems as sufficiently serious to warrant near-term review and follow-up by an appropriate authority.

Notice

- Hotline Phone Numbers and Information
- Are you a Mandated Reporter?
- Once the report is created, a "Upload Supporting Document(s)" Region will display to securely upload any documents related to the Incident.
- The Report needs to be completed and submitted to KDADS **prior** to closing the window.
- If you wish to retain a copy, print this form by using the "Print AIR Report" button provided below.
- User Manuals:
  - AIR Instructions for Providers
  - Quick Reference for Submitting AIR Reports v2

[Create Report]

Report Status: WORK IN PROGRESS
Note: * Designates that the item is required.

Person Reporting Incident Information

* Reporter To Remain Anonymous: ○ Yes ● No If "Yes" the Reporter information will only be housed with the State.
* Report Completed By: First Name: [   ] * Last Name: [   ]
* Reporter Phone: [   ] Reporter Email (If Known): [   ]
* Relationship to Individual Involved: [~ Select ~ ▼]
* Service Provider Name (If Known): [   ]

* Report Date: [09/05/2018] Report Submitted Date:

Creating / Saving the AIR Form, continued

How To   Continued

After the form is created, but before it is submitted to KDADS:

Step	Action	Result
4.	A new region displays to the right of the AIR form once it has been created.	***Upload Supporting Document(s)*** displays.
5.	Additions and/or changes to the report can be made as necessary.	
6.	Click on the **Apply Changes** button to save any additions/changes made.	Additions/changes are saved.
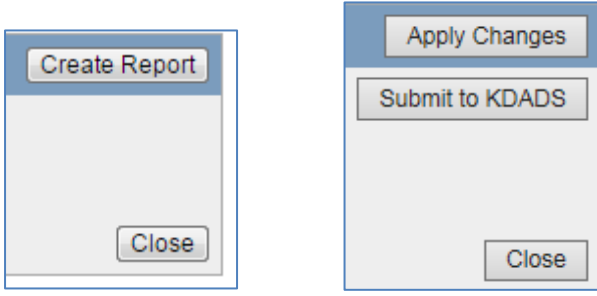
Form Fields   Refer to the next chapter, *Field Descriptions and Requirements* if there are any questions about any of the fields in the AIR form.

Uploading Files   Refer to the chapter on *Uploading Supporting Documentation to an AIR Report* for details on how to attach a file to a saved AIR form.

Field Descriptions and Requirements

Field Requirements	The table below lists all the report fields and their purpose. All fields marked with a red asterisk (*) are required. Fields that are conditionally required will be also checked for a valid entry when the form is saved.

Field or Button	Action / Purpose
Create Report	Creates the report once all required fields are entered. The button disappears after the report is successfully created, and is replaced by the **Apply Changes** button.
Apply Changes	Button displays after the report is successfully created. Saves any subsequent changes to the initial data entered.
Submit to KDADS	Button displays after the report is successfully created. When data entry is complete, clicking on this button will submit the report to KDADS, and the report changes to a read-only status.
Close	Closes the Adverse Incident Reporting window or tab. Once the window/tab is closed, the report cannot be accessed again by the Reporter.
***Person Reporting Incident Information* Region**	
Reporter to Remain Anonymous	If the reporter elects to remain anonymous then no reporter fields will be displayed on any of the Report Detail pages or reports. However, the information will be available if the investigator is associated with the State of Kansas agency.
All fields	Contains the Reporter information and the Provider to which the reporting person is associated.
Report Date	Date the AIR form is filled out. (Defaults to the current date.)
Report Submitted Date	Date the AIR form was submitted to KDADS. (Defaults to the current date.)

Field or Button	Action / Purpose
Individual Involved in Incident Information Region	
First/Last Name of the Individual	Name of the Individual involved in the incident being reported.
Date of Birth (If Known)	Individual's date of birth.
Medicaid ID (If Known)	If the client is a Medicaid customer, and the Medicaid ID number is known, it must be entered here.
MCO Organization (If Known)	The individual's KanCare provider.
Program Type (if known)	- Aging and Disability Resource Center - Autism - Center for Independent Living - Community Developmental Disability Organization - Community Mental Health Center - Financial Management Services Provider - Frail Elderly - Intellectual / Developmental Disabled - Mental Health Provider (Non-CMHC) - Money Follows the Person - OAA - PACE - Physically Disabled - Private Psychiatric Hospital - Psychiatric Residential Treatment Facility - Senior Care Act (SCA) - Severe Emotional Disturbance - Substance Abuse Treatment Facility - Technology Assisted - Traumatic Brain Injury - Unknown
Service Received During Incident (if known)	- Day Supports - Lives in Shared Living Arrangement - Lives with Parents/Family/Friend - Mental Health - Community - Mental Health - Onsite - Personal Service Attendant - Residential Supports - Targeted Case Management - HCBS Only - Unknown
KAMIS Person Number (if known)	Not required, but if the individual is in KAMIS, and the person number is known, it is entered here.

Field or Button	Action / Purpose
Incident Information Region	
Incident Date	Date the incident occurred.
Incident Time (If Known)	Time the incident occurred.
County Where Incident Occurred	The county where the incident occurred. Facilitates assignment of KDADS staff for incident review.
List person(s) involved in incident.	List which individuals other than the Individual are involved, the name(s) and their relationship to the Individual involved.
Adverse Incident(s) Region	
Adverse Incident(s) Listing as of September 1, 2018	

At least one incident must be checked. If *Other* is selected, enter an explanation in the *Other Explanation* text box.

Adverse Incident(s) Click on the Incident Link to see the detailed definition.
This Report DOES NOT replace a DCF or KDADS Long Term Care Complaint Hotline Report

Abuse: ☐	Death: ☐
Elopement: ☐	Emergency Medical Care: ☐
Exploitation: ☐	Fiduciary Abuse: ☐
Law Enforcement Involvement: ☐	Misuse of Medications: ☐
Natural Disaster: ☐	Neglect: ☐
Restraint: ☐	Seclusion: ☐
Serious Injury: ☐	Suicide: ☐
Suicide Attempt: ☐	
Other: ☐	

Other Explanation: [   ]

Click on an Adverse Incident label to display a definition of the incident.

Adverse Incident(s) Click on the Incident Link to see the detailed definition.
This Report DOES NOT replace a DCF or KDADS Long Term Care Complaint Hotline Report

Abuse: ☐	**Abuse** ✖
Elopement: ☐	
Exploitation: ☐	Abuse - Any act or failure to act performed intentionally or recklessly that causes or is likely to cause harm to a consumer, including: (1) infliction of physical or mental injury; (2) any sexual act with a consumer that does not consent or when the other person knows or should know that the consumer is incapable of resisting or declining consent to the sexual act due to mental deficiency or disease or due to fear of retribution or hardship; (3) unreasonable use of a physical restraint, isolation or medication that harms or is likely to the consumer; (4) unreasonable use of a physical or chemical restraint, medication or isolation as punishment, for convenience, in conflict with a physician's orders or as a substitute for treatment, except where such conduct or physical restraint is in furtherance of the health and safety of the consumer or another individual; (5) a threat or menacing conduct directed toward the consumer that results or might reasonably be expected to result in fear or emotional or mental distress to the consumer; (6) fiduciary abuse; or (7) omission or deprivation by a caretaker or another person of goods or services which are necessary to avoid physical or mental harm or illness.
Law Enforcement Involvement: ☐	
Natural Disaster: ☐	
Restraint: ☐	
Serious Injury: ☐	
Suicide Attempt: ☐	
Other: ☐	
Other Explanation:	

Continued on next page

Field Descriptions and Requirements, continued

Field or Button	Action / Purpose
Adverse Incident(s) Region (continued)	
Reported to Appropriate State Agency	Indicates if the appropriate State Agency was notified, or if this information is unknown. **Note**: Submitting an Adverse Incident Reporting form does **_not_** replace reporting the incident to a Protection Reporting Center.
Which Agency Contacted	Select the appropriate agency that was contacted - - Department of Children and Families (DCF) Adult (APS) or Child (CPS) Protection Services - KDADS Long Term Care Complaint Hotline
Date Notified (If Known)	If an State Agency was notified, the date of notification.
Intake Number (If Known)	If an State Agency was notified, enter the Intake Number.
Incident Details Region	
Summary of Facts Relevant to Incident	The relevant facts of the incident being reported.
Results of Incident (Transport to hospital, Outpatient Medical Treatment, Law Enforcement Involvement, Screen Requested, Transferred, Other)	The actions taken regarding the client, as a result of the reported incident.

Submitting a Completed AIR Report to KDADS

Introduction   Submitting a completed Adverse Incident report to KDADS adds it to the Adverse Incident Listing in the *Adverse Incident Reporting (AIR)* web application. Only KDADS staff with authenticated web application user accounts have access to the AIR web application, and only those users assigned to the group matching the specified Program Type indicated in each submitted incident have access to those incidents.
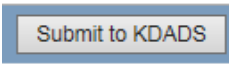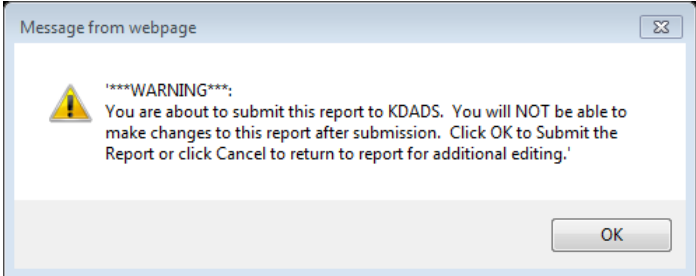
How To   Follow the steps in the table below to submit a completed AIR report to KDADS.
Note: Supporting Documentation (covered in the next chapter) can be uploaded to an AIR report before or after the form is submitted to KDADS.

Step	Action	Result
1.	From the completed AIR report page, click on the **Submit to KDADS** button. Submit to KDADS Note: Either button, located at the top and the bottom of the page, can be used.	A warning message displays. The form is saved, and all fields are read only. An e-mail is forwarded to the appropriate KDADS staff for review.
2.	*Read the message before continuing!*	
3.	Click on the **OK** button to submit the report and make it read-only. OR Click on the **Cancel** button to return to the report.	**OK** = Report submitted to KDADS. No further changes can be made.***** **Cancel** = Return to report to make changes. Report is *not* submitted to KDADS.
	* While no additional changes can be made to an AIR report once it is submitted to KDADS, supporting documents *can* still be uploaded. See the next chapter for instructions.	

Uploading Supporting Documentation to an AIR Report

Introduction   If there is supporting documentation related to the adverse incident being reported, an electronic version of the document can be uploaded to the AIR form. AIR uses the same Attach/Upload File utility that is used by many other KDADS web applications for this purpose.

The Attach / Upload File utility is accessible after the incident has been created, and before the incident page is closed.

Only KDADS staff that have authorization to access the associated AIR report will have access to any uploaded documents attached to the incident.

Sample Blank Form

Region	Purpose
❶ Steps to Upload a File:	Instructions for the upload process
❷ Source file / Browse…	The source file path and file name appear here after browsing to/selecting the file. **This file name must be unique from any other file that may have been uploaded into our system from this application or any other web application.**
❸ Document (short descriptive name)	A description that provides a simpler name for the file (required) **This description name must be unique from any other file that may have been uploaded into our system from this application or any other web application.**
❹ Upload or Delete File button	Completes the Upload process and displays a link to the file in a table list **OR** Deletes the selected/checked file from the table list
❺ Uploaded Files	Uploaded files will display in a table
❻ To Delete a File:	Instructions for Deleting an uploaded file

Continued on next page

Source File Requirements

Source File Name: There are specific rules that must be followed in the naming of the source file that will be uploaded. If necessary, rename the source file before you attempt to upload it.
The source file name can contain *only* the following characters:

- Alpha-numeric characters (A-Z and 0-9)
- The following special characters: dash (-), underscore (_), slash (/), and period (.)

Source File Size: The source file (the file you are uploading) has a maximum file size of 100MB. To conserve KDADS file server space, we request that the source files be saved in a way to reduce the file size as much as possible. For example, if you are scanning a hard copy of a file, make sure your scanner is not using too high of a resolution (200-300 dpi should be sufficient.) Be aware of the size of picture files that are uploaded and resize/compress them if possible. If uploading a PDF file and you have Acrobat Pro, there are optimizing features that can reduce the size of the file.
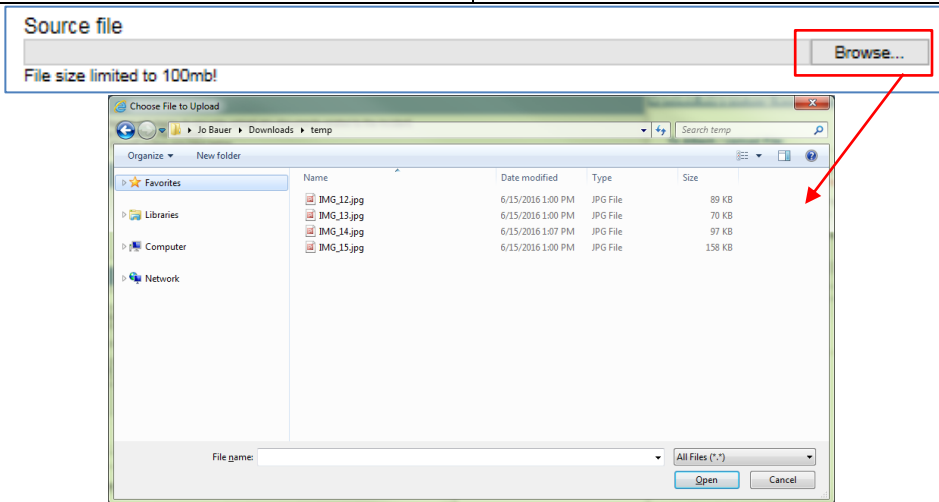
Source File Type: Most file types are compatible with the Attach/Upload File utility. However, be aware that files that are application-specific may not be accessible if the user opening the file does not have that application installed on their computer. For this reason, we recommend the following file types, as they are accessible via multiple image-viewing applications or PDF readers that are common to many business applications:

- PDF (current Microsoft Office applications have a built-in 'save as PDF' option)
- JPG/JPEG (most scanners will scan images to this format)
- BMP (most scanners will scan images to this format. Preferred after JPG/JPEG, as BMP files tend to be larger in size than JPG/JPEG)

Note: Word (.docx) and Excel (.xlsx) files are not compatible with the Attach/Upload File utility. Make sure to save these file types as PDF files before uploading.

How To

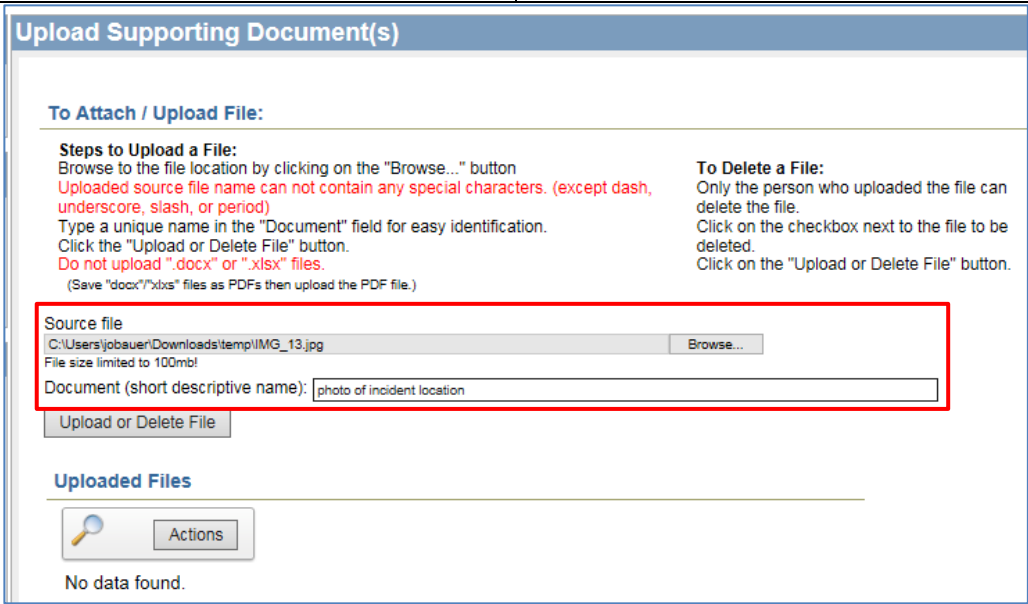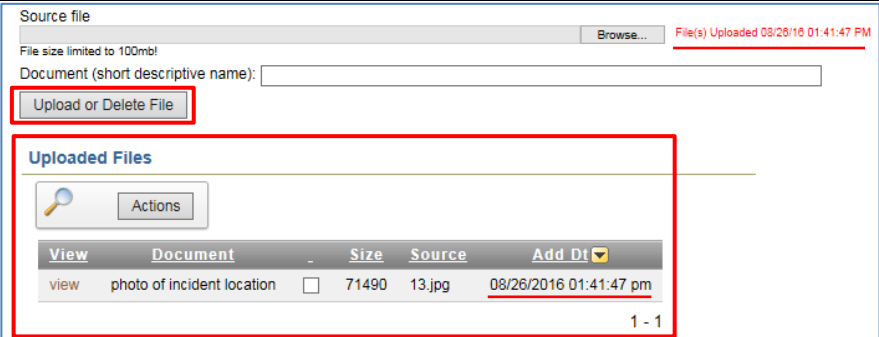Follow the steps in the table below to upload a file to a saved Adverse Incident Report.

Step	Action	Result
1.	Click on the **Browse...** button.	The 'Choose File to Upload' dialog box displays.

How To   *Continued*

Step	Action	Result
2.	Navigate to the location on your computer or organization's network where the file is located.	The desired file name appears in the file list window. Note: Your window may look different based on the file list type you have selected.
3.	Click on the file you want to upload.	The file is highlighted.
4.	Click on the Open button.	The file name appears in the Source file field of the Attach/Upload File page.
5.	Enter a short descriptive name in the **Document** field.	There are no character type limitations for this descriptive name.

Upload Supporting Document(s)

To Attach / Upload File:

Steps to Upload a File:
Browse to the file location by clicking on the "Browse..." button
Uploaded source file name can not contain any special characters. (except dash, underscore, slash, or period)
Type a unique name in the "Document" field for easy identification.
Click the "Upload or Delete File" button.
Do not upload ".docx" or ".xlsx" files.
    (Save "docx"/"xlsx" files as PDFs then upload the PDF file.)

To Delete a File:
Only the person who uploaded the file can delete the file.
Click on the checkbox next to the file to be deleted.
Click on the "Upload or Delete File" button.

Source file
C:\Users\jobauer\Downloads\temp\IMG_13.jpg   [Browse...]
File size limited to 100mb!
Document (short descriptive name): photo of incident location

[Upload or Delete File]

Uploaded Files

[Actions]

No data found.

Step	Action	Result
6.	Click on the **Upload or Delete File** button.	• The uploaded file information displays in the **Uploaded Files** table, indicating the source file is attached to the AIR report. • The date and time of the upload is indicated next to the Browse… button, and in the Uploaded Files table.

Source file
[Browse...] File(s) Uploaded 08/26/16 01:41:47 PM
File size limited to 100mb!
Document (short descriptive name):

[Upload or Delete File]

Uploaded Files

[Actions]

View	Document		Size	Source	Add Dt
view	photo of incident location	☐	71490	13.jpg	08/26/2016 01:41:47 pm

1 - 1

Uploading Supporting Documentation to an AIR Report, continued

Important Note   If the source file you are trying to upload contains invalid characters in the file name or is a duplciate of an existing file within the Upload system, you will receive a message when you attempt to upload the file stating the file has been deleted. The file will not be uploaded and you will need to rename the source file before attempting to upload it again.

Upload Multiple Files   You can upload multiple files to the same AIR report. Repeat the previous steps for each file to be uploaded. The Uploaded Files table will update with each additional file that is uploaded.

View an Attached File   After you have attached a file to an incident, you can view it to confirm it uploaded successfully and is accessible.

Step	Action	Result
1.	To view an uploaded file, click on the 'view' link next to the uploaded file name in the Uploaded Files table.	The file will display automatically, or you may be prompted to open *or* save the file. If prompted, choose 'Open.' Depending on your browser settings and the type of file that was uploaded, the file will open in either a browser window/tab, or in the application it was created in.
2.	After viewing the attachment, close the window/tab or the associated application.	The window containing the AIR form redisplays.

Uploading Supporting Documentation to an AIR Report, continued

Delete an Attached File

If you discover you uploaded the wrong file, or you decide you no longer want to include the uploaded file with this incident report, you can delete the attachment.

Note: Deleting an attached file does *not* delete the source file from its original location.

Step	Action	Result
1.	To delete an uploaded file from an AIR report, click on the **check box** next to the Document name in the Uploaded Files table.	A checkmark appears in the box, indicating which document is to be removed. **Note**: While documents must be uploaded one at a time, multiple documents can be removed in one delete action.
2.	Click on the **Upload or Delete File** button.	• The attached file is deleted from the AIR report. • The Uploaded Files table is updated. • A deleted file message and date/time stamp displays.
	NOTE: Only the user that uploaded the file can delete the file.	

Printing an AIR Report

Introduction   If the person or organization reporting an Adverse Incident wants to keep a copy of the report, it must be printed before the submitted report is closed. Once closed, the incident is no longer available to the Reporter.

The *Print View of Air Report* button is provided for this purpose. While the button is available prior to the report being completed, these instructions assume the report will be printed once the form is complete and has been submitted to KDADS.

How To   Follow the steps in the table below to print an Adverse Incident Reporting form.

Step	Action	Result
1.	Recommended browser page settings: Portrait .5" margins Enable Shrink to Fit turned on	Page settings in Internet Explorer are found under File > Page setup… *OR* File > Print > Page setup…
2.	Click on the **Print View of AIR Report** button located at the top or bottom of the submitted form.	A print View of the report displays.
3.	Click on the **Print** button.	The report prints to the designated printer.

Close the Submitted AIR Form

Introduction	After the AIR form has been submitted to KDADS, the final step is to close the completed form window/tab to ensure there is no unauthorized access to the form.

How To	Follow the steps in the table below to close a completed AIR form.

Step	Action	Result
1.	Confirm the form has been submitted to KDADS.	The **Submit to KDADS** button is no longer available. Report Status will indicate "REPORTED"
2.	Click on the **X** on the browser tab button.	
3.	If another report needs to be submitted, click on the **Reset Page to Enter Another Report** button	The window will refresh, and all fields will be cleared.