

Topic: Preliminary Assessment	Department: All programs and services
Original effective date: 7/2013	Last revision date: 10/24/19
Owner: Incident Manager	Frequency of reviews: As needed
Internal/Regulatory Reference(s) (all that apply): OPWDD Regulation-Part 624	
Related documents/Links: Preliminary Assessment Form	

Policy

People are free from abuse and neglect.

Additional Information

Upon discovery of a file-able incident (147 or 150), the agency is required to implement immediate protective measures and complete a preliminary assessment (a.k.a. preliminary investigation). This is to be documented on the Preliminary Assessment form. Implementation, documentation and submission of the form to Incident Management is required to occur within 24 hours of the incident being discovered.

The checklist on the back of the Preliminary Assessment form is to be used to develop the content. The following should be included:

- What was done to protect the person supported from immediate or further harm
- What actions were taken immediately after the incident to provide treatment or other services in response to the event
- Any systemic factors contributing to the event and actions taken to correct them
- A survey of the environment to look for contributing factors and what steps were taken to correct anything found
- Results of the preliminary review
- Any preliminary corrective actions that were taken with involved staff members in response to the situation. The following is a list of possible corrective actions to be considered. Each situation must be evaluated in relation to the seriousness of the incident. Staff members must not be permitted to work in direct contact with individuals supported if their presence poses a serious and/or immediate threat.
 - Removal, reassignment, relocation or suspension of the alleged abuser
 - Increasing the degree of supervision of the alleged abuser (Supervision level must be described in measurable and observable terms)
 - Provision of counseling to the alleged abuser (Topics discussed in counseling session must be defined)
 - Provision of increased training to the alleged abuser and staff members pertinent to the prevention and remediation of abuse.
 - Increasing supervision and providing additional support to restore a secure environment to the affected staff and persons in the facility (Actions taken must be defined in measurable and observable terms)
 - Removal or relocation of the person, consistent with his or her developmental needs (or any court order applicable to the person) when it is determined that there is a risk to such individual if he or she continues to remain in the program.
 - Provision of counseling to the individual and to other persons in the facility (Topics discussed in counseling session must be defined).

Procedure	
Task:	Responsible party:
Conducts preliminary assessment (a.k.a. preliminary investigation) and documents this on the Preliminary Assessment form.	Site Manager / Designee
Initiates any noted corrective actions and completes verification documents at the time of filing.	Site Manager / Designee
Compiles the preliminary assessment form, verification documents / training materials and corresponding filing documents and submits them to supervisor for review and sign-off (per 147/150 process).	Site Manager / Designee
Submits the entire 147/150 packet (including preliminary assessment form, verification documents / training materials) to the Incident Management department within 24 hours of the incident being discovered.	Site Manager / Designee

Document revision record:

Revision Date	Release Date	Reason for change	Approver
10/24/19	10/24/19	Updated to include 24 hour time frame requirement.	Deanna Crosser