

Serious Incident Report of Findings (SIROF)

- **What are serious incident report of findings (SIROF) and why do I need to submit them?**
 - All serious incidents shall be reviewed and investigated by the program. The SIROF is the report of the review and investigation with relevant findings, interventions, and recommendations.
 - **What is the process for submitting the SIROF? What if I need an extension?**
 - Complete SIROF and submit to QA = within 30 days of knowledge of the incident.
 - Programs are responsible for submitting the SIROF within the required timelines and requesting an extension as needed.
 - For serious incidents pending a CME report, programs have the option of submitting the SIROF by the 30-day timeline without the CME report, or requesting an extension for the SIROF if it is preferred to wait for the CME report.
 - **What is the CME report? Is the CME report required before submitting the SIROF?**
 - CME report is the County Medical Examiner's Report. It is required for serious incidents involving death of a client because it provides the final cause of death determination.
 - CME report is not required before submitting the SIROF for incidents involving the death of a client. SIROF's can be submitted while the CME report is pending, or programs can request an extension to submit the SIROF if they prefer to have the CME report first.
 - **Do Tarasoff incidents require an SIROF?**
 - No, SIROF's are not required for Tarasoff reports, unless it is relevant to an identified systemic issue in program operations or to the client's treatment, or as requested by QA.
 - **When is the RCA required?**
 - RCA is required for any death by suicide, alleged homicide committed by client, or as requested by County QA.
 - May be completed for any other serious incident event.
 - If RCA is completed, SIROF section 5: Serious Incident of Findings and Recommendations is not required.
 - **Where can I find the SIR and SIROF forms?**
 - Forms are located on the MHP and DMC Optum pages with FAQ/Tip Sheets under the "Forms" tab.
 - **How do I complete the SIROF Form?**
 - Shall be typed; handwritten forms will be returned.
 - All fields shall be complete unless otherwise noted; incomplete forms will be returned.
 - See steps outlined below.
1. Program Reporting SIR - Provide details about program reporting SIR, including staff completing/submitted the SIR form.
 - a. Name of Agency/Legal Entity and Program Name
 - b. Program Manager info (Name, email, phone)

FAQ & TIP SHEET



- c. Program Type – only select one (MH or SUD); see the prompt that states “Click to view/select options” to initiate the drop-down menu.
 - d. Name of staff completing SIROF and date completed
 - e. COR name
2. Incident Information – Provide details about the incident including date, SIROF submission details and date, RCA details and date.
 - a. Date of incident
 - b. Was the SIROF was submitted within 30 days of reported incident – yes/no
 - c. If no, explain why it was not sent to QA within 30 days.
 - d. If RCA is required and date completed if required.
3. Client Information – Provide details about the client involved in the incident.
 - a. Client Name
 - b. Client’s record number for CCBH or SanWITS
 - c. Custody status in the last 30 days
4. Overdose Information – Please provide details for serious incidents related to an overdose.
 - a. If serious incident not related to an overdose, select N/A.
 - b. Substance involved.
 - c. If opioid was involved, was the client receiving MAT services and where the client was referred to or receiving MAT services. If polysubstance was identified and an opioid was involved, complete all of the questions in this section.
 - d. If client was not referred to MAT or declined a referral, provide details to explain the reason why the client was not referred or is not currently receiving MAT.
 - e. If Naloxone/Narcan administered and by whom.
 - f. If fentanyl specific testing included in all client urine screens; include details such as date and results of most recent fentanyl specific test.
 - g. If client given health education about Naloxone/Narcan for overdose prevention as part of treatment prior to the incident, such as during intake.
 - h. If a Naloxone/Narcan kit was prescribed or given to client for overdose prevention prior to the incident (not including staff administration of naloxone).
5. Serious Incident of Summary Findings and Recommendations/Planned Improvements – Describe the results of the investigation and recommendations as a result of the incident. Do not copy/paste the SIR info. NOTE: If an RCA was complete, this section is not required; select N/A instead.
 - a. Results of investigation
 - i. Briefly describe the incident, including information from the Serious Incident Report and any additional information gathered during the investigation.
 - ii. Document your investigation into the events leading up to the incident (i.e., review of chart and any relevant Policy and Procedures, interviews of staff and/or client, etc.)
 - iii. Document your analysis of the investigation (i.e., identify any precipitating factors, follow up services, response to treatment).
 - b. Recommendations or planned improvements
 - i. Changes in Policies and Procedures-Identify and new policies and procedures which will be implemented in order to reduce risk to the clients and the program.

- ii. Quality improvement practices-Identify ongoing strategies which the program will implement in order measure the effectiveness of the policies and procedures.
 - iii. Clinical supervision/oversight
 - iv. Trainings, etc.

6. Root Cause Analysis – RCA is required for any serious incident that results in death by suicide, alleged homicide committed by client, or as requested by QA. If required to complete this section, provide details for root case analysis after an RCA has been completed. NOTE: If an RCA has not been complete or is not required, select N/A.
 - a. If a root cause was identified – yes or no
 - b. RCA Summary findings – Describe the incident, the results of the investigation and analysis of the incident. Describe the root cause if one was identified.
 - c. RCA Summary of action items - Create a plan of action items the program will implement which will reduce the risk to the clients and program. Identify the measures that will be used to determine the effectiveness of the plan.

7. Program Manager Information – To be completed by the program manager after the SIR is reviewed.
 - C. Program Manager or designee shall attest to reading and agreeing with the information included in the SIROF by checking the box and entering their name and date this step was completed.