

## HCBS Incident Reporting System



Independent Care Waiver Program
Provider Training

# **Background Information**

### Why An Incident Report Matters

- A requirement by CMS to ensure the health and safety of waiver participants
- Helps address potential gaps in the waiver participant's care and improve quality of services
- Serves to identify patterns across waiver programs, providers, and incident types to allow for aggregate and individual remediation



#### Counties included in April Launch

Baker Grady Schley

Calhoun Harris Seminole

Chattahoochee Lee Stewart

Clay Macon Sumter

Crisp Marion Talbot

Colquitt Miller Taylor

Decatur Mitchell Terrel

Dooly Muscogee Thomas

Dougherty Quitman Webster

Early Randolph Worth



#### Counties included in June Launch

Baldwin Jones Upson

Bibb Lamar Spaulding

Carroll Meriwether Troup

Coweta Monroe Twiggs

Crawford Peach Wilkinson

Heard Pike

Houston Pulaski



### Counties included in August Launch

Appl	ing	Bulloch	Echols	Jeff Davis	Telfair
Atkir	nson	Camden	Effingham	Johnson	Tift
Baco	on	Candler	Evans	Laurens	Toombs
Benl	hill	Charlton	Emanuel	Lowndes	Ware
Berr	ien	Chatham	Glynn	Mcintosh	Wayne
Blec	kley	Clinch	Lanier	Montgomery	Wilcox
Bran	ntley	Coffee	Liberty	Pierce	Wheeler
Broc	ks	Cook	Long	Putnam	Turner
Brya	ın	Dodge	Irwin	Tattnall	Treutlen



#### Counties included in October Launch

Gordon Washington Banks Dawson Jenkins Polk Wilkes Greene Barrow Dekalb Lincoln Rabun White Lumpkin Bartow Douglas Gwinnett Richmond Whitfield Burke **Flbert** Habersham Madison Rockdale **McDuffie** Catoosa Fannin Hall Screven Hancock Chattooga Fayette Morgan Stephens Cherokee Floyd Haralson Murray Taliaferro Clarke Forsyth Hart Newton Towns Franklin Clayton Henry Oconee Union **Fulton** Oglethorpe Cobb Jackson Walker Columbia Glascock **Paulding Jasper** Walton Gilmer Dade Jefferson **Pickens** Warren



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# Policy Overview

### Changes to ICWP Policy Manuals

- Revised Section 604.2 Reporting and Investigating Incidents
- Updated Section 603.1 Conditions for Adverse Actions
- Report of Consumer Death K2 Form Discontinue use. Incidents of unexpected or expected deaths will be reported using the new incident report.
- Sentinel Event Documentation K3 Form Replaced with two separate reporting forms:
  - Incident Report
  - Follow-up and Interventions Report
- Quarterly Review Tool (Variances) Revised to reflect its main purpose to document compliance, progress and continued appropriateness of the member's plan every 90 days.
- Reporting requirement of hospital stays over 30-60 days to Alliant remains unchanged to initiate K1 member discharge notification. Note: All hospitalizations and emergency room visits are reportable incident types to the Department.



#### Alliant Health Solutions Reporting Requirements

Report potential discharges and non-compliance to Alliant Health Solutions (AHS). Review ICWP Manual Section 706.1 for a complete list of discharge reasons.

- Report deaths to AHS using Appendix K-1 in the web portal
- Report changes in medical condition that require care plan changes or change in services to AHS using Appendix U in the web portal
- If the event does not require discharge or a non-compliance letter from AHS, list the event as a variance on the member's quarterly report.



#### Who is required to submit an Incident Report?

#### Direct Service Providers

 All incidents that occur at the direct service providers' location OR where the direct service provider is the first person to witness or discover the incident, regardless of location.

#### Case Managers

The case manager is responsible for reporting incidents if he/she is the first person to witness or discover the incident.

Note: ERS providers are exempt from complying with the new incident reporting system.



### Responsibilities of the Reporting Provider

Submit the Incident Report to the Department within 24 hours of the incident, or the
discovery of the incident, but no later than one (1) business day. The incident report will be
located at: <a href="https://www.medicaid.georgia.gov">https://www.medicaid.georgia.gov</a> under Provider links.

#### Notifications to:

- The individual's guardian and/or next of kin, as legally appropriate:
  - Notification of incident with a severity ranking of 3 and above shall occur within two
     (2) hours.
  - Notification of all other incidents shall occur within twenty-four (24) hours.
- If the event occurred in an unlicensed facility/agency, Law enforcement and Adult Protective Services in instances of suspected abuse, neglect and/or exploitation of the member.
- If the event occurred in a licensed facility/agency, Law enforcement, Healthcare Facilities Regulation Division, and the Long-term Care Ombudsman in instances of suspected abuse, neglect and/or exploitation of the member.
- If instances of suspected abuse, neglect and/or exploitation of a member who is a minor, Law enforcement and the Child Protective Services.



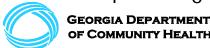
#### Responsibilities of Case Management

- Investigate or follow-up on the incident with involvement of other waiver providers as applicable
  - Ensure that no other incidents or abuse takes place while the investigation is ongoing.
  - Determine if risk factors existed prior to the incident, which may have identified potential for incident occurrence.
  - Identify interventions to reduce or prevent a similar incident in the future.
  - Identify the individual responsible for implementation of the interventions and the process for evaluating the effectiveness of the plan.
- **Submit** the Follow-Up and Interventions Report to the Department within seven (7) business days. Link to the report is in the confirmation email received after submission of the incident report.
- Maintain documentation of all reports in the client record

#### Reportable Incident Types

- Aggressive Act
- Accidental Injury
- Alleged Abuse
  - Physical
  - Sexual
  - Verbal
  - Psychological
- Alleged Criminal Act by a Member
- Alleged Neglect or Self Neglect
- Choking with intervention
- Death
  - Unexpected
  - Expected
- Elopement greater than 30 minutes

- Environmental Threat
- Fall
  - Accidental
  - Purposeful
  - Medical
- Media Alert
- Medication Error with and without Adverse Consequences
- Hospitalization
  - Psychiatric
  - Medical
- ER Visit
- Seclusion or Restraint
- Suicide Attempt resulting injury
- Violation of Individual Rights



### Incident Types (1/5)

- Aggressive Act Aggressive act resulting in injury of severity ranking 3, 4, and 5.
- Accidental Injury Injuries to individuals with a known cause that were not a result of aggressive acts to self or others.
- Alleged Abuse
  - Physical The willful or intentional use of physical force to coerce or to inflict bodily harm, pain or mental anguish. Indicators of physical abuse may include, but are not limited to, rough handling, improper use of restraints, injuries not consistent with medical diagnosis or explanation, or unreasonable confinement.
  - Sexual Any kind of sexual behavior directed towards an individual without their full knowledge
    and consent. A spouse, partner, family member or other trusted person can perpetrate sexual
    abuse. Indicators of sexual abuse include, but are not limited to, any nonconsensual sexual
    contact, inappropriate touching, forced viewing of sexually explicit materials, sexual harassment or
    sexual assault.
  - Verbal Verbal abuse is any use of oral, written or gestured language that may be perceived to be threatening, demeaning, discriminatory, or insulting regardless of their age, ability to comprehend, or disability.
  - Psychological Using tactics, such as harassment, insults, intimidation, isolation or threats that cause mental or emotional anguish. It diminishes the person's sense of identity, dignity, and self-



### Incident Types (2/5)

- Alleged Criminal Act by a Member Conduct that could result in criminal proceedings
- Alleged Neglect or Self Neglect Failure to provide essential services (food, water, shelter, medical, etc.) that cause actual or potential physical or medical harm, mental anguish, or mental illness. Failing to perform essential self-care such as depriving oneself of necessities such as food, water, or medication. Consciously putting oneself in harm's way or being unable to handle needs of day-to-day living because of medical, mental health or other disabilities.
- Choking with intervention An incident of choking that required intervention to clear the airway. Choking is defined as any episode of airway obstruction by food or foreign object as evidenced by one or more of the following: a) inability to speak when asked if choking (if individual is verbal); b) inability to breath or difficulty taking in adequate breaths; c) movements indicating distress such as grasping for neck or throat; d) turning blue.



### Incident Types (3/5)

#### Death

- Unexpected Death due to any cause where the cause of death is not attributed to a terminal
  diagnosis or diagnosed disease process where the reasonable expectation or outcome is death,
  does not meet the definition of an expected death. Examples include but not limited to death from
  suicide, homicide, medication errors, undiagnosed condition, criminal activity, an accident, or
  possible abuse or neglect.
- Expected Cause of death is attributed to a terminal diagnosis or diagnosed disease process
  identified more than 30 days before the date of death, where the reasonable expectation or
  outcome is death, there is no indication that the individual was not receiving appropriate care.
- Elopement greater than 30 minutes A cognitively impaired person who successfully leaves unsupervised and undetected from a residential location or day program.
- Environmental Threat An event with direct impact on member health and safety occurring within or around a residential location or day program. These events can result in but are not limited to mortality, illness and/or injury, and disrupts living arrangements requiring intervention or relocation.



### Incident Types (4/5)

#### Fall

- Accidental: Uncontrolled, unintentional, downward displacement of the body to the ground or other object.
- Purposeful: Willful intent of an individual to cause downward displacement of the body to the ground or other object.
- Medical: Uncontrolled, unintentional, downward displacement of the body to the ground or other object due to a medical condition.
- Media Alert An incident that may have significant impact upon, or significant relevance to, issues of DCH public concern and/or are likely to be reported in the media.

#### Medication Error

- With Adverse Consequences: A failure in the medication process that results in a significant adverse reaction requiring medical attention in an emergency room, urgent care center, or hospital. Errors include but are not limited to omission of a medication, wrong dose, wrong time, wrong person, wrong medication, wrong route, and/or wrong position.
- Without Adverse Consequences: A failure in the medication process that does not result in harm.
   Errors include but are not limited to omission of a medication, wrong dose, wrong time, wrong person, wrong medication, wrong route, and/or wrong position.



### Incident Types (5/5)

#### Hospitalization

- Psychiatric: An unplanned, involuntary admission of an individual to a psychiatric treatment facility.
- Medical: Any admission to a hospital, either directly or through a facility's emergency room.
- ER Visit: Any admission to an emergency room.
- Seclusion or Restraint: The use of physical holding and mechanical restraints and/or solitary confinement of member, which are prohibited per waiver policy.
- Suicide Attempt resulting injury: Self-inflicted harm due to failed suicide attempt. Injury severity scale 2, 3, and 4.
- Violation of Individual Rights: A denial of an individual's rights without good cause regardless of age, race, sex, nationality, ethnicity, sexual orientation, language or religion. Examples include but are not limited to a denial of individual's rights without the benefit of due process, breaching an individual's confidentiality, purposely allowing an individual's privacy to be invaded or breached, denial of access to the Patients' Rights Advocate, and denial of legal representation.



### **Injury Severity Ratings**

- Severity 1 No injury (no treatment required)
- Severity 2 Injury requiring first aid
- Severity 3 Injury requiring treatment beyond first aid that is not serious enough to warrant hospitalization, such as sutures, broken bones, prescriptions, etc.
- Severity 4 Injury requiring hospitalization
- Severity 5 Death
- Severity 6 Refused treatment



#### Intervention Types

- Staff related staff training, review, changes to staffing patterns, or supervision
- Individual related review of protocols, new/additional assessments (behavioral or medical), coordination of care, review of service plan, increased observation
- Equipment/Supplies related purchase or repair equipment or supplies, obtain new devices
- Environment related evaluate the area, make physical modifications for mobility or safety, temporary or permanent relocation
- Policy and Procedure related review or update written provider policies, procedures, and/or guidelines
- Provider Quality Improvement related internal investigation, internal corrective action plan, systematic assessment or change
- Referral to other agencies or community services
- Other any action not identified above



# Reporting Abuse, Neglect, or Exploitation (ANE) in Long-term Care or Licensed Facilities

Mandated Reporters having reasonable cause to believe any resident or former resident has been abused or exploited while residing in a long-term care facility shall immediately report to Healthcare Facility Regulation Division (HFRD) AND an appropriate law enforcement agency or prosecuting attorney. Pursuant to O.C.G.A. § 31-8-82 mandatory reporters include:

- Administrator, manager, physician, nurse, nurse's aide, orderly, or other employee in a hospital or facility
- Employee of a public or private agency engaged in professional services to residents or responsible for inspection of long-term care facilities

To report abuse, neglect & exploitation in a Long-term care facility such as a nursing home, assisted living community or personal care home, contact:

#### **HEALTHCARE FACILITY REGULATION**

(Call 911 for Life-Threatening Emergencies)

- 1. Call HFR 1-800-878-6442
- 2. On-line: <a href="www.dch.georgia.gov">www.dch.georgia.gov</a>,
   Click link "Healthcare Facility Regulation"
   Scroll down and click link, "File a Complaint" follow prompts

Note: This incident report will be automatically submitted to HFRD if a separate report has not been filed.



#### Reporting ANE in the Community

Mandated Reporters having reasonable cause to believe that a disabled adult or elder person who is not a resident of a long-term care facility, has been the victim of abuse, other than by accidental means, or has been neglected or exploited shall report or cause reports to be made to Adult Protective Services (APS) AND an appropriate law enforcement agency or prosecuting attorney. Pursuant to O.C.G.A. § 30-5-4(a) mandatory reporters include:

- Employees of a public or private agency engaged in professional health-related services to elder persons or disabled adults.
- Adult Day Care personnel

To report abuse, neglect or exploitation of adults with disabilities or older adults who do not live in a long-term care facility, contact:

#### **ADULT PROTECTIVE SERVICES**

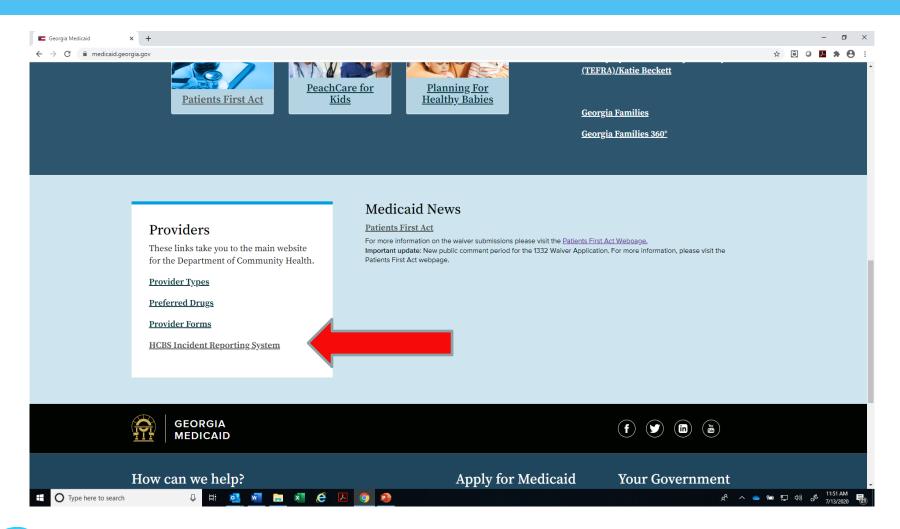
(Call 911 for Life-Threatening Emergencies)

- 1. Call APS 1-866-552-4464 and follow prompts
  Reports accepted by phone M-F 8:00 a.m. 5:00 p.m.
- 2. On-line: www.aging.ga.gov, Click link, "Report Elder Abuse"
- 3. Fax Form found on "Report Elder Abuse" link to 770-408-3001



## **Incident Reporting Process**

### Accessing the Incident Report

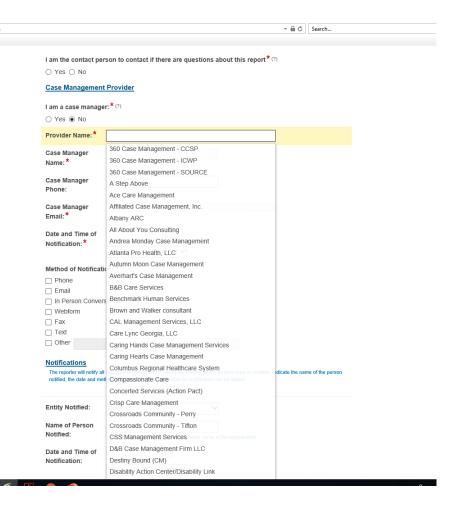




#### Identify Member's Case Manager

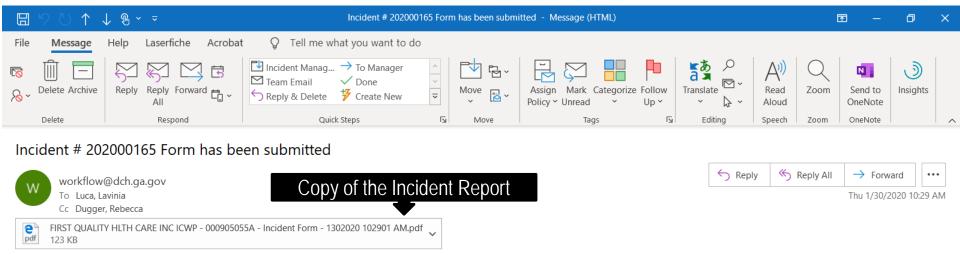
er-programs/hcbs-incident-reporting-system

Direct Service Providers
must select the correct
case management agency.
All emails listed on the
incident report will receive
notification that an incident
report has been submitted
and will receive all other
email notifications from the
Department.





#### **Confirmation Email Example**

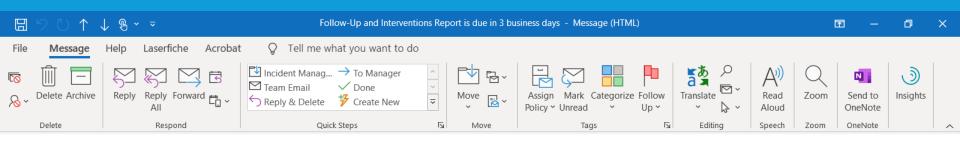


Incident Report No. 202000165 was successfully submitted to the Department of Community Health. A summary of the incident is included in this email. Please save a copy of the report in the member's record. The Follow-Up and Interventions Report is due within seven (7) business days and can be accessed using the link included in this email.

https://forms.dch.georgia.gov/Forms/HCBS Incident Report Follow Up?Incident Number =202000165



#### **Email Reminder to Submit Follow-Up Report**



#### Follow-Up and Interventions Report is due in 3 business days



This is a reminder that the Follow-Up and Interventions Report is due in 3 business days for Incident No. XX. Please refer to the confirmation email of this incident to access the link to the Follow-Up and Interventions Report.

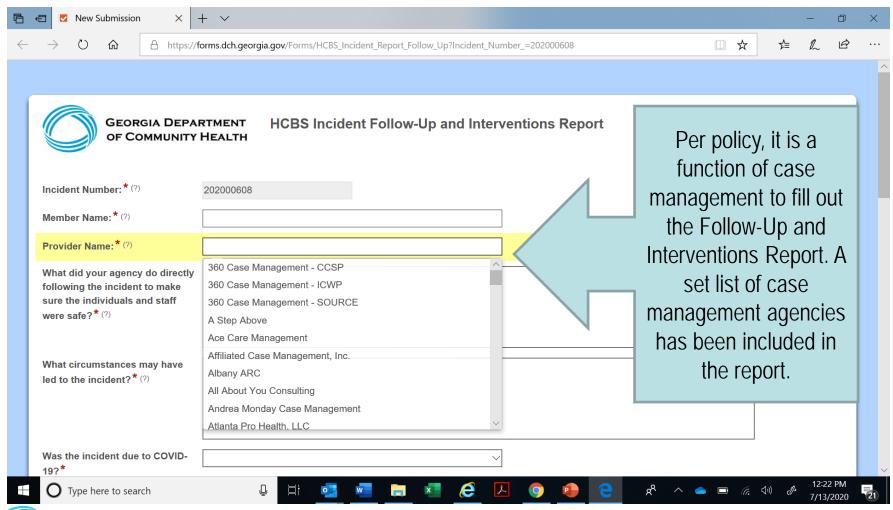
Refer back to the confirmation email that included a copy of the incident report.



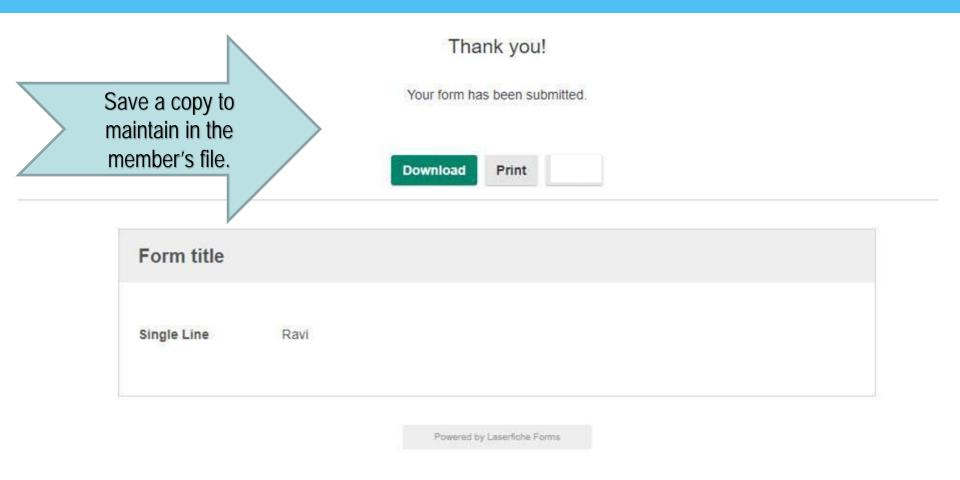
→ Forward

Wed 2/5/2020 10:30 AM

#### Follow-Up and Interventions Report

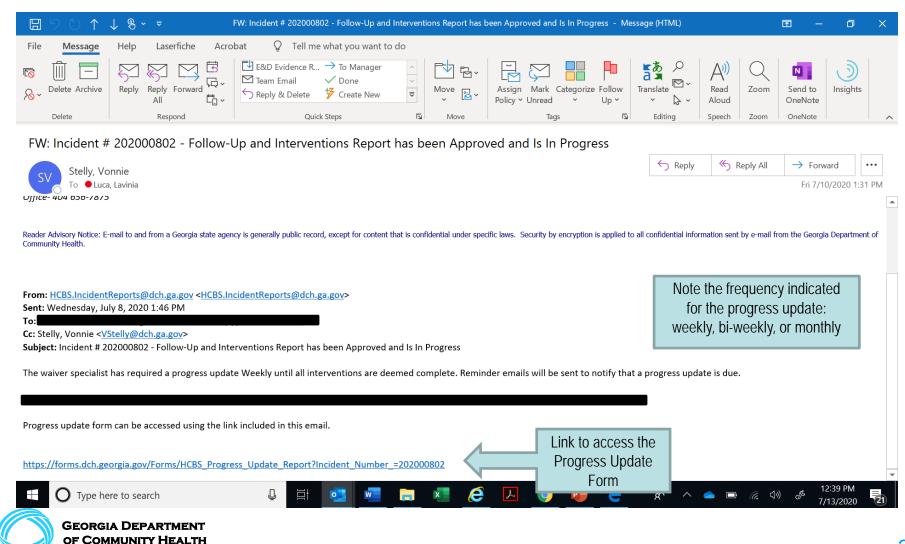


# Submission Confirmation of Follow-Up and Interventions Report





### Progress Update Email Example



#### Follow-Up Review Decisions

#### Approved/In-Progress

- Follow-up information is determined to be sufficient, but the interventions identified may warrant providing the waiver specialist additional information as they are completed.
- Requires submission of progress updates using the Progress Update Form at the frequency indicated by the waiver specialist; weekly, bi-weekly, and monthly.

#### Approved/Closed

 Follow-up information is determined to be sufficient and demonstration of noted interventions have been completed or require no further follow-up to the waiver specialist.

#### Denied/Re-submit

Follow-up information is not complete, or interventions may not be appropriate or there are
other noted errors requiring resubmission of the report. The resubmission will be due in three
(3) business days by case management.

#### Denied/Closed

 Notable errors were found on the incident report and the follow-up report requiring termination of the existing report and the submission of an entirely new incident report.



#### Frequently Noted Errors to Avoid

- Direct Service Providers failing to include case management information when submitting the incident report.
- Entering email addresses incorrectly which results in the reporting provider or other points of contact from receiving email notifications.
- Direct Service Providers should not complete the Follow-Up and Interventions Report.
- Failing to submit the Follow-Up and Interventions Report within 7 business days.
- Failing to provide a Progress Update when requested by the waiver specialist.



### Reporting on COVID-19 exposure

Submission of an HCBS Incident Report is required if a member may have possible exposure to COVID-19 either by staff or other family and where no ER admission, hospitalization, or death has occurred.

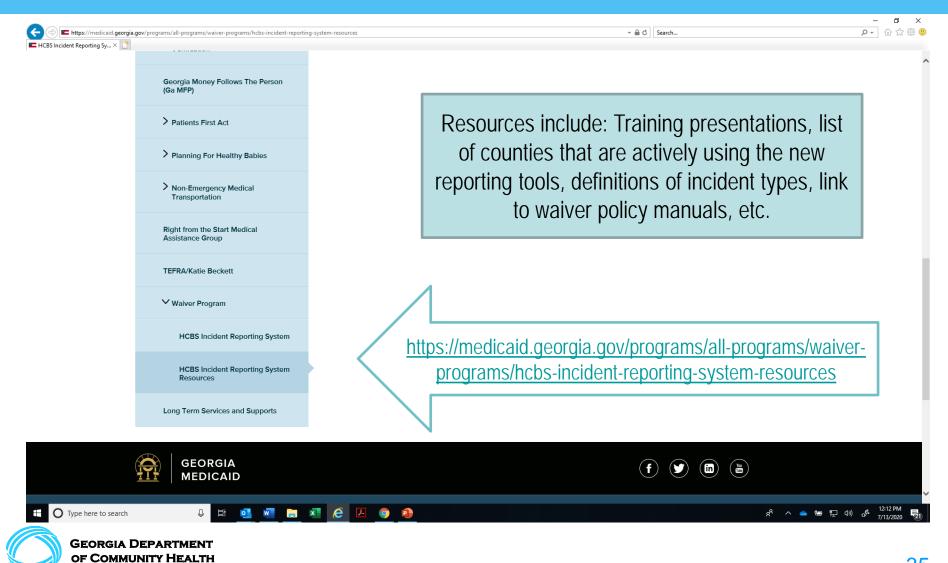
The incident type selected should be *environmental threat*. The Department also advises that those with possible exposure seek their status by testing and quarantining as outlined in the Department of Public Health guidelines, <a href="https://dph.georgia.gov/dph-guidance">https://dph.georgia.gov/dph-guidance</a>.

If the home is the risk, then interventions should include temporary relocation of the member and/or reassignment of staff.

Environmental Threat: An event with direct impact on member health and safety occurring within or around a residential location or day program. These events can result in but are not limited to mortality, illness and/or injury, and disrupts living arrangements requiring intervention or relocation.



#### HCBS Incident Reporting System Resources



### Q&A



For questions or technical assistance, please email the HCBS Waiver Team at <u>HCBS.IncidentReports@dch.ga.gov</u>

