

# HCBS Incident Reporting 101



# Monitoring and Assurance Unit

## Incident Reporting

The Monitoring and Assurance Unit operates under the authority of the federally approved Home and Community Based 1915 ( c ) Waiver- Community and Employment Supports and the 1915 ( i ) State plan amendment Behavioral Health and is charged with the responsibility of assurance of health and safety through the identification, analysis and prevention of incidents of abuse, neglect and exploitation, including the use of restraints.

A critical incident may endanger or negatively impact the mental and/or physical well-being of a beneficiary. When a critical incident occurs involving a HCBS Waiver participant, the Provider/PASSE must report the critical incident within the required time frame defined by DHS.

PASSE HCBS providers must submit an incident report to the PASSE Quality Assurance unit and the appropriate PASSE, using the reportable form via secure e-mail upon the occurrence of the incident.

# High Priority Incidents

## What are Sentinel Events?

Sentinel Events – Incident reports involving unexpected occurrences involving actual or risk of death or serious physical or psychological injury to a beneficiary are considered sentinel events and will be investigated by the Department of Human Services. In addition to sentinel events, the Department of Human Services will investigate if the network provider and/or network provider staff, is suspected to be at fault.

\* All other incidents will be investigated by the appropriate PASSE.

# Sentinel Events Reporting Timeframes

## What is the timeframe for reporting Sentinel Events?

Immediate reporting – DHS PASSE Quality Assurance Unit emergency number (501) 910-7828 within **one (1) hour of occurrence**, regardless of hour as well as the on call emergency number for the appropriate PASSE.

- A death not related to the natural course of the patient's illness.
- Serious physical or psychological injury to a beneficiary.

Incidents involving Potential Publicity – Incidents, regardless of the category, that a PASSE HCBS provider should reasonably know might be of interest to the public and/or media must be immediately reported to the DHS PASSE Quality Assurance unit and the appropriate PASSE.

All Other Incident Reports – All reportable incidents must be reported to the DHS PASSE Quality Assurance Unit, and the appropriate PASSE, using the automated PASSE HCBS Incident Report Form via secure e-mail no later than two (2) days following the incident. Any incident that occurs on a Friday is still considered timely if reported by the Monday immediately following.

# Types of Reportable Incidents

- Death of beneficiary
- The use of any restrictive intervention, including seclusion, or physical, chemical, or mechanical restraint on a beneficiary.
- Suspected maltreatment or abuse of a beneficiary.
- Any injury to a beneficiary that:
  - Requires the attention of an Emergency Medical Technician, a paramedic, or physician
  - May cause death
  - May result in a substantial permanent impairment
  - Requires hospitalization



# Types of Reportable Incidents

- Threatened or attempted suicide by a beneficiary.
- The arrest of a beneficiary, or commission of any crime by a beneficiary.
- Any situation in which the whereabouts of a beneficiary is unknown for more than two (2) hours (i.e. elopement and/or wandering), or where services are interrupted for more than two (2) hours.
- Any event where a staff member threatens a beneficiary.
- Unexpected occurrences involving actual or risk of death or serious physical or psychological injury to a beneficiary.



# Types of Reportable Incidents

- Medication errors made by staff that cause or have the potential to cause serious injury or illness to a beneficiary, including, but not limited to, loss of medication, unavailability of medication, falsification of medication logs, theft of medication, a missed dose, wrong dose, a dose being administered at the wrong time, by the wrong route, and the administration of the wrong medication.
- Any violation of a beneficiary's rights that jeopardizes the health, safety, or quality of life of the beneficiary.
- Any incident involving property destruction by a beneficiary.



# Types of Reportable Incidents

- Vehicular accidents involving a beneficiary.
- Biohazard incidents involving a beneficiary.
- An arrest or conviction of a staff member providing direct care services.
- Any use or possession of a non-prescribed medication or an illicit substance by a beneficiary.
- Any other event that might have resulted in harm to a beneficiary or could have reasonably endangered the health, safety, or welfare of the beneficiary.





# Contacting the Monitoring & Assurance Unit

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