



# Critical Incident Reporting Training for Providers

# Agenda

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- ❖ Definition of Critical Incident
- ❖ Reportable Incidents
- ❖ Timeframes for Reporting
- ❖ Completing an Incident Report
- ❖ Carisk Critical Incident Form
- ❖ Review of Incidents

# Carisk Critical Incident Policy and Procedure

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- ❖ Guidelines for Critical Incident Reporting
- ❖ Establishes who needs to report Critical Incidents
- ❖ Establishes the timeframes for these reports
- ❖ Establishes what needs to be reported

# Definition of Critical Incident

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A **Critical Incident** is any actual or alleged event or situation that creates a significant risk of substantial or serious harm to the physical or mental health, safety or well being of a client/patient or other.

# Reportable Incidents

- Enrollee Abuse or Neglect while the enrollee is in a facility operated or contracted by the health plan
  - Abuse - Any willful or threatened act or omission that causes or is likely to cause significant impairment to a child or vulnerable adult's physical, mental or emotional health.
  - Neglect - The failure or omission on the part of the caregiver to provide the care, supervision and services necessary to maintain the physical and mental health of a child or vulnerable adult; or the failure of a caregiver to make reasonable efforts to protect a child or vulnerable adult from abuse, neglect, or exploitation by others.

## Reportable Incidents (cont.)

- Enrollee exploitation
- Sexual battery – An allegation of sexual battery, as determined by medical evidence or law enforcement involvement, by:
  - An enrollee on another enrollee;
  - An employee of the health plan, a provider or a subcontractor, an enrollee; and/or
  - An enrollee on an employee of the health plan, a provider or a subcontractor.

# Reportable Incidents (cont.)

- Death of an enrollee while the enrollee is in a facility operated or contracted by the health plan or in an acute care facility due to one of the following:
  - Adult Death - An individual 21 years or older, whose life terminates while receiving services, during an investigation, when it is known that a client died within thirty (30) days of discharge from a residential program.
  - Child Death - An individual 21 years or less whose life terminates while receiving services, during and investigation, or when it is known that a child died within thirty (30) days of discharge from a residential program or treatment facility or when a death review is required pursuant to CFOP 175-17, Child Fatality Review Procedures. The manner of death is the classification of categories used to define whether a death is from intentional causes, unintentional causes, natural causes, or undetermined causes.

# Reportable Incidents (cont.)

- Altercations Requiring Medical Attention Enrollee injury or illness
  - A medical condition that requires medical treatment by a licensed health care professional and which is sustained, or allegedly is sustained, due to an accident, act of abuse, neglect or other incident occurring while an enrollee is in a facility operated or contracted by the health plan or while the enrollee is in an acute care facility.
  
  - Permanent Disfigurement
  - Fracture or Dislocation of bones or joints
  - Neurological, Physical and/or sensory function limitations post discharge
  - Enrollee brain damage
  - Enrollee spinal cord damage



# Reportable Incidents (cont.)

- Major Medication Incidents:
  - Medication errors in an acute care setting; and/or
  - Medication errors involving children/adolescents in the care or custody of DCF.
- Enrollee suicide attempt – An act which clearly reflects an attempt by an enrollee to cause his or her own death while an enrollee is in a facility operated or contracted by the health plan or while the enrollee is in an acute care facility, which results in bodily injury requiring medical treatment by a licensed health care professional.
- Altercations requiring medical intervention – Any untoward or adverse event that requires medical intervention other than minimal first aid treatment occurring while an enrollee is in a facility operated or contracted by the health plan or while the enrollee is in an acute care facility.
- Involvement with Law Enforcement

# Reportable Incidents (cont.)

- Enrollee escape – To leave a locked or secured facility operated or contracted by the health plan or an acute care facility without notice or permission.
- Enrollee elopement or missing – (1) The unauthorized absence beyond four hours of an adult during an involuntary placement within a Carisk contracted or licensed facility; or (2) The unauthorized absence of any individual from a Carisk contracted residential substance abuse and/or mental health program.
- Additional Definitions related to Critical Incidents
  - Restraint - Any manual method or physical or mechanical device, materials, or equipment attached or adjacent to the individual's body so that he or she cannot easily remove the restraint and which restricts freedom of movement or normal access to one's body.
  - Seclusion - The physical segregation of a person in any fashion, or involuntary isolation of a person in a room or area from which the person is prevented from leaving. The prevention may be by physical barrier or by a staff member who is acting in a manner, or who is physically situated, so as to prevent the person from leaving the room or area.

# Timeframes for Reporting

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## When:

- ❑ Two (2) hours - including incidents involving:
  - **Death** (not natural)
  - **Suspected child abuse**
  - **Sexual abuse**
  
- ❑ Twenty (20) hours (24 for Medicaid) - all other reportable incidents from the time of occurrence or being made aware of an incident.

## How:

- ❑ Two-hour (2) = telephone call followed by submission of report via email. The telephone number is:  
**(305) 514-5300**
  
- ❑ Twenty (20) hours (24 for Medicaid) = submission of report via email to  
**providers@cariskpartners.com.**

# Completing an Incident Report

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1. Complete the Carisk Incident Report Form
  2. Email the completed form to [providers@cariskpartners.com](mailto:providers@cariskpartners.com)
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- ❖ Be clear and concise
  - ❖ Verify that the situation is properly captured in your description
  - ❖ Make sure that ALL Critical Incidents are reported
  - ❖ Be aware of the TIMEFRAMES for reporting

# Completing an Incident Report (cont.)

## Carisk Critical Incident Form



Health Plan Name:	
Today's Date (MM/DD/YYYY):	
County:	

### CRITICAL INCIDENT REPORT (INDIVIDUAL)

Enrollee Member ID#:	
Enrollee Full Name: (Last, First)	
Date of Incident:	
Facility: (Yes/No)	
Name of Facility or Unit: (if applicable)	
Facility Type:	
Address of Incident:	
Critical Incident Type:	
Details of Incident: (Include enrollee's age, sex, current medication [if applicable], source of information, all reported details about the event, include HCBS service-type and frequency being provided, action taken by plan or provider, and any other pertinent information, including current status of enrollee).	
Follow-up planned or required: (Include information related to any plan or provider protocol that applies to the incident.)	
Staff Involved: (License number of Staff involved and capacity in which they were directly involved)	
Witnesses: (License number(s) of witnesses)	
Date Reported to Plan:	
Report submitted by:	
Risk Manager Name:	
Date Resolved: (Only if it has been resolved. If not resolved, indicate by stating "Pending." If pending, include the details in the current status and follow-up fields).	

Complete and submit immediately upon occurrence for incidents that occur in a home and community-based long-term care service delivery setting including: community-based residential alternatives other than assisted living facilities; other Home and Community-based Services (HCBS) provider sites; an enrollee's home, if the incident is related to the provision of HCBS; or other provider locations.

## Completing an Incident Report (cont.)

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- ❖ Be clear and concise
- ❖ Verify that the situation is properly captured in your description
- ❖ Make sure that ALL Critical Incidents are reported
- ❖ Be aware of the TIMEFRAMES for reporting

# Review of Incidents

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- Incidents will be reviewed by Carisk staff to determine whether additional reporting, or review is necessary.
- Compliance and/or Provider Relations staff may request a corrective action plan that is outcome-based and specifically addresses any findings.

If you are unsure  
whether an  
incident is  
reportable, please  
report it.