



Reportable Incidents

Definitions and How to Respond

March 2023



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Agenda

- *Reporting Requirements*
- *Review of Incident Definitions*
- *Examples of how to respond when an incident occurs*



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Reporting Requirements



Verbal Notification to Service Coordinator

When a reportable incident occurs the provider **must** make a verbal report to the Service Coordinator within **four (4)** hours.

- Phone Call/Voicemail
- If unable to reach via phone or leave voicemail, may utilize secure email.

When calling, the provider must state:

- The name of the person making the verbal report and the provider agency they work for (if applicable)
- The participant's name
- The type of incident being reported
- A brief summary of the incident
- A brief summary of any action taken to ensure the safety of the participant and others.



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Reportable Incidents



Abuse, Neglect, and/or Exploitation

Any **suspicion** or **allegation** of abuse, neglect, or exploitation committed by a provider, peer of the participant, family member, or anyone else in which a participant is the **victim**. This includes when a participant neglects themselves.

- **Physical abuse:** a knowing or intentional act of physical violence against a participant of HCBS waiver(s) despite injury or otherwise adverse outcome.
- **Psychological Abuse:** actions of humiliation, harassment, threats of punishment or derogatory communication (vocal, written, gestures, etc.)
- **Sexual Abuse:** Sexual Assault or Sexual Exploitation
 - **Sexual Assault:** any unwanted sexual contact
 - **Sexual Exploitation:** causing, allowing, permitting, inflicting, or encouraging a participant to engage in voyeurism, exhibitionism, prostitution, or the lewd, obscene, or pornographic photographing, filming or depiction of a participant.



Abuse, Neglect, and/or Exploitation – con't

- **Verbal Abuse:** the use of oral, written, or gestured language that willfully includes disparaging or derogatory terms to individuals served.
- **Neglect:** The failure to provide proper care, supervision, or attention to a person or to the person's health, safety, or well-being; failure to provide necessities such as food, clothing, essential medical treatment, adequate supervision as described in the person-centered plan, shelter, or a safe environment. The failure to exercise one's duty to intercede on behalf of the person.
- **Financial Exploitation:** wrongful or unauthorized taking, withholding, appropriate, conversion, control, or use of money, funds, securities, assets or any other property of a participant. This could be completed by a person using:
 - undue influence
 - Breach of a fiduciary relationship
 - Deception
 - Extortion
 - Intimidation
 - Force or threat of force
 - Isolation



Actual or Potential Airway Obstruction

Any event in which an emergency intervention is provided to a participant in response to choking or experiencing an airway obstruction. Interventions may include, but are not limited to, performing the Heimlich maneuver, back blows, or requiring medical attention.



Communicable Disease

- Participant who is diagnosed by a medical practitioner with an illness such as COVID-19, Influenza, Tuberculosis (TB), etc. A communicable disease is an illness carried by microorganisms and transferred through people, animals, surfaces, food, or air.
 - Home tests for COVID-19 will be considered a diagnosis by a medical practitioner.
- Although a cold or upper respiratory infection could be considered communicable diseases, this would not be a reportable incident in this category.



Death

Any loss of life of a participant, regardless of cause.



Emergency Services Involvement:

Any event that results in the activation of Law Enforcement, Ambulance Services, Fire Department, or other emergency response departments.



Emergency Situations:

Any displacement or injury ***caused by*** a fire, flood, tornado, severe weather, or other emergency or natural disaster, regardless of severity.

**Must be displaced from their location of services for 24 hours or longer.*



Falls with Injury Requiring more than First Aid

Any event when a participant comes to rest unintentionally on the ground or a lower level for any reason, and sustains an injury requiring more than first aid.



Fatal 5+

Any change in medical condition involving a Fatal 5+ category of sufficient severity to require assessment or treatment from a physician, regardless of whether medical attention was received.

- Must always report:
 - Aspiration
 - Dehydration
 - GERD (Gastroesophageal Reflux Disease)
 - Severe constipation / Bowel Obstruction
 - Seizure
 - When a participant has a seizure for the first time in recorded personal history; or
 - The seizure lasts longer than 5 minutes or the timeframe set by the participant's physician; or
 - When the provider does not observe the beginning of the seizure and cannot accurately determine how long the seizure lasts, and the participant cannot report the length of the seizure.
 - Sepsis



Infestations

Any incident in which a participant has the presence of insects or animals in a place, typically to cause damage or disease; the presence of an infestation may include bites or rashes caused by the infestation. It could also include other signs of infestation such as live or dead parasites or parasite eggs, animal droppings, or evidence of a dwelling (nests).



Injuries of Unknown Origin Raising Suspicion

- Any injury where the origin of the injury is unknown and/or which raises suspicion of abuse or neglect due to the size, type, location, placement, pattern, or circumstances of the injury.
- Includes minor injuries (bruises, scrapes, minor cuts) requiring no medical attention, if the origin of the injury is unknown and raises any suspicion.
- If cause of injury can be reasonably determined, it would not be reported under this category.



Injury Requiring Medical or Nursing Intervention Above First Aid

- An injury of sufficient severity to require assessment or treatment from a physician, regardless of whether medical attention was actually sought or where medical attention was received.
- The following must always be reported: concussion, dislocation, fracture, poisoning, pressure sores/ulcers (newly discovered or untreated) and Burns-3rd Degree.



Medication Errors

- Any preventable mistake in the administration of medication/treatment or procedure with the potential to cause harm to a person.
 - High: Physician intervention or a hospital visit are needed
 - Medium: Any type of error in the 5 rights (right person, right time, right route, right dose, right medication)

Participant choice or refusal to take a medication does not indicate a medication error.



PRN Psychotropic Medication Usage:

Any administration of prescribed psychotropic medication on a PRN (as needed) basis used as a last resort method when all other behavioral interventions have been ineffective.



Swallowing Inedible Items:

Any incident in which a participant swallows an item that is not fit or suitable for eating such as coins, batteries, plastic, etc.



Unplanned Hospitalization, Emergency Room, or Urgent Care Facility

- When a participant is:
 - Admitted to a hospital or seen at an emergency room or urgent care facility for any medical or psychiatric reason;
 - Admitted to a hospital, and then transferred and admitted to another hospital, the second hospital admission does not need to be reported in an additional incident report. The transfer should be documented in the follow-up section of the original incident report.



Use of Restraint or Prohibited Practice:

Any use of prohibited practice, to include:

- **Restraint:**
 - **Physical Restraint:** the use of physical contact that restricts, or is meant to restrict, the movement or normal functioning of a participant.
 - **Mechanical Restraint:** the use of any device, material, object, or equipment attached or adjacent to a participant's body that restricts freedom of movement or normal access to the body.
- **Restrictive Interventions:** the use of any practice that limit's a participant's movement, activity or function, interferes with a participant's ability to acquire positive reinforcement, resulting in the loss of objects or activities that the participant values, or requires a participant to engage in a behavior that they would prefer not to given freedom of choice.
- **Seclusion:** Involuntary confinement of a participant alone in a room or an area from which the individual is physically prevented from having contact with other or leaving.



Vehicle Accident

Any vehicular accident that results in an adverse outcome for the participant.



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Responses



Report

Report to the required entities

- APS/CPS for Abuse/Neglect/Exploitation or Law Enforcement – immediate
- Service Coordination – within four (4) hours of the event



Medical Attention and/or Evaluation

If the person is experiencing any decline in medical status or symptoms, help them to seek care:

- Serious Medical Concern, such as trouble breathing, loss of consciousness, etc. **CALL 911 immediately.**
- If no serious concern, assist them in setting up medical care as needed/wanted.



Remove Risk

- Evaluate the Environment
 - Is there something present causing a danger?
 - What can I do right now?
 - Are there additional supports in the environment needed?



Continuous Quality Improvement

Always look for new ways to improve your current responses and process to better the outcomes for the Waiver Participants.



Incident Report Process Questions

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