TEXAS
Department of Aging
and Disability Services

New Requirements for Critical Incident Reporting in HCS and TxHmL

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Topics of Discussion

- Provider Compliance
- Revisions
- New Reporting Requirements
- Definitions
- CARE Screens
- Additional Information
- Work in Progress

Program Provider Compliance

- Program providers are required to comply with new critical incident reporting requirements beginning with the July 2015 report of incidents that occur in June 2015.

Revisions to Current Reporting Requirements

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911 Calls

- Program providers must report all calls to 911 made by staff, indicating the number of calls made according to the following categories:
  - medical;
  - behavioral/psychiatric; or
  - both (medical and behavioral/psychiatric).

- For HCS, this is a revision. This is a new requirement in TxHmL.

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Emergency Room and Hospital Admissions

- Program Providers must report the total number of emergency room and hospital admissions according to each of these categories:
- medical;
- behavioral/psychiatric; or
- Both (medical and behavioral/psychiatric).
- For HCS this is a revision. This is a new requirement in TxHmL.

Restraints

- Program providers must report the total number of restraints and identify each restraint with one of the following categories: (1) physical, (2) mechanical, or (3) chemical.
- The type of restraint currently labeled “PSYCH MEDS” is being replaced with “CHEMICAL.”

- For TxHmL:
- The type of restraint currently labeled “PERSONAL” is being replaced with “PHYSICAL.”

New Reporting Requirements

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Abuse, Neglect and Exploitation

- Program providers must report the number of:
  - allegations of abuse
  - allegations of neglect
  - allegations of exploitation
- Program providers will enter the information into CARE for each month in which they receive the intake report from the Department of Family and Protective Services (DFPS). If one intake report lists abuse, neglect and exploitation or any combination of the three, one critical incident will be entered for each type of allegation regardless of the number of times each type of allegation is listed in the report.

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Abuse, Neglect and Exploitation (cont'd)

- Program providers must report the number of:
  - confirmed allegations of abuse
  - confirmed allegations of neglect
  - confirmed allegations of exploitation
- Program providers will enter the information into CARE for each month in which they receive the final investigation report from the DFPS. If one intake report lists abuse, neglect and exploitation or any combination of the three, one critical incident will be entered for each type of allegation regardless of the number of times each type of allegation is listed in the report.

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New Reporting Requirements

- Program providers must report the number of unauthorized departures.
- Program providers must report the total number of arrests of individuals by law enforcement.
- Program providers must report the total number of deaths, including unusual deaths.
- Program providers must report separately the total number of unusual deaths.

Definitions

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Definitions

- Number of allegations of abuse – Allegations of abuse investigated by DFPS.
- Number of confirmed abuse - Allegations of abuse confirmed by DFPS.
- Number of allegations of neglect – Allegations of neglect investigated by DFPS.
- Number of confirmed neglect - Allegations of neglect confirmed by DFPS.
- Number of allegations of exploitation – Allegations of exploitation investigated by DFPS.
- Number of confirmed exploitation - Allegations of exploitation confirmed by DFPS.

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Definitions (cont'd)

- Number of deaths – the number of deaths of individuals enrolled in HCS or TxHmL contract. This includes individuals suspended in CARE at the time of death.
- Number of unusual deaths – the number of deaths with unknown causes including deaths not caused by a previously identified diagnosis or deaths that occur during or after an unusual incident.
- Number of arrests – the number of arrests of an individual by law enforcement. If the individual is taken by police to an ER or hospital, that incident is reported as an ER or hospital visit, not as an arrest.

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Definitions (cont'd)

- Number of ER or hospital admissions – the number of admissions to an ER or hospital. If the individual is admitted to the hospital after being at the ER, only one admission is reported. Scheduled hospital admissions and procedures are not reported as critical incidents. Visits to urgent care facilities for minor illnesses such as a cold or the flu are not reported as critical incidents.
- Number of unauthorized departures – the number of incidents of an individual's location being unknown that poses an imminent danger of serious injury or death

CARE Screens

HCS Revised CARE Screen 686

```
  06-02-15              686: CRITICAL INCIDENT DATA:ADD                VC026512A

COMPONENT CODE/NAME: 000 / Program Provider       CONTRACT NUMBER: 000000000_
INCIDENT MONTH/YEAR: 05 / 2015         0   OF 2   CONTRACTS ENTERED

                    TOTAL NUMBER OF INCIDENTS RELATING TO:
          MEDICATION ERRORS: ____                      SERIOUS INJURIES: ____
       ALLEGATIONS OF ABUSE: ____                       CONFIRMED ABUSE: ____
     ALLEGATIONS OF NEGLECT: ____                     CONFIRMED NEGLECT: ____
ALLEGATIONS OF EXPLOITATION: ____                 CONFIRMED EXPLOITATION: ____
                    ARRESTS: ____                UNAUTHORIZED DEPARTURES: ____

                                 MEDICAL      BEHAVIORAL/PSYCHIATRIC      BOTH
    911 CALLS MADE BY STAFF:     ____         ____                        ____
  ER OR HOSPITAL ADMISSIONS:     ____         ____                        ____

                      *** TOTAL DEATHS INCLUDES UNUSUAL DEATHS ***
               TOTAL DEATHS: ____                       UNUSUAL DEATHS: ____

READY TO CONTINUE?  : _ (Y/N)                                PAGE: 1 OF 2
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HCS Revised CARE Screen 686 (cont'd)

```
ACT: ____ (600/COMPONENT DATA ENTRY,M/MENU,F1/HLP,F3/QUIT)   06-02-15
686: CRITICAL INCIDENT DATA:ADD                VC026512

COMPONENT CODE/NAME: 000 / Program Provider       CONTRACT NUMBER: 000000000_
INCIDENT MONTH/YEAR: 05 / 2015         0   OF 2   CONTRACTS ENTERED



                                                  RSS  SL  HH/CC DH   OTH  TOT
NO. OF RESTRAINTS USED:            PHYSICAL:      ____ ____ ____ ____ ____ ____
                                   MECHANICAL:    ____ ____ ____ ____ ____ ____
                                   CHEMICAL:      ____ ____ ____ ____ ____ ____
NO. OF INDIVIDUALS THAT WERE RESTRAINED:
                                   PHYSICAL:      ____ ____ ____ ____ ____ ____
                                   MECHANICAL:    ____ ____ ____ ____ ____ ____
                                   CHEMICAL:      ____ ____ ____ ____ ____ ____
NO. OF RSRNT RLTD SERIOUS INJURIES RLTD TO:
                                   PHYSICAL:      ____ ____ ____ ____ ____ ____
                                   MECHANICAL:    ____ ____ ____ ____ ____ ____
                                   CHEMICAL:      ____ ____ ____ ____ ____ ____
No.  911 CALLS MADE BY STAFF:                     ____ ____ ____ ____ ____ ____
No.  OF ER OR HOSPITAL ADMISSIONS:                ____ ____ ____ ____ ____ ____
READY TO ADD?        : _ (Y/N)                                     PAGE: 2 OF 2

               ACT: ____ (600/COMPONENT DATA ENTRY, M/MENU, B/PF7, HLP(PF1))
```

TxHmL Revised CARE Screen 686

```
06-02-15              686: CRITICAL INCIDENT DATA:ADD                VC026512A

COMPONENT CODE/NAME: 000 / Program Provider       CONTRACT NUMBER: 000000000_
INCIDENT MONTH/YEAR: 05 / 2015         0   OF 2   CONTRACTS ENTERED

                    TOTAL NUMBER OF INCIDENTS RELATING TO:
          MEDICATION ERRORS: ____                      SERIOUS INJURIES: ____
       ALLEGATIONS OF ABUSE: ____                       CONFIRMED ABUSE: ____
     ALLEGATIONS OF NEGLECT: ____                     CONFIRMED NEGLECT: ____
ALLEGATIONS OF EXPLOITATION: ____                 CONFIRMED EXPLOITATION: ____
                    ARRESTS: ____                UNAUTHORIZED DEPARTURES: ____

                                 MEDICAL      BEHAVIORAL/PSYCHIATRIC      BOTH
    911 CALLS MADE BY STAFF:     ____         ____                        ____
  ER OR HOSPITAL ADMISSIONS:     ____         ____                        ____

                      *** TOTAL DEATHS INCLUDES UNUSUAL DEATHS ***
               TOTAL DEATHS: ____                        UNUSUAL DEATHS: ____

READY TO CONTINUE?  : _ (Y/N)                                PAGE: 1 OF 2
```

TxHmL Revised CARE Screen 686 (cont'd)

```
06-02-15              686: CRITICAL INCIDENT DATA:ADD                VC026512
COMPONENT CODE/NAME: 000 / PROGRAM PROVIDER  CONTRACT NUMBER: 000000000_
INCIDENT MONTH/YEAR: 05 / 2015         0   OF 2   CONTRACTS ENTERED



                                                                      TOT
NO. OF RESTRAINTS USED:            PHYSICAL:                          ____
                                   MECHANICAL:                        ____
                                   CHEMICAL:                          ____
NO. OF INDIVIDUALS THAT WERE RESTRAINED:
                                   PHYSICAL:                          ____
                                   MECHANICAL:                        ____
                                   CHEMICAL:                          ____
NO. OF RSRNT RLTD SERIOUS INJURIES RLTD TO:
                                   PHYSICAL:                          ____
                                   MECHANICAL:                        ____
                                   CHEMICAL:                          ____
NO. 911 CALLS MADE BY STAFF                                           ____
NO. OF ER OR HOSPITAL ADMISSIONS                                      ____
READY TO ADD?       : _ (Y/N)                                 PAGE: 2 OF 2

              ACT: ____ (600/COMPONENT DATA ENTRY, M/MENU, B/PF7,HLP(PF1))
```

Additional Information

Restraints

- HCS program providers must continue to report the use of the different types of restraints (i.e., physical, mechanical, and chemical based on the location of where the restraint occurred. (e.g, host home, day habilitation.)

CARE Changes Based on New Information

- If a program provider obtains new information that requires a change in the information received after critical incidents have been reported, the program provider should print the CARE screen showing the original entry date before making any changes.

CMS Requirement

- DADS uses the data obtained from critical incident reporting to measure DADS compliance with Centers for Medicare and Medicaid Services (CMS) requirements and legislative request. The data is also used to identify trends to assist in developing rules, policy and training needs. DADS modifies reporting procedures in accordance with changes in CMS requirements and legislation and to facilitate broader and more comprehensive data collection.

Work in Progress

Work in Progress

- The updated CARE User Guides for HCS and TxHmL will be available July 1, 2015.
- Updated links in the HCS Handbook
- The Critical Incident Reporting pdf on the TxHmL Provider Resources page

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Questions??

Questions??

- Questions about this webinar may be sent to the HCS and TxHmL policy mailboxes at:
  - hcs@dads.state.tx.us
  - txhml@dads.state.tx.us

- Questions about compliance with critical incident requirements may be sent to the Waiver Survey and Certification at:
  - waiversurvey.certification@dads.state.tx.us

Thank you!