

# 2017 Critical Incident Reporting Process Training

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# Agenda

- 1 Review of the Iowa Administrative Code (IAC)
- 2 Definition of a Major Incident
- 3 Definition of a Minor Incident
- 4 Critical Incident Reporting (CIR) Form – General Requirements
- 5 CIR Form Updates
- 6 CIR Process
- 7 Member Eligibility Determination
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# Iowa Administrative Code (IAC)

- ✓ IAC defines major and minor incidents for home- and community-based services (HCBS) waiver and habilitation services
- ✓ IAC identifies reporting requirements for major and minor incidents
- ✓ Incident definitions and reporting timelines are the same for care providers whether they're reimbursed under a fee-for-service arrangement or managed care organization (MCO)

# Iowa Administrative Code: Chapter 77

**Critical incidents affect care providers who have personal contact with Medicaid members on the waivers listed.** More information is available in [IAC Chapter 77](#) for each type of waiver and the section within the chapter.

- ✓ AIDS/HIV waiver; 77.34
- ✓ Brain Injury waiver; 77.39
- ✓ Children's Mental Health waiver; 77.46
- ✓ Elderly waiver; 77.33
- ✓ HCBS Health & Disability waiver; 77.30
- ✓ Intellectual Disability waiver; 77.37
- ✓ Physical Disability waiver; 77.41

# Definition of a Major Incident

**A major incident** is an occurrence involving a member enrolled in waiver services that:

- 1 Results in physical injury to or by the member that requires a physician's treatment or admission to a hospital
- 2 Results in the death of any person
- 3 Requires emergency mental health treatment for the member
- 4 Requires the intervention of law enforcement
- 5 Results in a report of child abuse under Iowa Code section 232.69 or a report of dependent adult abuse under Iowa Code section 235B.3

# Definition of a Major Incident (Cont'd)

**A major incident** is an occurrence involving a member enrolled in waiver services that:

- ⑥ Constitutes a prescription medication error or a pattern of medication errors that lead to an outcome identified in the major incidents numbered 1, 2 or 3
- ⑦ Involves a member's location being unknown by care provider staff who are assigned protective oversight. This occurs when services or supervision by staff is to be provided or is scheduled.

# Definition of a Minor Incident

**A minor incident** is an occurrence involving a member that is not a **major incident** and that:

- 1 Results in the application of basic first aid
- 2 Results in bruising
- 3 Results in seizure activity
- 4 Results in injury to self, to others, or to property but no physician or hospital treatment is needed
- 5 Constitutes a prescription medication error

# Reporting a Major Incident

## Who reports?

- ✓ First to know of incident
- ✓ Service providers
- ✓ Service workers
- ✓ Case managers, targeted case managers who work with a member on a specific diagnosis
- ✓ Community-based case managers
- ✓ Integrated health home care coordinators

## Who does not report?

- ✓ Consumer Choice Options (CCO) service providers, home and vehicle modification, and transportation providers or personal emergency response systems



# Reporting a Major Incident (cont'd)

## When to report?

By the end of the next calendar day from the date the incident occurred or was discovered

## What to report?

- ✓ Name of the member involved
- ✓ Date and time incident occurred and/or discovered
- ✓ Description of incident
- ✓ Names of others present/involved
- ✓ Action the agency or care provider took to manage incident
- ✓ Resolution/follow-up

# Reporting a Minor Incident

- ✓ When a minor incident occurs or a staff member becomes aware of a minor incident, the staff member involved must submit the completed incident report to their supervisor within 72 hours of the incident
- ✓ The completed report must be maintained in a centralized file with a notation in the member's file

# CIR 470- 4698 Form - General Requirements

## Rules for reporting requirements

- ✓ CIR 470-4698 Form is used to report **major** incidents
- ✓ Separate forms should be used for each distinct major incident and one for each member involved
- ✓ Complete form entirely
- ✓ Include clear and concise information
- ✓ Additional information may be submitted

The CIR form is posted at [UHCCommunityPlan.com](http://UHCCommunityPlan.com) > For health care professionals > IA > [Provider Forms](#) > Critical Incident Reporting Form.

# CIR 470- 4698 Form Updates

The following updates have been made to the CIR form for 2017:

## Incident Status

- ✓ Checkbox for Additional Information Added  
(See “Resolution and Follow Up” for more detail)

## Reporting Party

- ✓ Separate section

## Point of Contact

- ✓ New section

## Case Manager

- ✓ Added field to list phone number and whether the member was contacted within 24 hours

# CIR 470- 4698 Form Updates (Cont'd)

## Incident

- ✓ Date of incident and date of discovery are required

## Location of incident

- ✓ Less options for checkboxes
- ✓ Added name of location or facility and address

## Reporting

- ✓ Added checkboxes for who incident was reported to:
  - ✓ Department of Human Services
  - ✓ Department of Inspections and Appeals, or
  - ✓ Law enforcement

# CIR 470- 4698 Form Updates (Cont'd)

## Preventable and Root Cause

### ✓ New sections

These new sections will allow care providers to identify and develop ways to reduce critical incident occurrences and improve the quality of care they give to UnitedHealthcare Community Plan members.

# UnitedHealthcare's CIR Process

**Critical incidents affect care providers who have personal contact with Medicaid members receiving HCBS waiver and habilitation services.**

Our goal is to help ensure that critical incidents:

- ✓ Are appropriately reported, reviewed and monitored as part of an overall patient safety program

The CIR process also helps:

- ✓ Identify areas of improvement among care providers, facilities and other health care practitioners
- ✓ Improve overall quality of care provided to members
- ✓ Reduce the probability of future critical incidents
- ✓ Comply with Iowa Administrative Code

# Member Eligibility Determination

UnitedHealthcare Community Plan asks care providers to confirm the individual's plan enrollment before submitting a CIR Form.

- ✓ Please verify that the individual was a UnitedHealthcare Community Plan member when the incident occurred, not when it was discovered as these dates may differ
- ✓ If the incident **occurred** while the individual was a UnitedHealthcare Community Plan member, please complete the CIR form and submit it to us by:

Fax: 855-371-7638

**OR**

Email: [critical\\_incidents@uhc.com](mailto:critical_incidents@uhc.com)



# Resolution and Follow Up

A UnitedHealthcare Community Plan critical incident nurse will review the report and determine whether the incident meets the IAC's definition of a major critical incident and then oversee the investigation.

The process will be completed within 30 calendar days of notification, including any indicated follow-up for the care provider.

As part of the investigation, the critical incident nurse may work with other UnitedHealthcare Community Plan service areas, such as Care Coordination, to be sure the member's needs are being addressed.

# Resolution and Follow Up (Cont'd)

Additional information may be submitted after initial CIR form submission has been completed:

- ✓ Use the CIR form, and check the box at the top of the form that reads “Additional Information Added”
- ✓ Provide additional information in the comment box at the end of the CIR form
- ✓ Submit completed form by:
  - Fax: 855-371-7638
  - OR**
  - Email: [critical\\_incidents@uhc.com](mailto:critical_incidents@uhc.com)

# CIR Resources

## CIR Resources

- ✓ This CIR training is available at [UHCCommunityPlan.com](https://UHCCommunityPlan.com) > For health care professionals > IA > [Provider Training](#)
- ✓ The CIR form is posted at [UHCCommunityPlan.com](https://UHCCommunityPlan.com) > For health care professionals > IA > [Provider Forms](#) > Critical Incident Reporting Form
- ✓ A guide for completing the form can be found at [UHCCommunityPlan.com](https://UHCCommunityPlan.com) > For health care professionals > IA > [Billing and Reference Guides](#) > Critical Incident Report Form Reference Guide

## Questions?

- ✓ If you are having difficulty accessing, completing or submitting the form, please contact Provider Services at 888-650-3462 or send an email to [critical\\_incidents@uhc.com](mailto:critical_incidents@uhc.com) describing your inquiry.

**Thank You**

