

Optima Health

Critical Incident Reporting Training
Quality Contractual & Regulatory
May 2022

05.25.2022

Agenda

- What is a Critical Incident?
- Why Report Critical Incidents?
- Mandated Reporters
- What to Report
- When to Report
- Reporting Options
- Reporting Form
- Critical Incident Categories
- Incident Categories Defined

What is a Critical Incident?

- Any actual, or alleged, event or situation that creates significant risk of substantial or serious harm to the member's
 - physical or mental health
 - safety
 - well-being of a member
- Includes, but is not limited to:
 - medication errors
 - severe injury or fall
 - theft
 - suspected physical or mental abuse or neglect
 - financial exploitation
 - death of a member

CRITICAL

Why Report Critical Incidents?



- Ensure member/patient safety
- Avoid repeatable errors
- Address areas of concern
- Comply with regulatory reporting requirements

Virginia legal code defines mandatory reporters as:

- Any person licensed, certified, or registered by health regulatory boards listed in Code of Virginia § 54.12503, except persons licensed by the Board of Veterinary Medicine
- Any mental health services provider as defined in § 54.1-2400.1.
- Any emergency medical services personnel certified by the Board of Health pursuant to § 32.1-111.5
- Any guardian or conservator of an adult
- Any person employed by or contracted with a public or private agency or facility and working with adults in an administrative, supportive, or direct care capacity

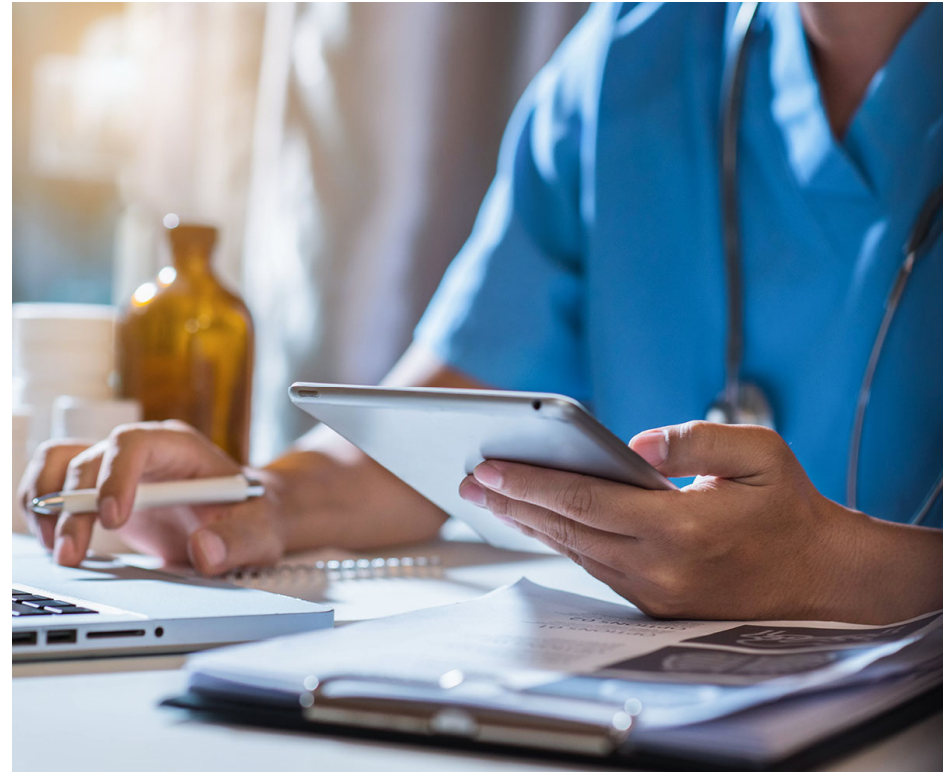
What to Report to Optima Health

Providers shall provide Optima Health with the following information for any suspected abuse, neglect, exploitation reported to APS or CPS:

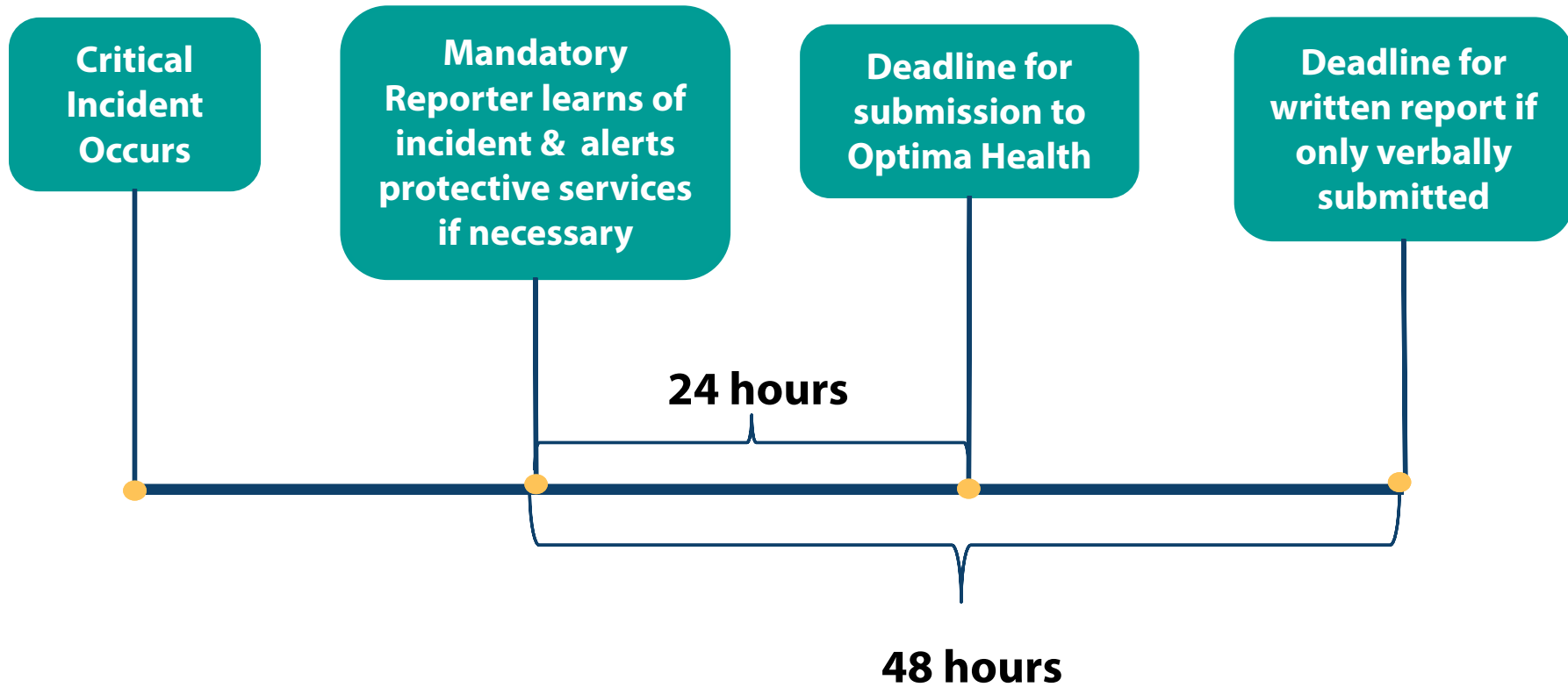
- Member name, address, and telephone number
- Date of Birth or age, sex, and race
- Member ID or Medicaid ID
- Provider name and NPI and contact number
- Nature of incident
- Contact person
- Name of agency notified and reference number
- Date and time reported
- Names and ages of other persons living with the member, including relationship
- Name, address, and telephone number of suspected abuser, including relationship to member

Reporting Requirements

- **Immediately** report to appropriate protective services agency.
- **Within 24 hours** of knowledge of the incident, must be reported to Optima Health.
- **Within 48 hours** of knowledge of the incident, written documentation must be provided, if submitted verbally, within 24 hours of knowledge



Critical Incident Reporting Timeline





Immediately report alleged abuse, neglect, or exploitation related Critical Incidents to appropriate protective services agency

- Adult Protective Services (APS): 1-888-832-3858
- Child Protective Services (CPS): 1-800-552-7096

- **Within 24 hours, email or fax all Critical Incidents via the Critical Incident Report Form located on optimahealth.com to:**
 - Email: Optima_Critical_Incidents@optimahealth.com
 - Critical Incident Fax: 1-833-229-8932or
 - Call Optima Health: 757-252-8400



Critical Incident Reporting Form

 **Critical Incident Report** 

Program		MCO		Incident Category	
Member Information					
Last Name		First Name		Date of Birth	Gender
Dually Eligible	Medical ID	Medicare ID	Member Classification at Time of Incident		
Incident Information					
Incident High-Level Description - Check all that apply					
<input type="checkbox"/> Abuse	<input type="checkbox"/> Medication discrepancy	<input type="checkbox"/> Theft			
<input type="checkbox"/> Attempted suicide	<input type="checkbox"/> Missing person	<input type="checkbox"/> Other			
<input type="checkbox"/> Deviation from standards of care	<input type="checkbox"/> Neglect	<input type="checkbox"/>			
<input type="checkbox"/> Exploitation, financial or otherwise	<input type="checkbox"/> Sentinel death	<input type="checkbox"/>			
<input type="checkbox"/> Medical error	<input type="checkbox"/> Serious injury	<input type="checkbox"/>			
Occurrence of Incident		Discovery of Incident		Report of Incident	
Date	Time	Date	Time	Date	Time
Location/Address of Incident					
Incident Detailed Description (see additional pages if necessary)					
Cause of Death (if applicable)					
Providers Involved in Incident					
Provider (1)	Name	NPI Number	Contact Information (phone or e-mail)		
Address		Provider Type			
Provider (2)	Name	NPI Number	Contact Information (phone or e-mail)		
Address		Provider Type			

This document and any appended materials are furnished for Quality Improvement purposes and is privileged and confidential. This document is protected from discovery under the rules of Virginia sections 8.01-961.16, 8.01-961.17, 8.01-961.18, 8.01-961.191 Revised 03/04/2023

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 **Critical Incident Report** 

Source of Critical Incident Data			
Personal or Professional Relationship to Member (e.g., member's sister, caregiver, care coordinator, etc.)			
Contact Name	Contact E-mail	Contact Phone Number	
Other Individuals/Witnesses			
Name	E-mail	Phone Number	
External Agencies Contacted (NPS, CPS, law enforcement, etc.)			
Agency	Agency Contact Name	Phone Number	Date of Report
Follow-up/Resolution of Incident			
Is the member subject to further harm, or does he or she have further emergency needs at this time? <input type="checkbox"/>			
If yes, please explain:			
Detailed Description of Follow-up Actions for this Incident			

* Waiver classification is specifically for the "CCC Plus" waiver. Do not include DO waiver members in this classification. This document and any appended materials are furnished for Quality Improvement purposes and is privileged and confidential. This document is protected from discovery under the rules of Virginia sections 8.01-961.16, 8.01-961.17, 8.01-961.18, 8.01-961.191 Revised 03/04/2023

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Quality of Care

Any incident that calls into question the competence or professional conduct of a healthcare provider while providing medical services and has adversely affected, or could adversely affect, the health or welfare of a member. These are incidents of a less critical nature than those defined as sentinel events.





Sentinel Event

A patient safety event involving a sentinel death (not primarily related to the natural course of the patient's illness or underlying condition for which the member was being treated or monitored by a medical professional at the time of the incident) or serious physical or psychological injury, or the risk thereof.

Other Critical Incident

An event or situation that creates a significant risk to the physical or mental health, safety, or well-being of a member not resulting from a quality-of-care issue and less severe than a sentinel event.



Reportable Incidents

Abuse	Attempted Suicide	Deviation from Standards of Care	Exploitation, Financial, or Other
Medical Error	Medication Discrepancy	Missing Person	Neglect
Sentinel Death	Serious Injury	Theft	Other

DMAS CCC Plus Technical Manual Version 2.25 (12.24.2021)

Reportable Incidents Defined

Includes but is not limited to:

- Willful use of offensive, abusive, or demeaning language by caretaker that causes mental anguish
- Knowing, reckless, or intentional acts or failures to act which cause injury or death to an individual, or which places that individual at risk of injury or death
- Rape or sexual assault
- Corporal punishment or striking of an individual
- Unauthorized use or the use of excessive force in the placement of bodily restraints on an individual
- Seclusion

- Nonfatal self-directed potentially injurious behavior with any intent to die as a result of the behavior
- Suicide attempt may or may not result in injury

Not aligning to standards by any of the following:

- Failing to make good use of available resources for meeting the standards of care
- Error
- Omission
- Delay

Includes but is not limited to:

- Taking or misuse of property or resources of a person by means of
 - Undue influence
 - Breach of fiduciary relationship
 - Deception
 - Harassment
 - Criminal coercion
 - Or other unlawful or improper means
 - Taking or misuse of property or resources of a person
- Use of services of a person without just compensation
- Use of a person for the entertainment or sexual gratification of others under circumstance that cause
 - Degradation
 - Humiliation
 - Or mental anguish

- A preventable adverse effect of care, whether or not it is evident or harmful to the patient
- This might include
 - Inaccurate or incomplete diagnosis or treatment of a disease
 - Injury
 - Syndrome
 - Behavior
 - Infection
 - or other ailment

When one or more of the following occurs:

- Wrong medication
 - individual takes medication that is not prescribed for that individual
 - Includes taking medication after it has been discontinued or taking the incorrect medication because it was improperly labeled

Wrong dose

- individual takes a dose of medication other than the dose that was prescribed

Omitted dose

- individual does not take a prescribed dose of medication within the 24-hour period of a calendar day
- Does not include an individual's refusal to take medication

Dose Refused

- individual's refusal to take medication resulting in a medical emergency or use of restraint

Reported whenever there is police contact regarding a missing person regardless of the amount of time the person was missing

Includes but is not limited to:

- Inability of a person to provide food, shelter, clothing, health care, or services necessary to maintain the mental and physical health of that person
- Failure by any caretaker of a person to meet, either by commission or omission, any statutory obligation, court order, administrative rule or regulation, policy, procedure, or minimally accepted standard for care of that person
- Negligent act or omission by any caretaker which causes injury or death to a person or which places that person at risk of injury or death

- Failure by any caretaker, who is required by law or administrative rule, to establish or carry out an appropriate individual program or treatment plan for a person
- Failure by any caretaker to provide adequate nutrition, clothing, or health care to a person
- Failure by any caretaker to provide a safe environment for a person

Unexpected “Sentinel” Death- any death that is unrelated to the natural course of a patient’s illness or underlying condition

- (e.g., suicide, intrapartum maternal death, death of full-term infant)

Event that specifically includes loss of limb or function that leads to permanent or severe temporary harm

Taking the personal property of another without permission or consent and with the intent to deprive the rightful owner of it

Click on the links below for more information about reporting critical incidents:

- [Critical Incident Reporting Form](#)
- [Critical Incident Reporting Flyer](#)



Thank You for participating in the
Critical Incident Reporting
Training