MEMORANDUM

DATE:       July 23, 2014

TO:         ADLS Providers

FROM:       Ronda Williams, ADLS Program Manager

SUBJECT:    Incident Reporting Guidelines

As per Program Guide DRS/ADLS 07-01 dated January 24, 2007 and the 2012 ADLS Waiver, providers must report alleged incident of abuse, neglect and exploitation by telephone call, fax or mail within 48 hours of the incident or the next working day, whichever comes first. The DRS/ADLS-101 must be submitted within 7 calendar days following the incident. Cases will be referred to local law enforcement and Medicaid Fraud as determined necessary by the ADLS Waiver Manager.

In addition to allegations of abuse, neglect and exploitation, there are other incidents that may not fall under the abuse, neglect and exploitation definition, but are still critical and important to have documented in the case. In FoCoS, case notes can be entered on the Participant’s View User Page, under Participant Notes. These are viewable by the Provider staff and State Staff. It is here that incidents not covered under Program Guide DRS/ADLS 07-01 need to be documented. The incidents that will be documented include:

1. Death
   - This includes explained and unexplained deaths. Provide detailed notes on circumstances that led up to the death.

2. Life threatening illness or injuries whether hospitalization occurs or not.
   - Examples include, but are not limited to suicide attempts, head injury with loss of consciousness, intensive care unit treatment, emergency surgical procedure where the likelihood of death is high, choking incidents that require medical follow-up, victim of altercation resulting in severe injury and any life threatening medical diagnosis.

3. Changes in health or behavior that may jeopardize continued services.
• Examples include but are not limited to: missing person, behavior that led to a severe altercation toward others, sexual contact with someone who is unable to or did not provide consent, severe self-inflicted injury (injury requiring clinic, hospital or emergency room care), inpatient psychiatric stays, and increase in behavioral issues.

4. Illnesses or injuries that resulted from unsafe or unsanitary conditions. Injuries may not require emergency medical treatment.
   • Examples include but are not limited to: fractures or dislocations, or unexplained injuries (injuries that cannot otherwise be attributed to environmental factors, medical or dental appointments or activities). Unexplained injuries may or may not be an element of an allegation of abuse.

5. Any illegal activity that involves a participant.
   • Examples include but are not limited to arrests, incarceration, criminal court appearances/charges, illegal drug use, probation/parole violation and shoplifting.

It is important to remember that above events only give examples of documentable situations. There may be situations not identified in this guidance that may constitute documentation. If you have questions as to whether an event requires documentation, please contact the ADLS Waiver Manager. The documentation must contain a description of the incident, specifying what happened, when it happened, where it happened, the participant’s status, and any action taken by the provider. The division may request further information or follow-up related to the incident.

The ADLS Waiver Manager will also be using the Participant Notes section to document phone contacts that relate to any of the above incidents to maintain communication with providers and have a record of any follow up as a result of the incidents identified.