

961 - INCIDENT, ACCIDENT, AND DEATH REPORTING

EFFECTIVE DATES: 04/01/21, 10/01/22, 01/01/23, UPON PUBLISHING¹

APPROVAL DATES: 02/04/21, 04/14/22, 09/15/22, 07/16/24²

I. PURPOSE

This Policy applies to ACC, ACC-RBHA, ALTCS E/PD, DCS/CHP (CHP), and DES/DDD (DDD) Contractors; Fee-For-Service (FFS) Programs including: the American Indian Health Program (AIHP), DES/DDD Tribal Health Program (DDD/THP)³, TRBHA, Tribal ALTCS; and all FFS populations. This Policy establishes requirements for the reporting, reviewing, and monitoring of Incidents, Accidents, and Deaths (IAD)⁴ in a consistent manner across the delivery system. For requirements applicable to Tribal ALTCS and TRBHAs refer to the Intergovernmental Agreement (IGA).

II. DEFINITIONS

Refer to the AHCCCS Contract and Policy Dictionary for common terms found in this Policy including⁴:

<u>ADULT PROTECTIVE SERVICES (APS)</u>	<u>ARIZONA DEPARTMENT OF HEALTH SERVICES (ADHS)</u>	<u>ASSISTED LIVING FACILITY (ALF)</u>
<u>BEHAVIORAL HEALTH INPATIENT FACILITY (BHIF)</u>	<u>BEHAVIORAL HEALTH RESIDENTIAL FACILITY (BHRF)</u>	<u>DEPARTMENT OF CHILD SAFETY (DCS)</u>
<u>FEE-FOR-SERVICES (FFS)</u>	<u>INCIDENT, ACCIDENT, AND DEATH (IAD)</u>	<u>MEMBER</u>
<u>QUALITY MANAGEMENT (QM)</u>	<u>QUALITY OF CARE (QOC)</u>	

Definitions are located on the AHCCCS website at: AHCCCS Contract and Policy Dictionary.

¹ Date Policy is effective

² Date Policy is approved

³ Added DDD THP Program to reflect programmatic changes

⁴ Revised section to reflect the updated Definitions section

III. POLICY

The Contractor shall develop and implement policies and procedures that require individual and organizational providers to identify and report ~~Incident, Accident, and Death (IADs)~~⁵ to the Contractor, AHCCCS, and other appropriate authorities in accordance with the requirements specified within this Policy. The Contractor shall ensure that reporting requirements are in compliance with applicable licensure and/or accreditation as appropriate. ~~The Contractor~~⁶ may determine if providers are required to enter reports directly into the [AHCCCS Quality Management \(QM\) Portal](#) or submit reports to the Contractor who will then enter the report into the [AHCCCS QM Portal](#) on behalf of the provider. [All providers shall register an account in the AHCCCS QM Portal within 30 days of becoming an AHCCCS registered provider](#)⁷. Providers serving FFS members are required to enter all reportable ~~IADs~~⁸ incidents into the [AHCCCS QM Portal](#) following the reporting timelines ~~outlined~~ below. [In addition to this Policy, FFS Providers shall refer to Quality of Care and FFS Provider requirements in AMPM Policy 830](#).⁹ –

A. MINIMUM REQUIREMENTS FOR [INCIDENT, ACCIDENT, AND DEATH](#) REPORTING

The Contractor shall develop a process to ensure that all high profile, media, and sentinel events ~~affecting AHCCCS members~~ can be reported to the Contractor by [individual and organizational](#)¹⁰ providers, members, or family members at any time of day including evenings, weekends, and holidays. ~~This Contractor shall ensure this~~¹¹ notification can be received through the Contractor's existing customer service phone system or any other means of communication the Contractor deems reliable to receive such concerns 24/7. The Contractor shall ensure notifications¹² meeting these criteria are communicated to the Contractor's QM department and urgent notifications from the Contractor to AHCCCS are made as specified in [Contract](#).

The Contractor ~~and providers is responsible for~~¹³ shall ensure that all reportable IADs ([described below](#)) and Internal Referrals (IRFs)⁵ are submitted via the [AHCCCS QM Portal](#). [When entering an IRF, the Contractor shall document in the AHCCCS QM Portal the date the Contractor was made aware of the incident as well as the reporting source](#).¹⁴ All IADs and IRFs shall be submitted into the [AHCCCS QM Portal](#) within two business days of the occurrence or [within two business days of](#) notification to the Contractor or provider of the occurrence. Sentinel IADs (~~listed below~~) shall be submitted by the Contractor or provider into the [AHCCCS QM Portal](#) within one business day of the occurrence or [within one business day of](#) becoming aware of the occurrence.

⁵ Already identified in Purpose statement

⁶ Outdated term, updated throughout policy

⁷ Added to clarify process.

⁸ Added for clarity

⁹ Added a reference for additional resources

¹⁰ Adding clarity that individuals and organizations can report

¹¹ Added for clarity to specify that the Contractor needs to ensure.

¹² Improve sentence structure

¹³ Changed to clarify process

¹⁴ Added to clarify process

The Contractor shall notify AHCCCS of all sentinel events via email at CQM@azahcccs.gov immediately, but within 24 hours of notification of the occurrence.

1. An IAD is reportable if it includes any of the following:
 - a. Allegations of abuse, neglect, or exploitation of a member,
 - b. Death of a member,
 - c. Delays or difficulties in accessing care (e.g., outside of the timeline specified in ACOM Policy 417),
 - d. Healthcare acquired conditions and other provider preventable conditions (refer to AMPM Policy 960 and AMPM Policy 1020),
 - e. Serious injury,
 - f. Injury resulting from the use of a personal, physical, chemical, or mechanical restraint or seclusion (refer to AMPM Policy 962),
 - g. Medication error occurring at a licensed residential Provider site including:
 - i. Behavioral Health Residential Facility (BHRF),
 - ii. DDD Group Home,
 - iii. DDD Adult Developmental Home,
 - iv. DDD Child Developmental,
 - v. Assisted Living Facility (ALF),
 - vi. Skilled Nursing Facility (SNF),
 - vii. Adult Behavioral Health Therapeutic Home (ABHTH), or
 - viii. Therapeutic Foster Care Home (TFC), and any other alternative Home and Community Based Service (HCBS) setting as specified in AMPM Policy 1230-A and AMPM Policy 1240-B.
 - h. Missing person from a licensed Behavioral Health Inpatient Facility (BHIF), BHRF, DDD Group Home, ALF, SNF, ABHTH, or TFC,
 - i. Member suicide attempt,
 - j. Suspected or alleged criminal activity, and
 - k. Any other incident that causes harm or has the potential to cause harm to a member.
2. Sentinel IADs include:
 - a. Member death or serious injury associated with a missing person,
 - b. Member suicide, attempted suicide, or self-harm that results in serious injury, while being cared for in a healthcare setting,
 - c. Member death or serious injury associated with a medication error,
 - d. Member death or serious injury associated with a fall while being cared for in a healthcare setting,
 - e. Any stage 3, stage 4, and any unstageable pressure ulcers acquired after admission or [upon](#) presentation to a healthcare setting,
 - f. Member death or serious injury associated with the use of seclusion and/or restraints while being cared for in a healthcare setting,
 - g. Sexual abuse/assault on a member during the provision of services [regardless of the perpetrator](#),¹⁵

¹⁵ [Added to clarify expectation](#)

- h. Death or serious injury of a member resulting from a physical assault that occurs during the provision of services, and
- i. Homicide committed by or allegedly committed by a member.

B. CONTRACTOR REQUIREMENTS

1. The Contractor shall conduct an initial review of all IADs within one business day of provider submission. An initial review shall include the following:
 - a. Identification of any immediate health and safety concerns and ensure the safety of the individuals involved in the incident, which may include ~~that provision of~~ immediate care and recovery needs ~~are identified and provided,~~
 - b. Determination if the IAD report needs to be returned to the provider for additional information (e.g., report is assigned to the wrong Contractor, enrollment category is not selected, incident type is not correct or not selected, information is missing or incorrect ~~through the report~~),
 - c. Determination if the IAD report requires further investigation through a Quality ~~of~~ Care (QOC) investigation (refer to AMPM Policy 960),
 - d. Determination if the IAD needs to be linked to a corresponding Seclusion ~~and~~ Restraint (SAR) Individual Reporting Form (refer to AMPM Policy 962), or
 - e. Determination if the IAD report does not need further documentation or review and closure of the report.
2. The Contractor is required to follow up on all IADs returned to the provider within one business day to ensure the provider is aware that the report has been returned and ~~are~~ that the provider is¹⁶ working on the corrections.
3. The Contractor is required to take immediate actions to ensure the immediate safety of members where allegations of harm or potential harm exist regardless of status assigned to the IAD, including those returned to provider.
4. The Contractor is required to ensure that all suspected cases of abuse, neglect, and exploitation of a member shall be reported to all appropriate authorities, by the provider directly or by the Contractor if not completed by the provider, including but not limited to: Adult Protective Services (APS); Department of Child Safety (DCS);¹⁷ and the Arizona Department of Health Services (ADHS).
5. The Contractor is required to track and trend all IADs to identify and address systemic concerns or issues within ~~their~~ its provider network. The Contractor shall review and address incomplete and/or unreviewed IADs and SARs in the AHCCCS QM Portal as required¹⁷.
6. The Contractor shall provide IAD reports to the appropriate Independent Oversight Committee (IOC) as specified in contract and AMPM Policy 960.

¹⁶ [Adding clarification to identify who would be working on corrections](#)

¹⁷ [Added to clarify requirement](#)