

**Bureau of Senior Services
April, 2008**

**AGED AND DISABLED WAIVER - INCIDENT MANAGEMENT
POLICY REQUIREMENTS AND PROVIDER RESPONSIBILITIES**

Intent of the policy: Ensure health and safety of all members served by the provider

Policy Requirements	Who is Responsible?	Timelines																								
<p>1. Establish Policies and Procedures that address the following:</p> <table border="1" style="width: 100%;"> <tr> <td style="padding: 2px;">a. Thoroughly review, investigate, and track incidents involving risk or potential of risk of health and safety</td> </tr> <tr> <td style="padding: 2px;">b. Address reporting of incidents by category: allegations of abuse/neglect/exploitation, critical incidents; simple incidents</td> </tr> </table>	a. Thoroughly review, investigate, and track incidents involving risk or potential of risk of health and safety	b. Address reporting of incidents by category: allegations of abuse/neglect/exploitation, critical incidents; simple incidents	Provider Agency	Before initial provider certification																						
a. Thoroughly review, investigate, and track incidents involving risk or potential of risk of health and safety																										
b. Address reporting of incidents by category: allegations of abuse/neglect/exploitation, critical incidents; simple incidents																										
<p>2. Annual and Ongoing Review/Develop Policies and Procedures: Ongoing review and development of policies and procedures for identification, investigation, and remediation of incidents</p>	Provider Agency	Before provider re-certification & ongoing																								
<p>3. Act on Individual Incidents-Review and Investigate: Take appropriate action on individual incidents in order to prevent harm to health and safety of members served</p> <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="background-color: #cccccc;">Action</th> <th style="background-color: #cccccc;">Who</th> <th style="background-color: #cccccc;">When</th> </tr> </thead> <tbody> <tr> <td>Report all incidents</td> <td>All staff</td> <td>Immediately</td> </tr> <tr> <td>Enter incidents into the WV IMS</td> <td>Agency IMS Contact</td> <td>Within 24 hours</td> </tr> <tr> <td>Conduct a review of all incidents</td> <td>RN, Licensed Social Worker or Counselor</td> <td>Within 14 days</td> </tr> <tr> <td>Investigate incidents</td> <td>RN, Licensed Social Worker or Counselor, Director</td> <td>Within 24 hours (May delay at request Of APS ONLY)</td> </tr> <tr> <td>Refer abuse, neglect or exploitations to APS.</td> <td>All staff</td> <td>Immediately</td> </tr> <tr> <td>Conduct follow up to investigations</td> <td>RN, Licensed Social Worker or Counselor</td> <td>Within 14 calendar days</td> </tr> <tr> <td>Complete Incident, final Director review and signature</td> <td>Agency Director</td> <td>Within 14 calendar days</td> </tr> </tbody> </table>	Action	Who	When	Report all incidents	All staff	Immediately	Enter incidents into the WV IMS	Agency IMS Contact	Within 24 hours	Conduct a review of all incidents	RN, Licensed Social Worker or Counselor	Within 14 days	Investigate incidents	RN, Licensed Social Worker or Counselor, Director	Within 24 hours (May delay at request Of APS ONLY)	Refer abuse, neglect or exploitations to APS.	All staff	Immediately	Conduct follow up to investigations	RN, Licensed Social Worker or Counselor	Within 14 calendar days	Complete Incident, final Director review and signature	Agency Director	Within 14 calendar days	Provider Agency; All Staff	Ongoing; See “when” for specifics
Action	Who	When																								
Report all incidents	All staff	Immediately																								
Enter incidents into the WV IMS	Agency IMS Contact	Within 24 hours																								
Conduct a review of all incidents	RN, Licensed Social Worker or Counselor	Within 14 days																								
Investigate incidents	RN, Licensed Social Worker or Counselor, Director	Within 24 hours (May delay at request Of APS ONLY)																								
Refer abuse, neglect or exploitations to APS.	All staff	Immediately																								
Conduct follow up to investigations	RN, Licensed Social Worker or Counselor	Within 14 calendar days																								
Complete Incident, final Director review and signature	Agency Director	Within 14 calendar days																								
<p>4. Act on Systemic Issues: Take appropriate action on a systemic basis in order to prevent harm to health and safety of members served</p>	Provider Agency; Director	Ongoing																								

**Bureau of Senior Services
April, 2008**

Policy Requirements		Who is Responsible?	Timelines
5. Incident Reporting:		Provider Agency	See reporting and follow up timelines
What are the categories of incidents?	Allegations of simple or critical incident or abuse, neglect or exploitation incidents		
Do Homemaker Agencies report monthly hospitalizations?	Report the number of member hospitalizations for the month. Data- Add as it occurs and totaled automatically by the month. May not enter data for the previous month beyond 15 working days into the next month.		
Who may report?	Member, family, legal representative, healthcare provider, concerned citizen, public agency		
What are the sources?	Verbal, written, or anonymous		
How is an interview conducted?	Interview ADW staff and member; face-to-face interview (unless circumstances do not permit- but must document why)		
Where are the records stored?	Provider must maintain an administrative file for all incidents for 5 years or longer if in review or dispute (state or federal review)		
6. Trending and Remediation: Track, trend, and act on provider level trends		Provider Agency	Ongoing - ID needs; add to quality plan; available for provider review
Action	Who		
Identify Trends	IMS Provider Contact		
Improve/change policy procedure	Provider Agency		
Incorporate plans to remediate (improve) into provider's Quality Assurance Plan	Provider Agency		
Present Quality Assurance Plan to BoSS staff at the time of the provider review	Agency Director		
7. Incident Report must include:		All staff	Immediate account of incident; 14 calendar days for the rest
Factual account of the incident (immediate) Findings and conclusions (antecedents or triggers) Details of actions taken by provider, if any Staff training that may be helpful in preventing further incidents Recommendations for additional support for ADW member Recommendations for modifications to members SCP or POC			
8. APS' Investigations:		Adult Protective Services staff (APS)	See APS timelines
APS Allegation	APS Timelines		
Emergency/life threatening	Within 2 hours		
Non-emergency situations	72 hours to 14 days, depending upon severity		