July 3, 2009

To: Intermediate Care Facilities for Persons with Mental Retardation (ICFs/MR) Providers

Subject: Information Letter No. 09-87
Critical Incident Reporting

The Provider Agreement for ICFs/MR requires ICF/MR providers to report to the Texas Department of Aging and Disability Services (DADS), through DADS’ Automated Enrollment and Billing System within 30 days following the end of each calendar month, the reportable data, by type, for that calendar month. Currently, the reportable data is described in Attachment B to the provider agreement.

The purpose of this letter is to inform providers of changes to critical incident reporting requirements. These changes are being made to enable DADS to accomplish annual reporting of aggregate data as required by the Health and Human Services Commission (HHSC) in accordance with recommendations of the workgroup mandated by Senate Bill 325, 79th Legislature, Regular Session, 2005. The changes are effective September 1, 2009, which means that ICFs/MR providers must begin collecting data in compliance with the new requirements on August 1, 2009. Entry of this data in the Client Assignment and Registration System (CARE) must occur no later than September 30, 2009. The following is the required information for the new reporting of critical incidents in CARE:

- **Total number of medication errors** – no change to this category.
- **Total number of serious injuries** – no change to this category.
- **Total number of behavior plans authorizing restraint** – no change to this category.
- **Total number of emergency restraints used** – no change to personal or mechanical restraint categories; **chemical restraints will now be referred to as psychoactive medication restraints.**
- **Total number of individuals requiring emergency restraints** – this category will require reporting by specific type of emergency restraint.
- **Total number of restraint related injuries** – this is a new reporting category.

Please be aware that ICFs/MR providers will no longer be required to report deaths of individuals in Screen 686 in CARE. In addition, providers are still required to report the type of emergency restraint used except that under the new reporting requirements “chemical restraint” will be referred to as “psychoactive medication.” Under the new requirements, providers must also report a category not currently in Attachment B of the ICFs/MR contract, which is the number of restraint related injuries.

Beginning September 1, 2009, all critical incident reporting requirements, including the type of reportable data and instructions on how to enter the data will be contained in the ICFs/MR CARE User Guide instead of Attachment B referenced above.
For your information, attached to this letter is the portion of the ICFs/MR CARE User Guide containing requirements for reporting critical incidents. The current version of the guide can be accessed online at: http://www2.mhmr.state.tx.us/655/cis/training/icfmr.html.

The User Guide will be revised and available September 1, 2009 to reflect the requirements described in this letter.

Please direct any questions about critical incident reporting procedures to William Fordyce, ICFs/MR Contract Manager at (512) 438-3544.

Sincerely,

[signature on file]

Tommy Ford
Director
Institutional Services

TF:gw

Attachment
Critical Incident Data Using Mainframe/3270

Introduction

The Critical Incident Data process allows a provider to add, change, or delete critical incident data.

Critical Incident Data Entry

The entry of critical incident data is required on a monthly basis for all of the contracts administered by a provider, including contracts for waiver programs and ICF/MR. Critical incident data must be entered no later than 30 days from the end of the month being reported. For example, the data reported in the month of September will reflect data that was entered in August.

When adding critical incident data, the fields on the **686: Critical Incident Data: Add** screen will clear to allow for multiple entries of the contracts for your component, and the number of contracts entered is displayed.

Providers can use the **286: Critical Incident Data: Inquiry** screen to review the Critical Incident Data entered.

Reportable Data

The following information provides terms and definitions used on the Critical Incident Data screens.

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
</table>
| **Medication Error** | A medication error is reported when there is a discrepancy between what a physician prescribes and what an individual actually takes and the individual self-administers medication under supervision of the Program Provider or has medication administered by the Program Provider. A medication error occurs in one of three ways:  
- **Wrong medication** - an individual takes medication that is not prescribed for that individual. This includes taking medication after it has been discontinued or taking the incorrect medication because it was inappropriately labeled.  
- **Wrong dose** - an individual takes a dose of medication other than the dose prescribed.  
- **Omitted dose** - an individual does not take a prescribed dose of medication within one hour before or one hour after the prescribed time, except an omitted dose does not include an individual’s refusal to take medication. |
| **Serious Physical Injury** | A serious physical injury is reported, regardless of the cause or setting in which it occurred, when an individual sustains:  
- a fracture;  
- a dislocation of any joint;  
- an internal injury;  
- a contusion larger than 2½ inches in diameter;  
- a concussion;  
- a second or third degree burn;  
- a laceration requiring sutures; or  
- an injury determined serious by a physician, physician assistant, registered nurse, or a vocational nurse. |

continued on next page
### Reportable Data, continued

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Behavior Intervention Plan Authorizing Restraint</strong></td>
<td>A behavior intervention plan is reported if it authorizes a personal, mechanical or psychoactive medication, as defined below, for an individual.</td>
</tr>
<tr>
<td></td>
<td>- <strong>Personal restraint</strong> - the application of pressure, except physical guidance or prompting of brief duration that restricts the free movement of part or all of an individual’s body.</td>
</tr>
<tr>
<td></td>
<td>- <strong>Mechanical restraint</strong> - the use of a device that restricts the free movement of part or all of an individual’s body. Such a device includes an anklet, a wristlet, a camisole, a helmet with fasteners, a posey, a waist strap, a head strap, and a restraining sheet. Such a device does not include one used to provide support for functional body position or proper balance, such as a wheelchair belt, or one used for medical treatment, such as a helmet to prevent injury during a seizure.</td>
</tr>
<tr>
<td></td>
<td>- <strong>Psychoactive medication</strong> - the use of a chemical, including a pharmaceutical, through topical application, oral administration, injection, or other means, to control an individual’s activity and which is not a standard treatment for the individual’s medical or psychiatric condition.</td>
</tr>
<tr>
<td><strong>Emergency Personal Restraint</strong></td>
<td>An emergency personal restraint is reported when the Program Provider uses a personal restraint, as defined above, and such restraint is not authorized in a written behavior intervention plan approved by the individual’s IDT.</td>
</tr>
<tr>
<td><strong>Emergency Mechanical Restraint</strong></td>
<td>An emergency mechanical restraint is reported when the Program Provider uses a mechanical restraint, as defined above, and such restraint is not authorized in a written behavior intervention plan approved by the individual’s IDT.</td>
</tr>
<tr>
<td><strong>Emergency Psychoactive Medication (Formerly Chemical Restraint)</strong></td>
<td>An emergency psychoactive medication is reported when the Program Provider uses a psychoactive medication, as defined above and such restraint is not authorized in a written behavior intervention plan approved by the individual’s IDT.</td>
</tr>
<tr>
<td><strong>Individual Requiring Emergency Restraint</strong></td>
<td>An individual is reported as requiring emergency restraint if the individual is restrained (by either personal or mechanical restraint or psychoactive medication) at least once during a calendar month. If an individual is restrained more than once during a calendar month, the individual is reported only once for that month.</td>
</tr>
</tbody>
</table>
**Critical Incident Data Procedure – Mainframe 3270: Add**

The following table describes the steps a provider using the mainframe/3270 will use to enter critical incident data for a specified reporting month.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
</table>
| 1    | _ _  | - Type **686** in the ACT: field of any screen.  
      |      | - Press **Enter**.  
      |      | - Result: The **686: Critical Incident Data: Add/Change/Delete** request screen is displayed. |
| 2    | A sample **686: Critical Incident Data: Add/Change/Delete** request screen is shown below. | Your component code is displayed based on your logon account number.  
      |      | - Type the month and year being reported in the **MONTH AND YEAR (MMYYYY)** field.  
      |      | - Type the contract number in the **CONTRACT NUMBER** field.  
      |      | - Type **A** (Add) in the **TYPE OF ENTRY** field.  
      |      | - Press **Enter**.  
      |      | - Result: The **686: Critical Incident Data: Add** screen is displayed. |

continued on next page
Critical Incident Data Procedure – Mainframe 3270: Add

The following table describes the steps a provider using the mainframe/3270 will use to enter critical incident data for a specified reporting month.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>A sample 686: Critical Incident Data: Add screen is shown below.</td>
<td>The contract number that was entered on the header screen is displayed but can be changed.</td>
</tr>
<tr>
<td></td>
<td><img src="image.png" alt="Image" /></td>
<td>• Type the contract number in the CONTRACT NUMBER field, if the contract for which you are entering data is other than the one entered on the header screen.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the number of medication errors during the report month for every person served in your contract in the MEDICATION ERRORS field.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the number of serious injuries during the report month for every person served in your contract in the SERIOUS INJURIES field.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the number of behavior intervention plans authorizing personal, mechanical, or psychoactive medication restraint during the report month in the BEHAVIOR INTERVENTION PLANS AUTHORIZING RESTRAINT field.</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Number Of Emergency Restraints Used</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the total number of emergency restraints used by category during the report month in the PERSONAL RESTRAINTS, MECHANICAL RESTRAINTS, and PSYCHOACTIVE MEDICATION TOTAL fields.</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Number Of Individuals Requiring Emergency Restraint</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the total number of individuals requiring emergency restraint during the report month in the PERSONAL RESTRAINTS, MECHANICAL RESTRAINTS, and PSYCHOACTIVE MEDICATION TOTAL fields.</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Number Of Restraint Related Injuries</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type the total number of restraint related injuries during the report month in the EMERGENCY PERSONAL RESTRAINTS, EMERGENCY MECHANICAL RESTRAINTS, and EMERGENCY PSYCHOACTIVE MEDICATION TOTAL fields.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Type Y in the READY TO ADD? field.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Press Enter.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Result: The screen is redisplayed with cleared fields to allow for the entry of data for additional contracts, and the message, “Previous Information Added” is displayed.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Repeat this step for all contracts.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• When all contracts have been entered, type N in the READY TO ADD? field and press Enter to return to the header screen.</td>
</tr>
</tbody>
</table>

Note: Zeroes must be entered in the fields on this screen if there are no behavior intervention plans or critical incident data to be reported during the report month.

See the example on the following page.

continued on next page
Critical Incident Data Procedure – Mainframe 3270: Add

Procedure, continued

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3, cont.</td>
<td>Example screen:</td>
<td>Example: The following describes the data displayed on the sample screen on the left side of the page.</td>
</tr>
</tbody>
</table>

**Number of Emergency Restraints** section:
- John has had one personal restraint in a month and Sally has had one personal restraint in a month, so you would type 2 in the TOTAL field.
- There were no mechanical restraints in a month, so you would type 0 in the TOTAL field.
- There were no psychoactive medication restraints, so you would type 0 in the TOTAL field.

**Number of Individuals Requiring Emergency Restraint** section:
- Since these fields are counting individuals, you would type 2 in the PERSONAL RESTRAINTS TOTAL field.
- There were no mechanical restraints, so you would type 0 in the TOTAL field.
- There were no psychoactive medication restraints, so you would type 0 in the TOTAL field.

**Number of Restraint Related Injuries** section:
- Since there were no restraint related injuries, you would type zeroes in the EMERGENCY PERSONAL RESTRAINT, EMERGENCY MECHANICAL RESTRAINT, and EMERGENCY PSYCHOACTIVE MEDICATION TOTAL fields.

**Important**: Remember that you must type zeroes in all fields that have no critical incident data to be reported.
Critical Incident Data Procedure – Mainframe 3270: Change

Procedure

The following table describes the steps a provider using the mainframe/3270 will use to change critical incident data that has been entered incorrectly.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
</table>
| 1    | 1. Type 686 in the ACT: field of any screen.  
     |      | • Press Enter.  
     |      | Result: The 686: Critical Incident Data: Add/Change/Delete request screen is displayed. |
| 2    | A sample 686: Critical Incident Data: Add/Change/Delete request screen is shown below.  
     | Your component code is displayed based on your logon account number.  
     | • Type the month and year being reported in the MONTH AND YEAR (MMYYYY) field.  
     |      | • Type the contract number in the CONTRACT NUMBER field.  
     |      | • Type C (Change) in the TYPE OF ENTRY field.  
     |      | • Press Enter.  
     |      | Result: The 686: Critical Incident Data: Change screen is displayed. |
| 3    | A sample 686: Critical Incident Data: Change screen is shown below.  
     | • Type changes to the critical incident data in the appropriate fields.  
     |      | • Type Y in the READY TO CHANGE? field to submit the data to the system.  
     |      | • Press Enter.  
     |      | Result: The request screen is displayed with the message, “Previous Information Changed.” |
### Critical Incident Data Procedure – Mainframe 3270: Delete

**Procedure**
The following table describes the steps a provider using the mainframe/3270 will use to delete critical incident data that has been entered in error.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
</table>
| 1    | ![Image](image1) | - Type **686** in the ACT: field of any screen.  
- Press **Enter**.  
**Result:** The **686: Critical Incident Data: Add/Change/Delete** request screen is displayed. |
| 2    | ![Image](image2) | Your component code is displayed based on your logon account number.  
- Type the month and year being reported in the **MONTH AND YEAR (MMYYYY)** field.  
- Type the contract number in the **CONTRACT NUMBER** field.  
- Type **D** (Delete) in the **TYPE OF ENTRY** field.  
- Press **Enter**.  
**Result:** The **686: Critical Incident Data: Delete** screen is displayed. |
| 3    | ![Image](image3) | - Type **Y** in the **READY TO DELETE?** field to submit the data to the system.  
- Press **Enter**.  
**Result:** The request screen is displayed with the message, “**Previous Information Deleted.**” |
Critical Incident Data: Inquiry (286)

Introduction

The **Critical Incident Data: Inquiry** option is used to view critical incident data based on the information reported on the **686: Critical Incident Data** screens.

The report can be displayed in one of three ways. You can:

- Request a complete report that includes both the summary of incidents reported for each contract and a list of contracts for which incidents were not reported.
- Request a report that includes only the summary.
- Request a report that includes a list of contracts for which incidents were not reported.

Requesting Reports

When you request a report and enter only the Component Code and Month and Year on the header screen:

- The first screen(s) will display critical incidents for each contract
- The second screen will display contracts that did not report
- The third screen will display the Total Number of Critical Incidents for all contracts that reported

If you enter the Component Code, Month and Year, and a specific Contract Number on the header screen and:

- If the contract *reported* incidents for the Component Code and Month and Year:
  - The first screen will display critical incidents for the contract
  - The second screen will display 0 number of contracts did not report
  - The third screen will display the **total number** of Critical Incidents for that contract
- If the contract *did not report* for the Component Code and Month and Year:
  - The first screen will not be displayed
  - The second screen will display that the contract did not report
  - The third screen will display the 0 totals for Critical Incidents for that contract
### Critical Incident Data: Inquiry (286), Continued

**Procedure**

The table below displays the steps taken to access the **286: Critical Incident Data: Inquiry** screen.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
</table>
| 1    |      | - Type 286 in the ACT: field of any screen.  
|      |      | - Press Enter.  
|      |      | Result: The **286: Critical Incident Data: Inquiry** header screen is displayed. |
| 2    | A sample **286: Critical Incident Data: Inquiry** header screen is shown below. | Your component code is displayed based on your logon account number.  
|      | Your component code is displayed based on your logon account number.  
|      | Type the month and year in the **MONTH AND YEAR** field. (MMYYYY format)  
|      | Type the contract number in the **CONTRACT NUMBER** field, or  
|      | Type an X beside the appropriate contract type. (HCS, TxHmL, ICF/MR, or GR)  
|      | Type Y in the **SUMMARY ONLY** field if you want a summary only.  
|      | Type Y in the **NOT REPORTED ONLY** field if you want a list of contracts for which incidents were not reported only.  
|      | Press Enter.  
|      | Result: The **286: Critical Incident Data Inquiry** screen is displayed. |
Critical Incident Data: Inquiry (286), Continued

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
</table>

3. A sample **286: Critical Incident Data Inquiry** screen is shown below.

The following sample screens display a complete report that includes a summary of total incidents reported, a list of contracts for which no incidents were reported, and a summary for the contract for which data was reported in our example. The system displays data entered for each contract.

**Note:** *For this example* critical incident data was entered for **only one contract**.

<table>
<thead>
<tr>
<th>07-02-00</th>
<th>286: CRITICAL INCIDENT DATA INQUIRY</th>
<th>UO26592</th>
</tr>
</thead>
</table>

**Component Code/Name:** 804 / EDOUCA COMMUNITY LIVING CORPORATION - TEAS

**Incident Month/Year:** 05/2009

**Date Reported:** 07/02/2009

**Status:** INH

**Contract Number:** 6 / ICF/MR 804/292/3 FORCEN CREEK

**Behavior Intervention Plans Authorizing Restraint:** 1

**Total Number of Medication Errors:** 1

**Total Number of Serious Injuries:** 0

**Note:** For this example critical incident data was entered for only one contract.

The screen displays the data that was entered for each contract on the **686: Critical Incident Data** screens.

This screen is accessed when you leave **N (No)** in the SUMMARY ONLY and the NOT REPORTED ONLY fields on the header screen.

---

Procedures 2 - 10  September 2009 R  ICF/MR
The following sample screen displays a report that includes only the summary.

<table>
<thead>
<tr>
<th>Step</th>
<th>View</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3, cont.</td>
<td><img src="612.0x792.0" alt="Image" /></td>
<td>This screen is accessed when you type Y (Yes) in the SUMMARY ONLY field and N (No) in the NOT REPORTED ONLY fields on the header screen.</td>
</tr>
</tbody>
</table>

The following sample screen displays a report that includes a list of contracts for which incidents were not reported.

<table>
<thead>
<tr>
<th>View</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="612.0x792.0" alt="Image" /></td>
<td>This screen is accessed when you type N (No) in the SUMMARY ONLY field and Y (Yes) in the NOT REPORTED ONLY fields on the header screen.</td>
</tr>
</tbody>
</table>