

**DEPARTMENT OF HUMAN SERVICES
INCIDENT REPORTING LEVELS AND CATEGORIES GRID**

Incident Reporting Levels and Categories Grid

Version Date: 12/15/2021

Incident Type	Code	Level	Category	Sub-Category	Two-hour Guardian Notification	Verification Required	May Require Law Enforcement Notification	Description/Definition	Closing Entity		
									Comm	Facility	CCR
Allegation	AB110	A	PHYSICAL ABUSE - NO INJURY			YES		A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged that results in no injury to the individual.	CIMU	OI	OI
Allegation	AB112	A	PHYSICAL ABUSE MINOR		YES	YES	YES	A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires no treatment beyond basic first aid administered by a medical professional or service provider.	CIMU	OI	OI
Allegation	AB114	A	PHYSICAL ABUSE MODERATE		YES	YES	YES	A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.	OI	OI	OI

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Allegation	AB116	A	PHYSICAL ABUSE MAJOR		YES	YES	YES	A physical act directed at an individual by a caregiver that causes one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	OI	OI	OI
Allegation	AB210	A	PHYSICAL ABUSE W/OBJECT - NO INJURY			YES		A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object that results in no injury to the individual	OI	OI	OI
Allegation	AB212	A	PHYSICAL ABUSE W/OBJECT - MINOR		YES	YES	YES	A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires no treatment beyond basic first aid administered by a medical professional or service provider.	OI	OI	OI
Allegation	AB214	A	PHYSICAL ABUSE W/OBJECT MODERATE		YES	YES	YES	A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.	OI	OI	OI
Allegation	AB216	A	PHYSICAL ABUSE W/OBJECT MAJOR		YES	YES	YES	A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	OI	OI	OI

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Allegation	AB310	A	VERBAL PSYCHOLOGICAL ABUSE			YES		Any verbal or non-verbal act or omission by a caregiver that inflicts one or more of the following: emotional harm; mental distress; or invocation of fear, humiliation, intimidation, or degradation to an individual. Examples include, but are not limited to, bullying; ignoring need; verbal assault; use of racial or ethnic slurs; or intimidating gestures, such as shaking a fist.	CIMU	OI	OI
Allegation	AB415	A	SEXUAL ABUSE			YES	YES	Sexual abuse means an act or attempted act of lewdness, sexual contact, or sexual penetration between a caregiver and an individual served by DHS. Any form of sexual contact or activity between a caregiver and an individual, absent marriage, domestic partnership, or civil union, is sexual abuse, regardless of whether the individual gives consent or the caregiver is on or off duty.	OI	OI	OI
Event	AS112	B	PHYSICAL ASSAULT MINOR INJURY		YES	YES	YES	Act of touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff, which results in injury and requires no treatment beyond basic first aid administered by a medical professional or service provider.	CIMU	CIMU	CIMU
Event	AS114	A	PHYSICAL ASSAULT MODERATE INJURY		YES	YES	YES	Act of touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff, which results in injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.	CIMU	CIMU	OI

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Event	AS116	A	PHYSICAL ASSAULT MAJOR INJURY		YES	YES	YES	Act of touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff that results in injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	CIMU	OI	OI
Event	CN320	B	CONTRABAND	Drugs, alcohol, firearms/weapons, other as identified by service provider/service plan.			YES if illegal contraband is involved	Possession, use or failure to secure an item(s) by an individual or an employee that has been designated by the service provider as having the potential to pose danger or harm to others. Examples include, but are not limited to, weapons, controlled dangerous substances, fireworks, alcohol; or other items identified by the service provider or service plan, including, but not limited to, coffee, matches, aerosol sprays, or failure to secure sharps or cleaning fluids.	CIMU	FAC	DIV
Event	CR101	B	CRIMINAL	SR Victim				Individual served by DHS is the victim of a crime in accordance with NJ criminal statutes and police file charges.	DIV	FAC	DIV
Event	CR110	B	CRIMINAL	SR Perpetrator				Criminal Conduct by an individual served by DHS is reportable when the activity constitutes a crime in accordance with NJ criminal statutes and police file charges.	DIV	FAC	DIV
Allegation	DL011	A	LIFE THREATINING EMERGENCY 911 <u>NOT</u> CALLED	DDD/TBI Only				Failure of staff to call 911 when immediate intervention is necessary to protect the life of an individual from an immediate threat or actual occurrence of a potentially fatal injury, impairment to bodily functions or dysfunction of a bodily organ or part.	OI	OI	OI

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Event	DT101	A	DEATH	Expected medical, unexpected sudden, suicide, homicide, accidental, overdose, undetermined				Death of an individual served by DHS. Deaths of a suspicious or unusual nature may be screened by CIMU at the request of the Division/Facility for routing to OI for investigation. *May require law enforcement notification (except for community expected deaths).	DIV	FAC	DIV
Event	EL101	A	ELOPEMENT					Refers to the act of an individual with legal status leaving the premises without authorization.	DIV	FAC	N/A
Allegation	EX101	A	FINANCIAL EXPLOITATION UNDER \$100			YES	YES	Any willful, unjust, or improper use of the property or funds of an individual for the benefit or advantage of staff/caregiver equaling less than \$100. Examples of financial exploitation include, but are not limited to, appropriating, borrowing, or taking without authorization, personal property/funds belonging to an individual.	CIMU	OI	OI
Allegation	EX102	A	FINANCIAL EXPLOITATION OVER \$100			YES	YES	Any willful, unjust, or improper use of the property or funds of an individual for the benefit or advantage of staff/caregiver equal to or greater than \$100. Examples of financial exploitation include, but are not limited to, appropriating, borrowing, or taking without authorization, personal property/funds belonging to an individual.	OI	OI	OI

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Allegation	EX110	A	PERSONAL EXPLOITATION			YES		Any willful, unjust, or improper use of an individual for the benefit or advantage of another; condoning and/or encouraging the exploitation of an individual by a caregiver. Examples of exploitation include, but are not limited to, requiring him/her to perform functions/activities that are normally conducted by staff or are solely for the staff's convenience.	CIMU	CIMU	OI
Event	IN114	A	INJURY	Approved restraint, fall, self-injurious behavior, accident, behavioral, unknown origin, seizure-related, decubitus	YES	YES		Moderate Injury- Refers to an injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.	CIMU	CIMU	CIMU
Event	IN116	A	INJURY	Fall, accidental, behavioral, seizure-related, decubitus	YES	YES		Major Injury - Refers to an injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	CIMU	CIMU	OI
Event	IN216	A	INJURY	Approved restraint, self-injurious behavior, unknown origin	YES	YES		Major Injury - Refers to an injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	OI	OI	OI

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Event	MD101	A	MEDICAL	Communicable diseases, hospital treatment-medical, hospital treatment-behavioral/psychiatric, medication error potentially serious effect, medication error serious effect, missing controlled substance, non-compliance with medical orders				<p>Medication Error Serious Effect - Refers to any deviation from prescribed orders that results in serious effects that require medical intervention as determined by a qualified medical professional (e.g., physician or pharmacist).</p> <p>Medication Error Potentially Serious Effect - Refers to any deviation from prescribed order that has the potential to result in serious effects that require medical intervention as determined by a qualified medical professional (e.g., physician or pharmacist). These incidents may involve errors in medical treatment or errors in the administration of medication.</p> <p>Missing Controlled Substance - Refers to any unexplained loss or accounting discrepancy of controlled dangerous substances. May require law enforcement notification. May require notification to the Drug Enforcement Administration.</p> <p>* Non- Compliance with medical orders includes, but is not limited to; failure to utilize prescribed glasses, hearing aids, glucometers, blood pressure monitors, specialized diets, etc.</p>	DIV	FAC	DIV

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Event	MD102	A	UNPLANNED HOSPITALIZATION - MEDICAL UNPLANNED HOSPITALIZATION - BEHAVIORAL/PSYCHIATRIC	Medical Behavioral/Psychiatric				Refers to an unscheduled hospital admission.	DIV	FAC	DIV
Event	MD103	A	CHOKING/PICA	Choking Pica	YES	YES		*All choking and pica incidents require an evaluation by a medical professional.	CIMU	CIMU	CIMU
Allegation	NE211	A	NEGLECT - NO INJURY			YES		Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home that results in no injury.	CIMU	OI	OI
Allegation	NE212	A	NEGLECT - MINOR		YES	YES		Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires no treatment beyond basic first aid administered by a medical professional or service provider.	CIMU	OI	OI
Allegation	NE214	A	NEGLECT - MODERATE		YES	YES	YES	Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.	OI	OI	OI

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Allegation	NE216	A	NEGLECT - MAJOR		YES	YES	YES	Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.	OI	OI	OI
Event	OD101	B	OVERDOSE					Any unintentional or deliberate consumption of prescribed or illegal substances of a dose much larger than that either habitually used by the individual or ordinarily used for treatment and is likely to result in a serious toxic reaction, but not with the intention of suicide.	DIV	CIMU	OI
Event	OP510	A	OPERATIONAL	Fire, utility/equipment breakdown, environmental issues, theft/loss/damage to property, staff shortage, emergency/unplanned relocation, shelter in place, bed bugs, operations/administrative, Media Interest			YES for fire, environmental issues, theft/loss/property damage	This category consists of a wide variety of incidents that <u>significantly impact the general health, safety, and welfare of an individual the daily operation</u> of the facility or program. Examples include, but are not limited to, fires, utility/equipment breakdown, environmental issues, theft/loss/damage to property, staff shortages, emergency or unplanned relocation.	DIV	FAC	DIV

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Allegation	PR101	A	PROFESSIONAL MISCONDUCT					Behavior of a credentialed professional that implies an intentional compromise of ethical standards, or a direct service professional that implies an intentional compromise of standard policy; is professionally unsuitable, potentially dangerous to patients/individuals receiving services, incompetent, disruptive, or illegal. Examples include inappropriate relationships with patients, falsifying medical/treatment records, delay in communicating critical information/ events, working under the influence, sleeping.	CIMU	CIMU	N/A
Event	RE101	B	UNAPPROVED RESTRAINT WITHOUT INJURY					Restraints and/or restrictive intervention that results in no injury that was implemented without prior approval/order, or not in accordance with the administrative regulations of the appropriate division, or without the existence of an approved behavior treatment plan. Includes personal control techniques, mechanical restraints, or chemical restraint.	DIV	FAC	N/A
Event	RE102	A	UNAPPROVED RESTRAINT WITH INJURY		YES	YES	MAY BE NECESSARY	Restraints and/or restrictive intervention that result in an injury that was implemented without prior approval/order, or not in accordance with the administrative regulations of the appropriate division, or without the existence of an approved behavior treatment plan; includes personal control techniques, mechanical restraints, or chemical restraint.	CIMU	OI	N/A

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Allegation	RG210	B	RIGHTS VIOLATION					Any act or omission that deprives an individual of human or civil rights, including those rights which are specifically mandated under applicable regulations. Examples include, but are not limited to, unauthorized removal of personal property, refusal of access to the telephone, privacy violations, breach of confidentiality, or any failure to inform, respect, or assist an individual in exercising his or her rights.	DIV	CIMU	DIV
Allegation	SA200	A	SEXUAL ASSAULT				YES	Incidents in which a DHS individual receiving services is a victim or perpetrator of nonconsensual sexual activity involving penetration, such as vaginal and anal intercourse; the insertion of a hand, finger, or object into the anus or vagina; or cunnilingus and fellatio. Also refers to the intentional, nonconsensual touching of the victim's breast, genital, or anal area, over or under clothing, with the purpose of sexual arousal and/or gratification of the perpetrator. Reference: NJ Criminal Code - NJSA 2C:14-2	DIV	OI	OI
Event	SU111	A	SUICIDE ATTEMPT	Gunshot, hanging, drowning, jumping, drug/alcohol/medication use/overdose, suffocating, poisoning, carbon monoxide inhalation, stabbing/cutting/self-mutilating, burning self, other				Refers to an attempt to intentionally take one's life regardless if the act resulted in an injury. *Suicide attempts that result in injury should be reported to law enforcement and require two-hour guardian notification (DDD).	DIV	OI	DIV

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Event	WK101	A	WALKAWAY					Refers to the act of an individual who leaves the premises without authorization who may be considered dangerous to self or others or is otherwise at risk. May require law enforcement notification when the individual cannot be located on campus or after an initial search of the premises.	DIV	FAC	DIV
	FR101	B	FAILURE TO REPORT	DHS USE ONLY - added by CIMU/OI				Failure to report an act of abuse, neglect, or exploitation within the time frame required in A.O. 2:05 while having reasonable cause to believe that such an act has been committed. Must accompany an allegation; closing entity will be the entity responsible for the primary allegation.	Must accompany an allegation; closing entity will be the entity responsible for the primary allegation.		

INJURY LEVELS DEFINED:

Due to the subjective nature of this issue there may be some overlapping of categories. The definitions below are intended to be a guide, and decisions should be made using practical judgement and a person-centered perspective. The impact that the injury has to the person should always be considered. In all circumstances the location and extent of the injury should be taken into careful consideration during the initial assessment by the service provider or facility medical personnel before selecting the injury level.

Minor Injury: an injury that requires no treatment beyond basic first aid administered by a medical professional or service provider. Basic first aid includes, but is not limited to, cleaning, bandage/ band-aid, over-the-counter medications (Bacitracin), ice pack, monitoring/observation.

Moderate Injury: an injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital. Includes but is not limited to, all fractures, tooth avulsion/fracture, injuries that require devices (crutches/brace/splint/boot), invasive diagnostic treatment with or without anesthesia/sedatives, prescription medications.

Major Injury: an injury that requires treatment that can only be performed in a hospital facility and may or may not include admission to the hospital for additional treatment or observation.

Key:

Two-Hour Guardian Notification: refers to DDD and TBI programs only

Requires DHS Verification: refers to DDD and TBI programs only

May Require Law Enforcement Notification: Law enforcement notification is strongly encouraged and may be required at the discretion of the Department.

Comm: incidents reported by Community providers, programs

Facility: incidents reported by Developmental Centers

CCR: incidents reported by Community Care Residence

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DIV: The Division is responsible for closing. If follow-up information is requested, it should be sent to the applicable Division Unit with thirty (30) days

FAC: The facility/Developmental Center is responsible for closing the incident

CIMU: The Critical Incident Management Unit (CIMU) is responsible for closing. Internal investigations shall, at a minimum, include the provisions of Administrative Order 2:05 D 6. a-f. Completed internal investigations are required to be submitted to CIMU within thirty (30) days

OI: The Office of Investigations is responsible for closing the incident. For allegations related to abuse, neglect and/or exploitation, providers are responsible to immediately initiate and conduct an internal investigation, unless otherwise directed not to do so by law enforcement or OI. If OI is the closing entity, internal investigation reports shall be forwarded to the assigned OI investigator within thirty (30) days.