

New Jersey
Department of Human Services
Office of Program Integrity and Accountability



**NEW JERSEY DEPARTMENT OF
HUMAN SERVICES
OFFICE OF PROGRAM INTEGRITY AND
ACCOUNTABILITY**

A.O. 2:05
INCIDENT REPORTING AND MANAGEMENT
SEPTEMBER 8, 2022



AGENDA

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- Introduction to A.O. 2:05
- Authority & Regulatory Compliance
- Incident Reporting Details
- Contacts
- Questions

Administrative Order 2:05

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Department of Human Services A.O. 2:05 establishes the policy and procedure for reporting, managing and responding to allegations and events affecting the health safety and well-being of individuals served.

Authority

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DHS and its community partners operate under:

N.J.S.A. 30:1-11. Powers of the Commissioner

N.J.S.A. 30:1-12.1 Investigations by Commissioner

Purpose of A.O. 2:05

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- Establish a department-wide practice for identifying, defining and documenting reportable incidents
- Provide a timeframe for reporting incidents
- Establish parameters for the timely and appropriate response to reported incidents
- Identify standards for investigating and closing incidents
- Aggregate and analyze data, identify patterns and create prevention strategies on an individual or at a systemic level
- Promote effective and efficient service management aimed at reducing risk

Incident Reporting Policy and Regulations

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Providers operated, licensed, or regulated by, or receiving funding directly or indirectly from a Division, Office, or Commission of DHS are required to report critical incidents.

A.O. 2:05, Attachment A (Incident Reporting Levels and Categories Grid)

➤ **Statutes and Regulations governing the incident reporting process**

N.J.S.A. 10:37-6.108

N.J.S.A. 10:37-9.9(B.3)

N.J.A.C. 10:161A-3.8

N.J.A.C. 10:161B-3.8

Annex C

❖ Providers are required to establish internal policies for incident reporting to comport with DHS policies and regulations.



Why Do We Report

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- Shared responsibility to ensure the health, safety and well-being of individuals served;
- Best practice to create a documented record of identified allegations, events and/or concerns;
- Identify and address factors that may have contributed to the incident to prevent future recurrence and minimize risk;
- Creates accountability and facilitates protection, prevention and reduction of harm;
- Information gathered allows for data analysis of individual/systemic patterns & trends;

Office of Program Integrity and Accountability (OPIA) Critical Incident Management Unit (CIMU)

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- Facilitate and oversee the appropriate tracking, management and organizational response to all incidents reported by agencies and programs licensed, regulated, or receiving funding from DHS.
- Manage a web based application, New Jersey Incident Reporting and Management System (NJ-IRMS) for entering and documenting incident information and follow-up actions taken in response to reported incidents.
- Administratively review agency investigation reports involving certain allegations of abuse, neglect, exploitation and professional misconduct for closure.

Office of Investigations (OI)

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Under N.J.S.A. 30:1-12 et seq., OI is charged by the DHS Commissioner to conduct civil investigations

OI conducts thorough, independent, objective and timely investigations of higher level of abuse, neglect and exploitation allegations involving individuals served by DHS

OI issues case findings and identifies systemic concerns to help ensure the continued health, safety and well-being of all individuals served



Confidentiality

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Incident reports, investigation reports, and other related records are not public and can only be released under certain circumstances upon consultation with DHS legal staff or a court order.

Reportable Categories

A+ Residential Services must report on all reportable categories

All other program types should report incidents according to the categories below

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Incident categories **always** reportable to DHS regardless of where the incident occurred

- Physical Abuse
- Sexual Abuse
- Verbal/Psychological Treatment
- Neglect
- Exploitation
- Death
- Suicide Attempt
- Overdose
- Professional Misconduct
- Rights Violation
- Unapproved Restraint

Incident categories reportable to DHS when incidents occur on agency premises or in presence of agency staff

- Physical Assault (Major/Moderate)
- Sexual Assault
- Criminal Activity
- Medical
- Elopement/Walkaway
- Injury (Major/Moderate)
- Operational
- Contraband

❖ DHS may also require providers to report incidents that may not be normally reportable, if there is a potential for some media inquiry/attention or any inquiry from a regulatory or an accreditation entity.



Incident Reporting Time Frames

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Incidents are identified by priority level, using the Incident Reporting Levels and Categories Grid (Attachment A):

- **A Incidents:** Submit a written incident report as soon as possible using the designated incident reporting form but no later than the end of the business day.
- **B Incidents:** Submit a written incident report using the designated incident reporting form within one business day.

Submit incident reports via email or fax:

E-Mail: dmhas.incidentrept@dhs.nj.gov Fax: (609) 341-2324



Investigations

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- All allegations of abuse, neglect or exploitation require an investigation and a finding for each allegation.
- Events may also require investigation and/or follow up as determined by the code and location of the incident.
- Attachment A indicates which incidents are investigated by the Office of Investigations (OI) and those that will be administratively reviewed by the Critical Incident Management Unit (CIMU).
- ALL allegations of abuse, neglect or exploitation require providers to immediately initiate and conduct an internal investigation.

Division of Mental Health and Addiction Services (DMHAS) Complaints

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- DHS operates an allegation-based system – anyone can express/report concerns regarding suspected abuse, neglect, exploitation involving an individual served.
- Allegations are also received through the DMHAS Substance Use Treatment (SUD) Complaint Line **1-877-712-1868**
- Mental Health complaints are received at **1-800-382-6717**
- Complaints from the public shall be reviewed and processed for response and follow-up as identified in the A.O. 2:05

DMHAS/Quality Management Unit (QMU) Contacts

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DMHAS/QMU staff processes all initial incident reports submitted by the providers
Quality Management Unit staff assignment by county.

QMU Supervisor: Debra Rabatie - Debra.Rabatie@dhs.nj.gov

Camden, Mercer, Sussex

- **Jacqueline Candia - Jacqueline.Candia@dhs.nj.gov**
Cumberland, Gloucester, Hudson, Hunterdon, Monmouth, Passaic, Warren
- **Diana DiMaggio - Diana.DiMaggio@dhs.nj.gov**
Burlington, Middlesex, Ocean, Union
- **Alexis Flores-Whyte - Alexis.Flores-Whyte@dhs.nj.gov**
Atlantic, Bergen, Cape May, Essex, Morris, Salem, Somerset

Submit incident reports via email or fax:

E-Mail: dmhas.incidentrept@dhs.nj.gov **Fax:** (609) 341-2324



CIMU Contacts

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Submit follow-up/investigation reports to DHS.MHSCIMADMIN@dhs.nj.gov
or fax it to (609) 341-2260.

CIMU Quality Assurance Staff:

Christine Noble- Christine.Noble@dhs.nj.gov

Diana Falquez- Diana.Falquez@dhs.nj.gov

Incident Reporting Links and Resources

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Incident Reporting forms, training documents and other resource materials are available at:

<https://www.state.nj.us/humanservices/dmhas/forms/#11>

- **A.O. 2:05**
- **Attachment A- Incident Reporting Levels and Categories Grid**
- **Incident Reporting Training Power point**
- **Initial Incident Reporting form**
- **Follow-up/Investigation Report forms**
- **Initial/Follow-up form instructions**
- **Training request form**
- **QMU contact**

Incident Reporting Training Request

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Request for Incident Reporting training can be sent to

DMHAS.INCIDENTREPT@DHS.NJ.GOV

OR

DHS.MHSCIMADMIN@dhs.nj.gov