



LIBERTY Compliance

Critical & Adverse Incident



ECTR07a

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Making members shine, one smile at a time™

Training objectives

After completing this training module you will be able to:

- Recognize reportable critical incidents
- Identify individuals who are required to report a critical incident
- Understand the process for reporting critical incidents



What are reportable Critical Incidents?

1. Abuse
2. Neglect
3. Exploitation
4. Disappearance of a Member (Missing person)
5. Human Trafficking
6. Seclusion and restraints
7. Unlicensed Activities
8. Serious, life threatening event against
 - a member/provider or practitioner
 - A LIBERTY facility or LIBERTY employee



1. Physical Abuse:

- **Abuse** — Non-accidental infliction of physical and/or emotional harm.
- **Physical Abuse** — Causing the infliction of physical pain or injury.
- **Sexual Abuse** — Unwanted touching, fondling, sexual threats, sexually inappropriate remarks or other sexual activity with an adult with disabilities; touching, fondling, sexual threats, sexually inappropriate remarks or any other sexual activity when the person is unable to understand, unwilling to consent, threatened or physically forced to engage in sexual activity.

2. Neglect

- Repeated conduct or a single incident of carelessness that results or could reasonably be expected to result in serious physical or psychological/emotional injury or substantial risk of death (this includes self-neglect and passive neglect).

3. Exploitation

- Illegal use of assets or resources of an adult with disabilities. It includes, but is not limited to, misappropriation of assets or resources of the alleged victim by undue influence, by breach of fiduciary relationship, by fraud, deception, extortion or in any manner contrary to law.

4. Missing Persons

- Disappearance of a person

5. Human Trafficking

- Human trafficking, under both federal and state law, is defined as the transporting, soliciting, recruiting, harboring, providing, or obtaining of another person for transport; for the purposes of forced labor, domestic servitude or sexual exploitation using force, fraud and/or coercion.

6. Seclusion and restraints

- Involuntary, solitary confinement of an individual. Any method, physical or mechanical device, or material or equipment that immobilizes or reduces an individual's ability to freely move his or her arms, legs, body, or head.

7. Unlicensed Activity

- Receiving medical, dental, and health care services from an unlicensed person. All instances of unlicensed activity must be reported to protect members from potentially serious and dangerous consequences.
- And/or in whole or in part with service provision rather than the condition for which service provision occurs as a result to which a patient has not given informed consent, results of any action or lack therefor on the part of the staff or the provider, resulting in substandard services.

8. Serious, life threatening event(s)

- To harm and/or take the life of themselves or another person
- To harm and/or cause threat against a LIBERTY facility or employee

Who is required to report Critical Incidents?

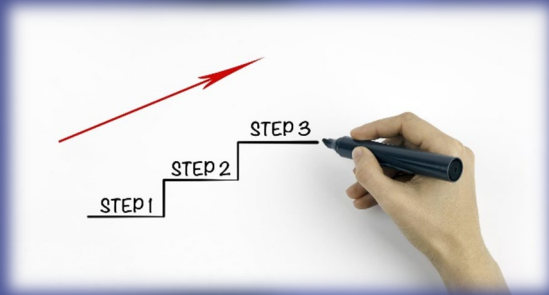
LIBERTY
Employees

Everyone!!

Providers
and
Staff members

Vendors

How do I report a Critical Incident?



Step 1: You are responsible for reporting critical incident(s) to your Department Lead to **immediately** contact the authorities.

Step 2: Complete Critical Incident Form located on SharePoint.

Step 3: Route to ci@libertydentalplan.com for proper tracking, monitoring and State/Client reporting.

Providers and vendors must report Critical Incidents in the appropriate manner.

Regulations

- Medicare Managed Care Manual (MMCM), Ch. 5 “Quality Assessment,” Section 30.1.1
- California Health & Safety Code, Section(s) 1368-1368.03
- Nevada Administrative Code 449.74491
- AHCA Chapter 19 Attachment II, Section I
- Title 42 Code of Federal regulations (CFR) §422.152 (1) (3)



Key resources

- LIBERTY Policy & Procedure: Critical Incident Tracking and Reporting
- The Centers for Medicare (CMS) and Medicaid Services

