

SERIOUS OCCURRENCE REPORT TRAINING

Aging and Disability Services Division

Serious Occurrence Report

Form:

- Two independent forms
 - NMO-3430A
 - NMO-3430B
- A current copy of the NMO-3430A is posted at www.medicaid.nv.gov.
- The NMO-3430A is used by the provider and/or the individual who first discovers the serious occurrence.
- The NMO-3430B is completed only by the state case manager, to provide follow up on the serious occurrence.
 - The provider does not use this form.

Serious Occurrence Report

Purpose:

- To assure serious occurrences that may impact the health, safety and welfare of recipients of Home and Community Based Care services are described and communicated to critical stakeholders.
- To collect objective and factual data that quantifies the frequencies, types of, and follow-up activities related to serious occurrences.
- To collect and analyze the data for the purposes of prevention and problem solving.

Serious Occurrence Report

Per Medicaid Services Manual 2203.3B:

- Providers must report any recipient incidents, or issues regarding the provider/employee's ability to deliver services to ADSD case manager by telephone/fax within 24 hours of discovery. A completed SOR form report must be made within five (5) working days and maintained in the agency's recipient record.

Serious Occurrence Report

Reporting Protocol:

- ▶ The individual and/or provider who discovers a reportable incident is the one to complete the report (NMO-3430A).
- ▶ A provider who initiates the serious occurrence report must retain a copy in the recipient's file or a separate serious occurrence folder.
- ▶ The provider must send a copy of the serious occurrence to the appropriate state agency.

Serious Occurrence Report

Training:

- ▶ All service providers must arrange for employees who have direct contact with recipients of the HCBW programs to have service specific training prior to performing a waiver service.

- ▶ Training must include:
 - ▶ Record keeping and reporting including daily records and SORs.

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- Reportable occurrences' include, but are not limited to:
 - Suspected physical, verbal, emotional, and/or sexual abuse or harassment
 - Neglect of the recipient
 - Medical or medication errors
 - Unplanned hospital and/or ER visits
 - Exploitation
 - Theft
 - Injuries requiring medical intervention
 - Medical Emergency
 - Suicide Threat or Attempt
 - Any event which is reported to Child or Elder Protective Services or Law Enforcement
 - Death
 - Loss of contact with the recipient for three consecutive scheduled days

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▶ NMO-3430A form:

- Identify appropriate program (HCBW would be CHIP, which includes recipients in a residential care facility—formerly known as WEARC)
- Be legible
- Provide factual information
- Fill in all requested names, numbers, etc.
- Be thorough and specific on Action Taken
- Use the newest version of NMO-3430A

Serious Occurrence Report

- ▶ All completed NMO-3430A forms are forwarded to the appropriate ADSD social worker.

- Carson City: 775-687-0575
- Elko: 775-753-8543
- Las Vegas: 702-486-3572
- Reno: 775-688-2969

SERIOUS OCCURRENCE REPORT

- ▶ Role of ADSD upon receipt of the SOR:
 - Recipient's Social Worker
 - Reviews the SOR
 - Follows up with provider about the occurrence
 - Documents follow up in recipient file
 - Documents follow up of occurrence with NMO-3430B
 - Forwards completed SOR to his/her supervisor for review and signature
 - Supervisor sends completed SOR to the ADSD Quality Management Unit in Carson City

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▶ Role of Quality Management (QM):

- QM unit reviews the SOR for appropriate follow up and reporting.
- All SORs are entered into a QM spreadsheet to track and trend for issues.
- Reports SOR data to DHCFP monthly.
- Reports at quarterly QM meetings.
- Uses data for evidentiary reporting to the Centers for Medicare and Medicaid.

SERIOUS OCCURRENCE REPORT

Direct any questions and/or concerns to the Quality Management Unit in Carson City.

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