

DEPARTMENT OF HUMAN SERVICES

DATE ORIGINALLY ISSUED: September 14, 2005

EFFECTIVE DATE: October 1, 2005

**SUBJECT: Community Reporting: Unusual Incident Reporting and Management System (UIRMS)**

## **I. PREAMBLE**

Administrative Order 2:05 and this Addendum establish policy for the reporting of unusual incidents affecting the health, safety and welfare of Department of Human Services (DHS) service recipients. Standard expectations and procedures for the reporting of unusual incidents are established by this policy in order to promote and improve confidence, reliability, and program integrity throughout the Department's various service entities and programs. This policy is designed to:

1. Standardize the identification of reportable incidents.
2. Ensure the immediate and appropriate response to reported incidents.
3. Provide accurate and timely alert to Executive Management Staff.
4. Ensure timely and appropriate investigative activities.
5. Facilitate the analysis of trends and the identification of factors associated with the occurrence of unusual incidents.
6. Enable the integration of intradepartmental service delivery.
7. Promote the collaboration of effective and efficient management of services.

## **II. PURPOSE**

The purpose of this Addendum is to establish policy and procedure specific to the reporting of incidents in community programs.

## **III. AUTHORITY**

In addition to statutory authority cited in Administrative Order 2:05 the following statutory and Administrative Code provisions are referenced:

N.J.S.A. 30:11B-1 et seq.  
N.J.A.C. 10:37-6-108  
N.J.A.C. 10:37-9.9(B3)  
N.J.A.C. 10:44A

N.J.A.C. 10:44B

N.J.A.C. 10:44C

#### IV. SCOPE

This Addendum applies to the reporting of unusual incidents by each community-based program or service contracted, regulated, licensed or subject to investigation by the DHS or its Divisions, Bureaus, Offices or Commissions.

This Addendum addresses the reporting of incidents occurring in resource family homes, community programs/services licensed and/or contracted by the Department of Human Services (DHS), Division of Developmental Disabilities (DDD), Division of Mental Health Services (DMHS), Division of Addiction Services (DAS), Division of Deaf and Hard of Hearing (DDHH), Division of Disability Services (DDS), the Commission for the Blind and Visually Impaired (CBVI), the Office of Children's Services (OCS) with its operational units of the Division of Youth and Family Services (DYFS), the Division of Child Behavioral Health Services (DCBHS), the Office of Education (OOE) and the Division of Prevention and Community Partnership (PCP), and investigations by the Institutional Abuse Investigation Unit (IAIU), Special Response Unit (SRU) and other select incidents occurring in the community setting. This policy requires compliance with existing federal laws and regulations and state statutes mandating the reporting of unusual incidents to other units or agencies, (i.e., Human Services Police, Division of Youth and Family Services, New Jersey Protection and Advocacy, Department of Environmental Protection, Department of Health and Senior Services, Adult Protective Services, Office of the Ombudsman for the Institutionalized Elderly, and the U.S. Department of Health & Human Services.)

#### V. DEFINITIONS

The definitions for the reporting of unusual incidents in community programs will be consistent with those which are stated in Administrative Order 2:05 [*See Administrative Order 2:05, Attachment B, Definitions*] with the following contingencies:

Designated Screening Center: A public or private ambulatory care service designated by the Commissioner, which provides mental health services including assessment, screening, emergency and referral services to mentally ill persons in a specified geographic area. A designated screening center is the facility in the public mental health care treatment system wherein a person believed to be in need of commitment to a short-term care, psychiatric facility or special psychiatric hospital undergoes an assessment to determine what mental health services are appropriate for the person and where those services may be most appropriately provided.

Program/Institution/Agency Staff (non-DHS): Those employees who are identified in community incidents who are not employees of the Department or any of its Divisions, Bureaus, Offices or Commissions.

Service Recipient (Community): An individual who receives services from a program operated, licensed, contracted, regulated or subject to investigation by the Department of Human Services or its Divisions, Bureaus, Offices or Commissions.

## VI. POLICY

The policy for the reporting of unusual incidents in community programs will be consistent with that which is stated in Administrative Order 2:05, Section VI with the following contingencies:

A. All entities covered under the scope of this Addendum shall adhere to the following directives:

1. Report those incident types listed in Appendix A, Community Incident Category List within the time limits delineated in A.O. 2:05 Section VII B. 1 & 2. Report at three reporting levels: A+, A, and B, as reflected in Appendix A.
2. DDD Community Care Residences licensed under N.J.A.C. 10:44B will report unusual incidents by phone to the assigned caseworker or supervisor at the appropriate regional/district office. All allegations of abuse or neglect against children under the age of 18, from whatever source, shall be reported by phone to the Statewide Central Registry (SCR).
3. Report incidents in a manner and format prescribed by DHS. This may include electronic filing, facsimile or other methods as required.
4. Be responsible for the notification of law enforcement authorities when an incident of a potentially criminal nature occurs. This notification can occur before, during or after the investigation of the incident as warranted. Incident types for which law enforcement notification may be required include, but are not limited to:
  - a. Unexpected, sudden or unusual deaths
  - b. Sexual abuse or assault
  - c. Physical abuse or assault
  - d. Neglect
  - e. Exploitation
  - f. Unexplained loss of money or property
  - g. Suspicious unexplained injury
  - h. Illegal contraband

This policy requires compliance with existing federal laws and regulations and state statutes mandating the reporting of unusual incidents to other units or agencies, (i.e., Human Services Police, Division of Youth and Family Services, New Jersey Protection and Advocacy, Department of Environmental Protection,

Department of Health and Senior Services, Adult Protective Services, Office of the Ombudsman for the Institutionalized Elderly, and the U.S Department of Health & Human Services.)

5. Shall comply with any DHS or Division required to track and submit aggregate reports on incidents or occurrences not listed in Appendix A but considered to be relevant to the preservation of the health, safety and welfare of DHS service recipients.

## **VII. PROCEDURE**

The procedure for the reporting of unusual incidents in community settings will be consistent with that which is stated in Administrative Order 2:05, Section VII with the exception of those contingencies indicated previously in policy and in consideration of the following:

- A. Unusual incidents in community programs are organized into three reporting levels: A+, A, and B.
- B. Immediate telephone notification of community unusual incidents will be required for an A+ incident only.
- C. A finding is required prior to closure of an incident. Recommendations and/or corrective action plans will be the responsibility of reporting entities, other than investigative units, or their respective service providers.
- D. The Department shall monitor compliance with this Addendum through regular audits and on-site visits.

Date: September 14, 2005

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JAMES M. DAVY  
COMMISSIONER

## UPDATED UIR CODE LIST - May 2010

Type Code	Category	Community Incident Category List	Reporting Level
AB110	ABUSE	Physical - to SR / No injury	B
AB112	ABUSE	Physical - to SR / Minor injury	B
AB114	ABUSE	Physical - to SR / Moderate injury	A
AB116	ABUSE	Physical - to SR / Major injury	A+
AB310	ABUSE	Verbal / Psychological / Mistreatment	B
AB410	ABUSE	Sexual - to SR / sexual contact / other	A
AB420	ABUSE	Sexual - to SR / penetration / genital contact / oral sex	A+
AS114	ASSAULT	Physical - SR to SR / Moderate Injury	B
AS116	ASSAULT	Physical - SR to SR / Major Injury	A
AS124	ASSAULT	Physical - SR to Staff / Moderate Injury	B
AS126	ASSAULT	Physical - SR to Staff / Major Injury	A
AS134	ASSAULT	Physical - SR to Other / Moderate Injury	B
AS136	ASSAULT	Physical - SR to Other / Major Injury	A
AS314	ASSAULT	Physical - Other to SR / Moderate Injury	B
AS316	ASSAULT	Physical - Other to SR / Major Injury	A
CR400	CRIMINAL ACTIVITY	Alleged criminal activity of SR or staff and/or other-on or off site in accordance with NJ criminal statute title 2C.	A
CR410	CRIMINAL ACTIVITY	Identity theft - Employee victim / perpetrator	A
CR420	CRIMINAL ACTIVITY	Identity theft - SR victim / perpetrator	A
DT110	DEATH	Expected - Medical Condition / Disability / Illness	A
DT210	DEATH	Unexpected - Sudden (i.e. choking / medical incident)	A+
DT310	DEATH	Unexpected - Suicide	A+
DT320	DEATH	Unexpected - Accidental	A+
DT330	DEATH	Unexpected - Homicide	A+
DT410	DEATH	Unexpected - Undetermined manner	A+
EE110	ERROR CODE	Community incident entered in error	B
EL110	ELOPEMENT	Criminal status (i.e. KROL / IST / NGRI / Detainer / Sex offender) - located off campus	A+
EL120	ELOPEMENT	Criminal status - from screening center	A
EX110	EXPLOITATION	Improper use of SR by staff	A
EX130	EXPLOITATION	Improper use of SR's funds by staff - \$500 or more	A
EX140	EXPLOITATION	SR's funds / Property - by staff / below \$500 / undetermined	B
IN114	INJURY	Accidental - SR / Moderate	B
IN116	INJURY	Accidental - SR / Major	A
IN124	INJURY	Fall - seizure related - SR / Moderate	B
IN126	INJURY	Fall - seizure related - SR / Major	A
IN214	INJURY	Self-injurious behavior - SR / Moderate	B
IN216	INJURY	Self-injurious behavior - SR / Major	A
IN224	INJURY	PICA - Ingestion / Moderate	B
IN226	INJURY	PICA - Ingestion / Major	A

## UPDATED UIR CODE LIST - May 2010

Type Code	Category	Community Incident Category List	Reporting Level
IN314	INJURY	Unknown Origin - SR / Moderate	B
IN316	INJURY	Unknown Origin - SR / Major	A
IN426	INJURY	Work related - Staff / Major	A
IN436	INJURY	Non-Work related (occurring on site) - Staff / Major	A
IN510	INJURY	Restraint Related - Minor	B
IN514	INJURY	Restraint Related - Moderate	B
IN516	INJURY	Restraint Related - Major	A
MD110	MEDICAL	Disease / Illness - single incident reportable to DHSS	B
MD120	MEDICAL	Disease / Illness - communicable with operational impact (i.e. bed bugs)	A
MD212	MEDICAL	Community Med / Tx Error - potentially serious effect	B
MD220	MEDICAL	Medication / Treatment Error - serious effect	A
MD314	MEDICAL	Choking / swallowing - Moderate Injury	B
MD316	MEDICAL	Choking / swallowing - Major Injury	A
MD410	MEDICAL	Missing Controlled Drugs	B
NE211	NEGLECT	No Injury	B
NE212	NEGLECT	Minor Injury	B
NE214	NEGLECT	Moderate Injury	B
NE216	NEGLECT	Major Injury	A
OP310	OPERATIONAL	Environmental incidents - spills / illegal dumping	A
OP410	OPERATIONAL	Fire / Minor- extinguished by staff	B
OP420	OPERATIONAL	Fire / Moderate- extinguished with outside assistance	A
OP430	OPERATIONAL	Fire / Major- resulting in damage and/or injuries	A+
OP500	OPERATIONAL	Unannounced / Unexpected site visit - non DHS entity	B
OP510	OPERATIONAL	Operational Breakdown - utility outage or loss of use of equipment which may cause a threat to life or safety and/or impact on facility operations	A
OP520	OPERATIONAL	Mass Disturbances (i.e. riot) - involving 5 or more	A+
OP530	OPERATIONAL	Public Safety Issue - posing immediate threat to life / safety (i.e. natural disaster, hostage taking, terroristic threats)	A+
OP540	OPERATIONAL	Unexpected Staff Shortage - threat to life safety/operation	A
OP590	OPERATIONAL	Media Interest - when no other incident category applies	A+
OP715	OPERATIONAL	Accidental destruction / damage of property - \$500 or more	B
OP725	OPERATIONAL	Willful destruction / damage of property - \$500 or more	B
OP740	OPERATIONAL	Theft-SR funds or property - \$200 or more	A
OP745	OPERATIONAL	Loss - SR funds or property - \$200 or more	B
RE111	RESTRAINT USE	Community - Restraint without approved plan / order	B
RG110	RIGHTS VIOLATION	Alleged act - not challenged	B
RG210	RIGHTS VIOLATION	Alleged act - challenged by legal or advocacy group	A
SA200	SEXUAL ASSAULT	SR Involvement	A+
SU113	SUICIDE ATTEMPT	Minor Injury	B

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Type Code	Category	Community Incident Category List	Reporting Level
SU114	SUICIDE ATTEMPT	Moderate Injury	B
SU116	SUICIDE ATTEMPT	Major Injury	A+
SX110	SEXUAL CONTACT	SR to SR - nonconsensual	B
SX120	SEXUAL CONTACT	SR to Staff or Other - nonconsensual	B
SX310	SEXUAL CONTACT	Other to SR - nonconsensual	A
SX400	SEXUAL CONDUCT	Inappropriate sexual conduct - No physical contact - in the presence of another person (i.e. masturbation, exposing one's self to another)	B
WK310	WALK AWAY	No Criminal status - at risk (18 or younger / 60+)	A
WK320	WALK AWAY	No Criminal status - at risk (disability / medical)	A
WK410	WALK AWAY	No Criminal status - at risk (danger to self or others)	A+