



## Nursing Home Transition Diversion

### Changes to the Incident Reporting Process for Nursing Home Transition and Diversion (NHTD) waivers



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### Changes to the Incident Reporting Process for Nursing Home Transition and Diversion (NHTD) waivers

Dear NHTD and TBI Providers,

The following reflects clarification and minor changes to the Incident Reporting Process for Nursing Home Transition and Diversion (NHTD) and Traumatic Brain Injury (TBI) waivers.

As established in the 1915c waiver applications approved by the Centers for Medicare and Medicaid Services (CMS) both the NHTD and TBI waivers specify that critical events and incidents are reported for review and follow-up action by the Regional Resource Development Center (RRDC) and NYSDOH. As established in Section X of the respective Program Manuals, individuals and providers are required to report such events and incidents to the RRDC. Additionally, the waiver provider agreement signed by all approved NHTD and TBI waiver providers designates required compliance for reporting and investigation of incidents.

Effective April 1, 2015, in order for the RRDC and NYSDOH to provide sufficient oversight and review of the incident reporting processes, NHTD providers are now requested to submit quarterly reports to the RRDC. These reports contain information regarding investigations conducted by the provider during the quarter, identifies trends and indicates remedial activity taken to secure the health and welfare of the impact participants. A copy of the report form is available [here](#).

Please note that this reporting process is currently in place for TBI waiver providers and is only new for NHTD. By compiling this data, we are hopeful, that review of this information may present additional remedial action or trend identification that warrants further review and consideration.

The reports are to be submitted to the RRDC according to the

following schedule:

**Q1 2015 (1/1/15-3/31/15) Due as soon as possible**

**Q2 2015 (4/1/15- 6/30/15) Due 7/15/15**

**Q3 2015 (7/1/15- 9/30/15) Due 10/15/15**

**Q4 2015 (10/1/15-12/31/15) Due 1/15/16**

The required investigation report format to be used by all NHTD and TBI waiver providers when completing an investigation into an incident is available [here](#).

The RRDC will analyze information contained in the provider quarterly reports and will compile the data into a regional summary, submitted to NYSDOH. NYSDOH waiver management staff review the reports for statewide trend analysis and systems issues. NYSDOH waiver management staff and the RRDC may investigate the conduct, performance, and/or alleged misconduct of administrators or employees of any waiver provider or individual serving as a waiver provider. This level of intervention occurs when there are concerns or allegations that the waiver provider has not followed proper protocols.

The RRDCs will be reviewing the forms with you at a provider meeting, in order to address any questions you may have. Please take time to review this information with the RRDC.

If you have NHTD or TBI Program questions please contact us at 518-474-5271 or [nhtdwaiver@health.ny.gov](mailto:nhtdwaiver@health.ny.gov) or [tbi@health.ny.gov](mailto:tbi@health.ny.gov), respectively.

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