

Summary Narrative of Process Mapping Activity for Division of Nursing Care Facilities

Event Reporting System

- 1. Event Reporting System (ERS) ---** The web site address for the Events Program is: <https://app2.health.state.pa.us/incidents/facilitylogin.asp> When first entering the site for Event Notification, facilities will be required to login. This is accomplished by entering the facility ID as both the Login ID and the Password. (NOTE: Whenever you type in the password field, an * is shown instead of what is typed – this helps to keep passwords confidential). Once the login ID and password are entered, click the Login button.
**Event Reporting System Manual Facility*
**Event Reporting System Power Point*
- 2. Facility ID and Password Accepted---**Decision Point-if facility ID and password are accepted proceed to step 09. Otherwise proceed to step 03.
- 3. Entered Correctly---** Decision Point-if facility ID and password were entered correctly proceed to step 05. Otherwise proceed to step 04.
- 4. Enter Correct ID and Password---**Enter correct facility ID and password and return to step 02.
- 5. Not Active Facility Message---** Decision Point- If a facility is no longer open (active), that facility will receive an error message when attempting to log in.
- 6. Message Is Error---** Decision Point-if you receive an error message and you believe the message is an error, proceed to step 07. Otherwise proceed to step 08.
- 7. Contact DNCF---** If you believe this is an error, please contact the Department's Division of Nursing Care Facilities at (717) -787-1816. End of process.
- 8. Access Denied---**Access to ERS is denied. End of process.
- 9. Access to ERS---**Facility ID and password are accepted and access is granted to system.
- 10. Agree to Confidentiality---** Upon successful login, the first page is a welcome to the site, as well as a reminder that all information entered into the site and displayed by the site is to be handled and regarded in a confidential manner as described by law. Information is also given on the requirements for a successful event entry. To proceed into the Event Notification system, click the Enter System button.
- 11. Main Menu Selection---** Decision Point- After entering the system the first page is a menu of the possible options: List/Add Event, Event Filter Report, or Logout. To logout of the Event Notification System return to the Main Menu and click the Logout button. End of process. If List/Add is selected proceed to step 19. If filter for a report is desired, proceed to step 12.
- 12. Enter Report Criteria---** Facilities also have the opportunity to view additional information on their previous submissions through the Event Filter Report. Clicking the Event Filter Report button on the Main Menu page opens the Event Filter Report screen. This report can provide

the facility with a list of events by event type (or all event types) or by a specific status (or all status) for a given date range (or all events entered if no date range is provided). Event types and status types can be selected by clicking on the drop down arrow to the right of each of the fields, then highlighting the appropriate choice.

13. **Output to File**--- Decision Point-if report information will be output to a file proceed to step 14. Otherwise proceed to step 15.
14. **Check “Write Output to File”** --- The report information can also be saved into an excel spreadsheet (and imported into Access, etc). To save the report into a file, check the write output to file box (bottom left).
15. **Click Generate Report Button**--- To generate the desired report click the Generate Report button.
16. **Output to File**--- Decision Point-if Output to File was the selection in step 13, proceed to step 17. Otherwise end of process.
17. **Right Click to Download Report**--- Right click the Click Here to Download Report link at the top of the page, choose Save Target As.
18. **Select Location to Save File**--- In the window that opens (1) browse to a location on your own computer where you wish to store this report, (2) rename the file to something meaningful regarding the report, (3) check to insure the file is saved as type Microsoft Excel Comma Separated Values file, and (4) choose Open in the window that opens after the file is saved. End of process.
19. **Event Report List Page**---The Event Report List page opens when selected in step 11.
20. **List/Add**--- Decision Point- Clicking the Event List/Add Event button on the Main Menu brings up the Facility – Event Report List page. This page displays the status of all submissions entered by the facility for the past 30 calendar days (Approved, Rejected, or New – a new event is one that has not yet been reviewed by the PA-DOH). The view of the information on this page can be changed several ways. To see all events, not just those within the last 30 days, click the View All button. A date range pop up box will now appear so you may limit the result set to speed retrieval. To sort events by event number, event type, status, or by date submitted, click the appropriate column heading. If you want to add an event, proceed to step 21. Otherwise the list is accessed by proceeding to step 41.
21. **Click New Event Button**--- To add a new event, click the New Event button on the Facility – Event Report List page. This will open the Event Report page. All fields on this page are required fields except for the Diagnosis field and the Medication field. It is mandatory that information be entered into the required fields. You can navigate from one field to the next by tabbing or by clicking in each field. Complete all the fields and when finished, click the Submit button at the bottom of the page.
22. **Event Report Page**--- To add a new event click the Add Event button (a blank Event Report page will open and data may be entered).
23. **Enter Resident ID**---In the Resident ID field the resident’s Medicare number should be entered exactly as it appears on the resident’s documents. If the resident does not have a Medicare number, a Railroad Retirement Board (RRB) number may be substituted. These RRB numbers contain both letters and numbers. If the resident does not have a Medicare number or a RRB,

please enter the last four digits of the social security number and include the resident's name in the text of the Factual Description. If the event does not involve a resident, please place Not Applicable in this field.

24. **Enter Date of Event**---Enter the date the event occurred.
25. **Enter Time of Event**---Enter the time the event occurred.
26. **Enter Event Type (Category)** --- The event type is entered by selecting one of the event categories provided – simply click your cursor in the event type field (or click the arrow to the right of the field), scroll to the appropriate event category and highlight it. To view the full event type description, click on the Click Here link in the middle of the page. That will display a complete list of all event categories available for selection.
27. **Enter Allegation Type/Subtype**--- If you choose Complaint of Resident Abuse, Confirmed or Not as the category you will be provided with additional check boxes that you must complete.
28. **Enter Location of Event**--- Enter the location where the event occurred.
29. **Enter Medication(s)** --- Decision Point- not a required field, but should be completed when appropriate to the event.
30. **Diagnosis of Resident/Patient**--- Decision Point- not a required field, but should be completed when appropriate to the event.
31. **Enter Factual Description**--- Ensure that all facts of the event are contained in this area.
 1. Who was involved? i.e., Resident(s), Staff, Visitor(s), Witnesses, etc.
 2. What occurred? i.e., detailed description of what happened and resident(s) outcome.
 3. When did it occur?
 4. Where did it occur?
 5. How did it occur?
 6. Why did it occur? (if known)
32. **Enter Description of Follow-up Action**--- Ensure that the facility has provided an appropriate follow-up plan.

Elements to be contained in "Description of Follow-up Action"

 - a. What corrective action(s) will be implemented for the resident(s) found affected by the incident? (if appropriate)
 - b. How will other residents be identified as having the potential to be affected by the same type of incident and what corrective action will be taken?
 - c. What measures will be put into place or what system changes will the facility make to ensure that an incident of this type does not recur?
 - d. How will the facility ensure that the incident will not recur?
 - e. Was there a complete investigation of the incident? i.e., were there witnesses and if so, were they interviewed?
 - f. Was there a system in place to prevent the incident, and was staff implementing it?
 - g. If appropriate, was the Physician and responsible party notified or other relevant agencies?
33. **Enter Submitted By**--- Enter the name of the person who submitted the form to the Department of Health.
34. **Enter Submitter's Title**--- Enter the title of the person who submitted the form to the Department of Health.

35. **Abuse---** Decision Point- Abuse is the infliction of injury, unreasonable confinement, intimidation, or punishment with resulting physical pain or mental anguish. If abuse applies proceed to Map M (PB22). Otherwise proceed to step 36.
36. **Click Submit Button---**Click the Submit Button.
37. **Receive Event Number---** Decision Point- An event is not submitted to the Department of Health until a confirmation with an event number has been received. If Event Number is received proceed to step 38. Otherwise return to step 36.
38. **Successfully Submitted---**Event is successfully submitted to DOH.
39. **Another Event---** Decision Point-if another event needs added to ERS proceed to step 40. Otherwise return to step 11.
40. **Click Add Another Event Button---**To add another event click the Add Another Event button (a blank Event Report page will open and data may be entered for another event). Return to step 21.
41. **List—Click on Record at Bottom of Page---**Identify the record on the bottom of the page that you want to view. Click on the appropriate record.
42. **Re-Sort---** Decision Point-if the sort is acceptable as-is proceed to step 44. To re-sort proceed to step 43.
43. **Click on Column to Sort---**Click on the appropriate column you want the sort to filter on. By clicking the column the data is resorted based upon the column that was clicked.
44. **All Entries---** Decision Point-if viewing all entries proceed to step 45. Otherwise proceed to step 46.
45. **Click View All Button---**Click View All button to see all records available.
46. **Select Record---**Select the record you want to view by clicking on the link.
47. **Event Details---** Decision Point- The Event Report List provides an overview of events. The details of any event may be displayed by clicking on the event number for that event in the event listing page.
48. **Click Event No. Button---**Click the Event Number button
49. **Resubmit---** Decision Point- Please review the rejection reason and supply the additional information needed or withdraw the event, if indicated. Two buttons will appear on the bottom of the event “Update Report and Resubmit” or “Withdraw”. If resubmitting the event proceed to step 50. Otherwise proceed to step 53.
50. **Click Update Report and Resubmit Button---** To resubmit an event, click the Update Report and Resubmit button on the Event Details window. An Event Report page will be displayed that looks exactly like the one when that specific event was last submitted – i.e. the fields are populated with that information (see the Add Event screenshot above for what this would look like).
51. **Update As Necessary---** Use the reviewer’s comments to correct or expand on the information displayed. When the information has been changed (in as many fields as necessary) proceed to step 52.
52. **Click Submit Button---**Click the Submit button.
53. **Rejected Mode---** Decision Point- The system will allow only events that are in a rejected status to be withdrawn. If in rejected mode proceed to step 54. Otherwise proceed to step 56.

54. **Withdraw**--- Decision Point-if withdrawing the event proceed to step 55. Otherwise end of facility process.
55. **Click Withdraw Button**--- To withdraw an event, click the Withdraw button on the Event Details window. Enter a reason for withdrawing the event and click the Withdraw button. An Event Review window will appear confirming what has been entered. Click the Event List button to return to the Event list.
56. **Contact DDCF**--- If you find that you have submitted an event in error, please contact your local Department of Health field office and ask them to reject the event. An example of when a facility would withdraw an event would be if they made a duplicate submission of the same event in error.
57. **Accepted By DDCF**--- Decision Point-if the event was already accepted by DDCF proceed to step 61. Otherwise proceed to step 58.
58. **FO Reviews Event**---The Field Office (FO) reviews the event before determining if to reject the event.
59. **FO Decision to Reject**--- Decision Point-if FO decides to reject the event or if they accept the event proceed to step 60.
60. **ERS Shows Status**---Regardless of the decision in step 59, ERS shows the FO decision which can be accessed by the facility. End of facility process.
61. **Delete and Resubmit**--- Decision Point-if DDCF decides to delete and resubmit proceed to step 62. Otherwise end of facility process.
62. **Delete PACTS**---DDCF deletes the event in the Pennsylvania Automated Complaint Tracking System (PACTS).
63. **Contact Facility to Resubmit**---DDCF contacts the facility and requests they resubmit the event in ERS. Return to step 21.
64. **DDCF Review of Event**--- Supervisor assigns HFQE to review ERS. The facility submits an event report via ERS. The HFQE enters ERS & chooses the event to review.
65. **Sign on Website**---Sign on the ERS website.
66. **Enter Login and Password**--- Enter your Login ID and Password. It is the same as your SAIS Login ID and Password.
67. **Click Enter System**---Click Enter System in the gray square.
68. **Main Menu-Review Events**--- Decision Point-if reviewing events proceed to step 70. Otherwise proceed to step 69.
69. **Select One Administration Reports Logout**---Select one of three options: administration, reports, or logout. End of process.
70. **Click Review Events**--- To review the events that have been submitted to the field office, click Review Events in the gray box.
71. **Click Event Number to Review**---Click on the event number to review the event.
72. **Review Event in ERS**--- The HFQE reviews the Event for the following:
Ensure the facility has provided adequate information in each area of the ERS form
 - a. Event No. – automatically generated by the system.
 - b. Patient ID – required field that must be completed by the facility. This should be the resident’s Medicare number, entered exactly as it appears on the resident’s

documents. If the resident does not have a Medicare number, a Railroad Retirement Board (RRB) number may be substituted. These RRB numbers contain both letters and numbers. If the resident does not have a Medicare number or a RRB, they should enter the last four digits of the social security number and include the resident's name in the text of the Factual Description. You can use any of the above to locate the resident's MDS information in MDS 30. Viewer in QIES.

- c. Date of Event - required field that must be completed by the facility.
- d. Time of Event – required field that must be completed by the facility in military time.
- e. Event Type – required field. Ensure that the “Event Type” coincides with the “Factual Description.” Below Table 1 entitled Category Prompts, contains elements to consider when reviewing for the appropriate “Event Type.”

*Note that the facility should not use the following categories as they are no longer required reportable events:

Falls with Injuries

Inappropriate Discharge

Injury or Accident While a Resident Other than Falls

Medication Errors/Adverse Drug Reactions Causing Serious Injury

Misadventure with Feeding Tube, Catheter, Tracheotomy or Life Sustaining Equipment

Resident Billing/Records

- f. Location of Event – required field that must be completed by the facility.
- g. Name and Frequency of Medication(s) – not a required field, but should be completed when appropriate to the event.
- h. Diagnosis of Resident/Patient - not a required field, but should be completed when appropriate to the event.
- i. Factual Description – required field. Ensure that all facts of the event are contained in this area.
 - 1. Who was involved? i.e., Resident(s), Staff, Visitor(s), Witnesses, etc.
 - 2. What occurred? i.e., detailed description of what happened and resident(s) outcome.
 - 3. When did it occur?
 - 4. Where did it occur?
 - 5. How did it occur?
 - 6. Why did it occur? (if known)
- j. Description of Follow-up Action – required field. Ensure that the facility has provided an appropriate follow-up plan.
 - Elements to be contained in “Description of Follow-up Action”
 - i. What corrective action(s) will be implemented for the resident(s) found to have been affected by the incident? (if appropriate)
 - ii. How will other residents be identified as having the potential to be affected by the same type of incident and what corrective action will be taken?
 - iii. What measures will be put into place or what system changes will the facility make to ensure that an incident of this type does not recur?

- iv. How will the facility ensure that the incident will not recur?
 - v. Was there a complete investigation of the incident? i.e., were there witnesses and if so, were they interviewed?
 - vi. Was there a system in place to prevent the incident, and was staff implementing it?
 - vii. If appropriate, was the Physician and responsible party notified or other relevant agencies?
 - k. Submitted By – required field that should have been completed by the facility.
 - l. Submitter’s Title – required field that should have been completed by the facility.
73. **Complete and Thorough**--- Decision Point-if information in step 72 is complete and thorough proceed to step 74. Otherwise proceed to step 75.
 74. **Select Priority Code**--- After the event is reviewed the health and safety of the other residents must be considered based on the facility’s follow up action.
 75. **Reject Event—Need More Info**---Event is rejected due to missing information.
 76. **Enter Reason**---Reason for rejection is entered into ERS. Return to step 49.
 77. **Abuse**--- Decision Point- If you chose Complaint of Resident Abuse, Confirmed or Not, you will be provided with an electronic PB22 to complete. If this selection was chosen proceed to Map M. Otherwise proceed to step 78.
 78. **Misappropriation**--- Decision Point- If you chose Misappropriation of Resident Property, you will be provided with an electronic PB22 to complete. If this selection was chosen proceed to Map M. Otherwise proceed to step 79.
 79. **Neglect**--- Decision Point- If you chose Resident Neglect, (Neglect is the willful deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health); you will be provided with an electronic PB22 to complete. If this selection was chosen proceed to Map M. Otherwise proceed to step 80.

 80. **Life Safety Issues**--- Decision Point-if event is a Life Safety Issue proceed to step 81. Otherwise proceed to step 82.
 81. **Contact Life Safety FO**--- If an event is reported that involves structural damage or life safety issues, the Division of Nursing Care Facilities supervisor will communicate with the appropriate Life Safety Field Office and provide a copy of the event report.
 82. **Approval**--- Decision Point- Once the decision has been made to “Approve”, “Reject”, or place in “Pending”, click on the appropriate button. If approved proceed to step 99. If event is rejected proceed to step 88. If approval is pending proceed to step 83.
 83. **Pending**---This option places an event in pending status if the incident requires updating by the facility. Do not reject an event that requires updating, this causes the facility to have to submit an additional event which is undesirable. Examples include: awaiting determination of a perpetrator, flu cases, GI flu cases, TB, power outage updates, etc.
 84. **Enter Pending Reason in Comments Box**--- Selection of “Pending” requires that the reviewer place a comment in the comment box. You may use this to tell the facility that they need to keep you updated. If you do not, the system will remind you.
 85. **Facility Responds Within 3 Days**---Facility is required to respond to the pending status within three days.

86. **Receive Pending Material**--- Decision Point-if materials were required to satisfy the pending status, and the materials are received, return to step 82. Otherwise proceed to step 87.
87. **Wait for Pending Materials**---Wait for the materials required to remove the event out of pending status. Return to step 85.
88. **Reject**--- Reasons why an event may be rejected include:
- 1) If all factual information is not present or the event is incorrectly categorized, then the event should be rejected.
 - 2) If a facility submits a duplicate event in error, they have been instructed to call the field office and inform them of the duplicate event. The field office must reject the record so that it is back in the facility's possession and the facility must withdraw the event from the system. This eliminates the possibility of generating duplicate reports. In this instance, the following statement should be used as the reason for rejection; *"Event rejected per facility request."*
 - 3) If the facility submits an allegation of abuse that does not meet the definition of abuse, reject the event specifying to the facility that the allegation of abuse does not meet the definition of abuse.
 - 4) The field office must ensure that the facility follows up on all rejected events within three calendar days of rejection of the event.
 - 5) The field office must choose the reason for rejection at the bottom of the screen and may place comments in the comment box to assist the facility.
89. **Duplicate**--- Decision Point- If a facility submits a duplicate event in error, they have been instructed to call the field office and inform them of the duplicate event. If reason for rejection is a duplicate proceed to step 90. Otherwise proceed to step 91.
90. **Facility Deletes Duplicate**--- The FO must reject the record so that it is back in the facility's possession and the facility must withdraw the event from the system. This eliminates the possibility of generating duplicate reports. In this instance, the following statement should be used as the reason for rejection; *"Event rejected per facility request."* End of process.
91. **Complete and Thorough**--- Decision Point-if event entered was not complete and thorough proceed to step 93. Otherwise proceed to step 92.
92. **Correctly Categorized**--- Decision Point-if event was not correctly categorized proceed to step 93. Otherwise proceed to step 94.
93. **Facility Responds Within 3 Days**---Facility must respond to rejection of event within three days. End of process.
94. **Facility Calls FO**---Facility contacts the FO about the event in ERS.
95. **FO Rejects Event**---FO rejects the event and enters the reason in step 96.
96. **Enters Reason for Rejection**--- In the comment box at the bottom of the screen, the reviewer must inform the facility of the reasons for the rejection of the event as well as what information is required in order for the event to be approved. If you do not, the system will remind you.
97. **Facility Responds Within 3 Days**--- Facility must respond to rejection of event within three days.
98. **Facility Withdraws Event**---Facility withdraws the event from ERS. End of process.
99. **Accept**--- Approval means that the department accepts the notification of the incident.
100. **Factual Information**--- Decision Point-if information entered into ERS is factual proceed to step 101. otherwise proceed to step 103

101. **Correct Category**--- Decision Point- if information entered into ERS is identified under the correct category proceed to step 102. Otherwise proceed to step 103
102. **Residents in Jeopardy**--- Decision Point- if residents of the facility are not in jeopardy proceed to step 104. Otherwise proceed to step 103.
103. **Can't Be Approved**---To approve an event all of the following must be true: Factual information is present, the event is correctly categorized, and there is adequate information to determine that the health and safety of the residents is not in jeopardy regarding the follow up action of the facility. One of these three items in steps 100-102 did not pass the requirement. The event must now go into pending or rejection status. Return to step 82.
104. **Allegation of Abuse**--- Decision Point- If the facility has submitted an allegation of abuse that requires submission of a PB-22 and the event report does not indicate that a PB-22 is pending, then the HFQE must approve the event and indicate to the facility, in the box provided for comments, that a PB-22 is required. If event is an allegation of abuse proceed to step 105. Otherwise proceed to step 107.
105. **PB22 Pending**--- Decision Point-if PB22 is pending Continue to Map M. Otherwise proceed to step 106.
106. **Reminder PB22 Must Be Submitted**---HFQE reminds facility PB22 must be submitted. Continue to Map M.
107. **ERS Closed**--- When the event is approved it is finalized and locked, and cannot be changed, updated or modified in ERS. End of process.

END

PA Department of Health (PA-DOH) Event Notification Internet Site Overview – Facilities Effective November 1, 2012

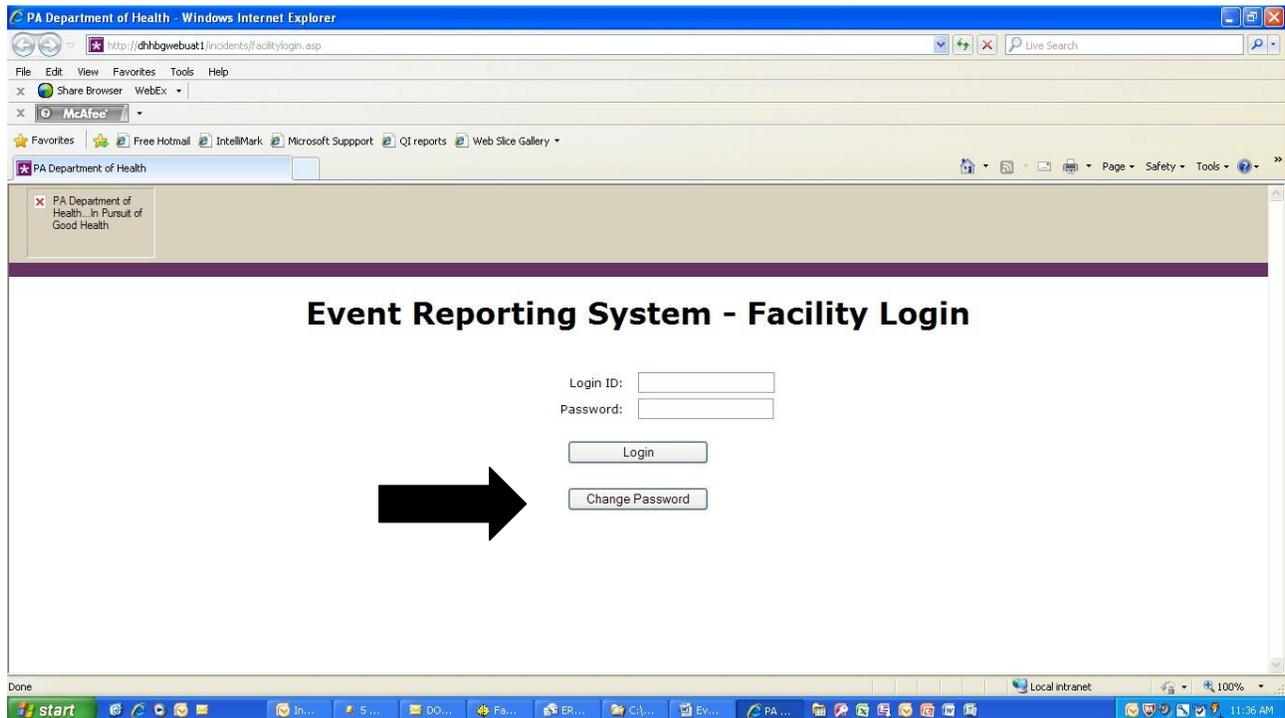
Purpose: To provide a system to enter events per 28 Pa Code Chapter 51.3; 28 Pa Code 201.14(c)&(d), 211.1(a)(b) & (c) and; Chapter 27 of the Administrative Code, that is readily available to all appropriate PA-DOH facilities, a simple process to insure consistent data entry and submission, and a source for quick and meaningful feedback on event notification submissions.

Web Site Address: The web site address for the Events Program is:

<https://app2.health.state.pa.us/incidents/facilitylogin.asp>

Login: When first entering the site for Event Notification, facilities will be required to login. This is accomplished by entering the facility ID as both the Login ID and the Password. (NOTE: Whenever you type in the password field, an * is shown instead of what is typed – this helps to keep passwords confidential). Once the login id and password are entered, click the Login button:

NOTE: The initial password you were assigned uses your Facility ID number as your password. Because the Facility ID number is public information, the Department strongly advises that you change the password immediately. It is also recommended that you establish an internal policy for periodically changing the password, and for identifying those employees with access to the on-line reporting program for your facility.

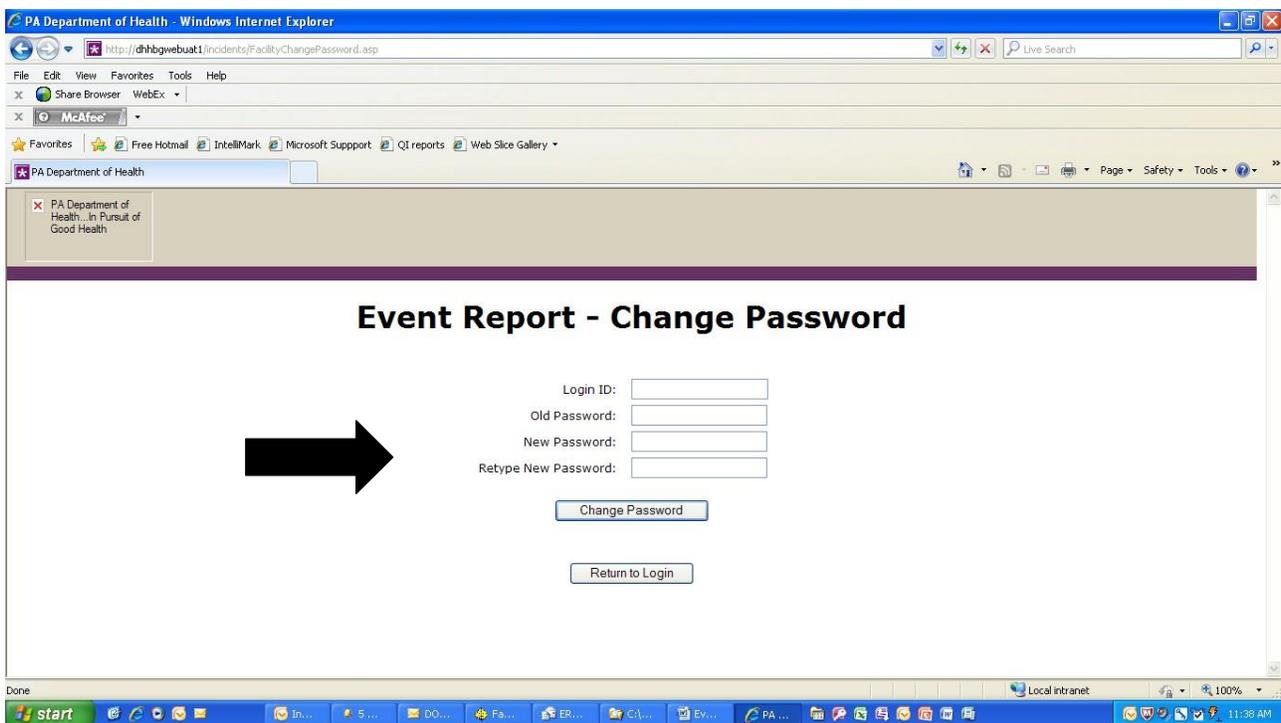


Note: If a facility is no longer open (active), that facility will receive an error message when attempting to log in. If you believe this is an error, please contact the Department's Division of Nursing Care Facilities at (717) -787-1816.

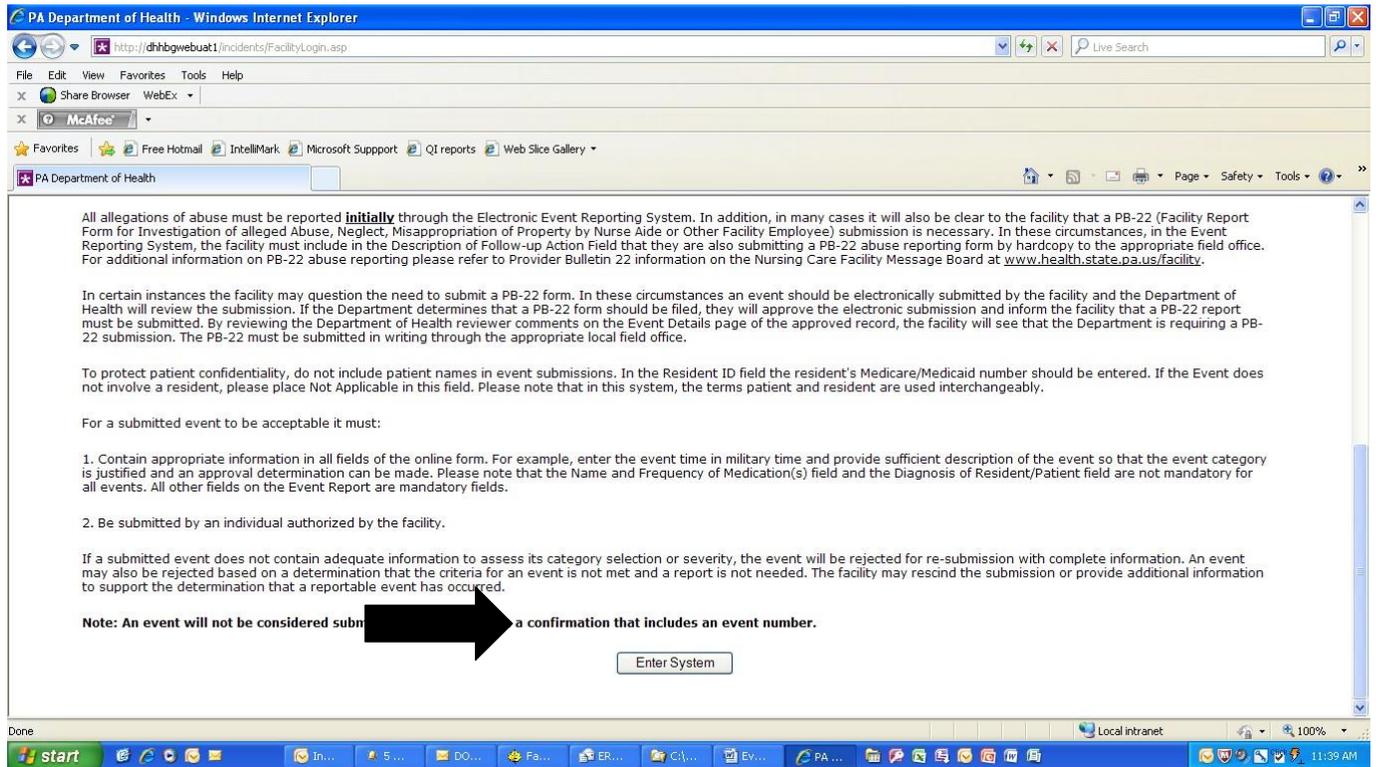
Change Password: It is highly recommended that you change the initial facility password; however, this should NOT be done unless the appropriate authorized facility personnel communicate that a password change is in order and are, in turn, properly notified of a successful password change. To change your facility password first enter your Login ID and current Password on the login page and then: (1) click the Change Password button on the login page, and on the next page that opens, (2) enter the facility ID, (3) the current password, (4) the new password, (5) re-type the new password, and finally (6) click the Change Password button.

Immediately after selecting the Change Password button, you will receive a message telling you that the "Password Changed Successfully."

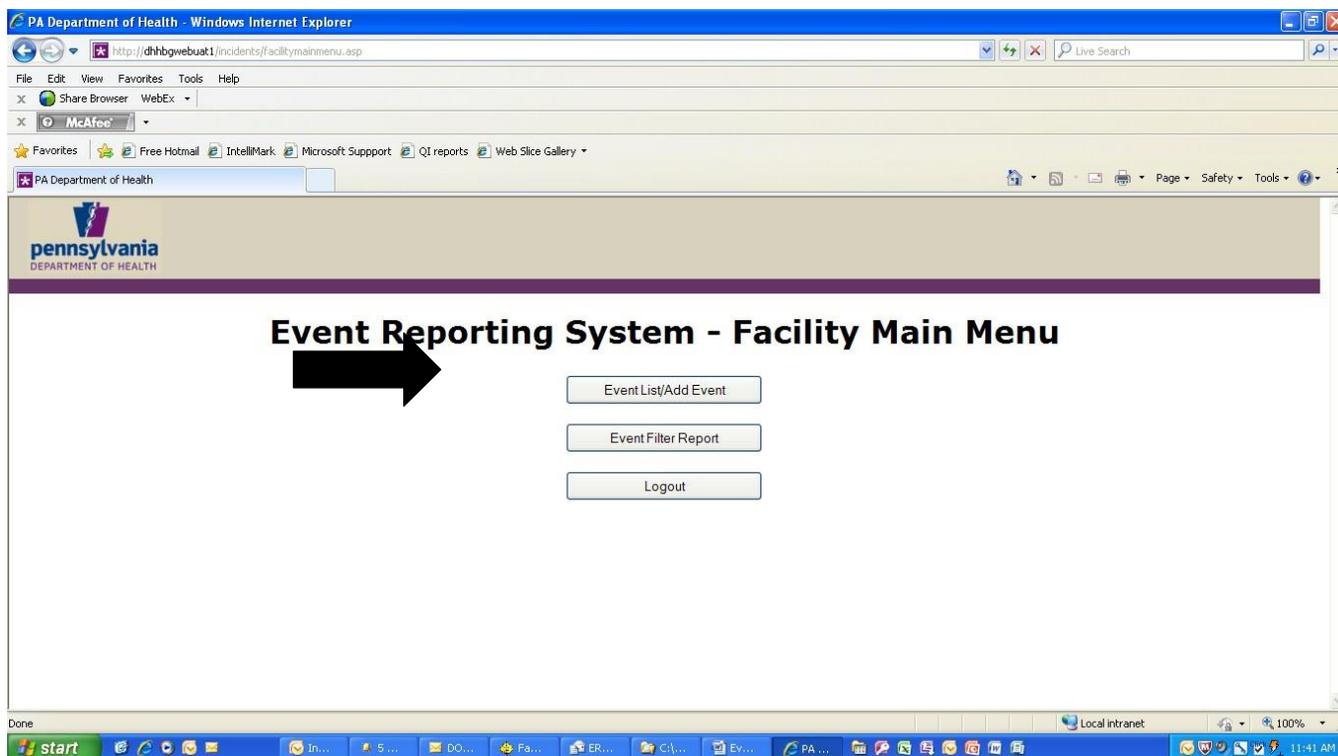
Note: If you have a password problem, please contact the Division of Nursing Care Facilities at 717-787-1816.



Site Entry – Confidentiality Notice: Upon successful login, the first page is a welcome to the site, as well as a reminder that all information entered into the site and displayed by the site is to be handled and regarded in a confidential manner as described by law. Information is also given on the requirements for a successful event entry. To proceed into the Event Notification system, click the Enter System button:



Main Menu – After entering the system the first page is a menu of the possible options: Event List/Add Event, Event Filter Report, or Logout. To add a new event, click on the Event List/Add Event button.



Event List/Add Event – Clicking the Event List/Add Event button on the Main Menu brings up the Facility – Event Report List page. This page displays the status of all submissions entered by the facility for the past **30** calendar days (Approved, Rejected, or New – a new event is one that has not yet been reviewed by the PA-DOH). The view of the information on this page can be changed several ways. To see all events, not just those within the last 30 days, click the View All button. **A date range pop up box will now appear so you may limit the result set to speed retrieval.** To sort events by event number, event type, status, or by date submitted, click the appropriate column heading.



Add Event - To add a new event, click the New Event button on the Facility – Event Report List page. This will open the Event Report page. All fields on this page are required fields except for the Diagnosis field and the Medication field. It is mandatory that information be entered into the required fields. You can navigate from one field to the next by tabbing or by clicking in each field. Complete all the fields and when finished, click the Submit button at the bottom of the page.

NOTES: In the Resident ID field the resident’s Medicare number should be entered exactly as it appears on the resident’s documents. If the resident does not have a Medicare number, a Railroad Retirement Board (RRB) number may be substituted. These RRB numbers contain both letters and numbers. If the resident does not have a Medicare number or a RRB, please enter the last four digits of the social security number and include the resident’s name **in the text** of the Factual Description.

If the event does not involve a resident, please place Not Applicable in this field. Please note that in this system, the terms patient and resident are used interchangeably.

Event Type - The event type is entered by selecting one of the event categories provided – simply click your cursor in the event type field (or click the arrow to the right of the field), scroll to the appropriate event category and highlight it. To view the full event type description, click on the Click Here link in the middle of the page. That will display a complete list of all event categories available for selection.

Choose a category based on the Category/Prompt list provided below.

NOTE – please do not use the following categories as they are no longer required reportable events:

- *Falls with Injuries*
- *Inappropriate Discharge*
- *Injury or Accident While a Resident Other than Falls*
- *Medication Errors/Adverse Drug Reactions Causing Serious Injury*
- *Misadventure with Feeding Tube, Catheter, Tracheotomy or Life Sustaining Equipment*
- *Resident Billing/Records*

| <u>CATEGORY</u> | <u>PROMPTS</u> (Elements to consider when choosing the correct category) |
|---|--|
| <p>Complaint of Resident Abuse, Confirmed or Not</p> <p>*NOTE: Definitions of Abuse</p> <p>42 CFR 483.13(b), “Abuse” means the willful infliction of injury, unreasonable confinement, intimidation, or punishment with resulting physical harm, pain or mental anguish (42 CFR 488.301);</p> <p>28 PA Code 201.3 Definitions, The infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm or pain or mental anguish, or deprivation by an individual, including a caretaker, of goods or services that are necessary to attain or maintain physical, mental and psychosocial well-being. This presumes that instances of abuse of all residents, even those in a coma, cause physical harm, or pain or mental anguish. The term includes the following:</p> <p>(i) <i>Verbal abuse</i>—Any use of oral, written or gestured language that willfully includes disparaging and derogatory terms to residents or their families, or within their hearing distance, regardless of their age, ability to comprehend or disability. Examples of verbal abuse include:</p> <p>(A) Threats of harm.</p> <p>(B) Saying things to frighten a resident, such as telling a resident that the resident will never be able to see his family again.</p> <p>(ii) <i>Sexual abuse</i>—Includes sexual harassment, sexual coercion or sexual assault.</p> <p>(iii) <i>Physical abuse</i>—Includes hitting, slapping, pinching and kicking. The term also includes controlling behavior through corporal punishment.</p> <p>(iv) <i>Mental abuse</i>—Includes humiliation, harassment, threats of punishment or deprivation.</p> <p>(v) <i>Involuntary seclusion</i>—Separation of a resident from other residents or from his room or confinement to his room (with/without roommates) against the resident’s will, or the will of the resident’s legal representative. Emergency or short term monitored separation from other residents will not be considered involuntary seclusion and may be permitted if used for a limited period of time as a therapeutic intervention to</p> | <p>Does the description meet the definition of Abuse?</p> <p>Abuse – <i>Definition – See Category Column</i></p> <p>Staff to Resident</p> <ul style="list-style-type: none"> Resident to Resident abuse – with injury to one or both residents, or intent; including non- consensual sexual or unwanted sexual advances. <i>If there is no injury or intent, do not report – this only applies to Resident to Resident abuse</i> <p><u>Examples of Resident to Resident Abuse:</u></p> <ul style="list-style-type: none"> Resident 1 pushed Resident 2 causing Resident 2 to fall and suffer a subdural hematoma Resident Abuse by Family Members Visitor Abusive Abuse allegations against any individual other than a facility employee or other resident. <p>**All reports under this category require a PB22 and should be reported thru ERS to DOH, your local AAA (verbal notification and follow up with written report - you may use the PB22), and PDA in accordance with Act 13.</p> <p>Act 13 Immediately verbally notify AAA of the following allegations, and then complete a PB22 within 48 hours: (There may still be incidents that are reportable to PDA but maybe not DOH so no PB22 would be completed thus the facilities would need to use the PDA Act 13 Mandatory Abuse Reporting Form.)</p> <ul style="list-style-type: none"> Abuse - the occurrence of one or more of the following acts: <ol style="list-style-type: none"> The infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm, pain or mental anguish; The willful deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health; Sexual harassment; and/or Sexual abuse which is intentionally, knowingly or recklessly causing or attempting to |

reduce agitation until professional staff can develop a plan of care to meet the resident's needs.

(vi) *Neglect*—The deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health.

Title 35 P.S. §10225.701/ 15 PA

Code§15.151 (Act 13) The occurrence of one or more of the following acts: (1) the infliction of injury, unreasonable confinement, intimidation or punishment with resulting physical harm, pain or mental anguish; (2) the willful deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health; (3) sexual harassment; and/or (4) sexual abuse which is intentionally, knowingly or recklessly causing or attempting to cause rape, involuntary deviate sexual intercourse, sexual assault, statutory sexual assault, aggravated indecent assault or incest.

These definitions are all taken into consideration. When multiple definitions are available to providers, we defer to the most stringent definition which does not require intent for an act to meet the definition of abuse.

cause rape, involuntary deviate sexual intercourse, sexual assault, statutory sexual assault, aggravated indecent assault or incest.

- **Serious bodily injury – (Also notify PDA/law enforcement) An injury which creates a substantial risk of death or which causes serious permanent disfigurement or protracted loss or impairment of the function of a body member or organ.**
- **Serious physical injury – (also notify PDA/ law enforcement) An injury that causes a person severe pain or significantly impairs a person's physical functioning, either permanently or temporarily.**
- **Sexual harassment**
- **Sexual abuse – (also notify PDA/ law enforcement)**
- **Rape**
- **Statutory Sexual assault**
- **Involuntary deviate sexual intercourse**
- **Sexual assault**
- **Aggravated indecent assault**
- **Indecent assault**
- **Incest**

PDA/ law enforcement must also receive immediate verbal report for:

Sexual abuse
Serious physical injury
Serious bodily injury
Death is suspicious

Examples of what NOT to report to PDA or DOH

Isolated incidents of the following:

Staff to resident:

- Verbal abuse (yelled at resident, no outcome)

Resident to resident incidents, if unwanted could be sexual harassment thus reportable:

- Someone kissed someone else
- Someone had hand on outside of another resident's clothing
- Someone hits another and no injury at all

| | |
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| | |
| Death Due to a Medication Error or Adverse Reaction to Medication | Did death or a serious injury occur due to a medication error (such as severe allergic reaction to a medication that resulted in death)? |
| Death Due to Injury, Suicide, or Unusual Circumstances While a Resident | Did death occur due to an injury (such as blunt force trauma), suicide, or unusual circumstances (such as electrical shock resulting in death from sticking finger in electrical outlet) while a resident? Death (Resident found on floor) – the unusual circumstance would be unknown reason for death. |
| Death Due to Malnutrition, Dehydration or Sepsis | Did death occur due to malnutrition, dehydration, or sepsis? As a primary cause of death, to report the reason for its occurrence and the steps the facility should have taken to prevent, or will prevent for other residents. (51.3 (f)(g) –(g refers to f) |
| Elopement Inpatient | Does it meet the definition of elopement? <i>Elopement – Resident leaves the facility without the facility staff being aware that the resident has done so (Unauthorized absence). Note: the above definition of Elopement is from 28 Pa Code 201.3)</i> If resident alarm sounds and staff responds immediately, not considered an elopement. |
| Reportable Diseases | Per 28 Pa Code 211.1, and Chapter 27 of Administrative Code <u>211.1 (b)&(c)</u> Cases of scabies and lice shall be reported to the appropriate Division of Nursing Care Facilities field office. Significant nosocomial outbreaks, as determined by the facility’s medical director, Methicillin Resistant Stapylococcus Aureus (MRSA), Vancomycin-Resistant Staphylococcus Aureus (VRSA), Vancomycin-Resistant Enterocci (VRE) and Vancomycin-Resistant Stapylococcus Epidermidis (VRSE) shall be reported to the appropriate Division of Nursing Care Facilities field office. <u>Chapter 27 Administrative Code/ 211.1 (a)</u> (1) The following diseases, infections and conditions are reportable within 24 hours after being identified by symptoms, appearance or diagnosis: Animal bite. Anthrax. |

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| | <p>Arboviruses (viruses transmitted by arthropod insects, usually tick or mosquito) Botulism. Cholera. Diphtheria. Enterohemorrhagic E. coli. Food poisoning outbreak. Haemophilus influenzae invasive disease. Hantavirus pulmonary syndrome. Hemorrhagic fever. Lead poisoning. Legionellosis. Measles (rubeola). Meningococcal invasive disease. Plague. Poliomyelitis. Rabies. Smallpox. Typhoid fever</p> <p>(2) The following diseases, infections and conditions are reportable within 5 work days after being identified by symptoms, appearance or diagnosis:</p> <p>AIDS. Amebiasis. Brucellosis. CD4 T-lymphocyte test result with a count of less than 200 cells/μL or a CD4 T-lymphocyte percentage of less than 14% of total lymphocytes (effective October 18, 2002). Campylobacteriosis. Cancer. Chancroid. Chickenpox (varicella) (effective January 26, 2005). Chlamydia trachomatis infections. Congenital adrenal hyperplasia (CAH) in children under 5 years of age. Creutzfeldt-Jakob Disease. Cryptosporidiosis. Encephalitis. Galactosemia in children under 5 years of age. Giardiasis. Gonococcal infections. Granuloma inguinale. Guillain-Barre syndrome.</p> |
|--|--|

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| | <p>HIV (Human Immunodeficiency Virus) (effective October 18, 2002). Hepatitis, viral, acute and chronic cases. Histoplasmosis. Influenza. Leprosy (Hansen’s disease). Leptospirosis. Listeriosis. Lyme disease. Lymphogranuloma venereum. Malaria. Maple syrup urine disease (MSUD) in children under 5 years of age. Meningitis (All types not caused by invasive Haemophilus influenza or Neisseria meningitis). Mumps. Perinatal exposure of a newborn to HIV (effective October 18, 2002). Pertussis (whooping cough). Phenylketonuria (PKU) in children under 5 years of age. Primary congenital hypothyroidism in children under 5 years of age. Psittacosis (ornithosis). Rickettsial diseases. Rubella (German measles) and congenital rubella syndrome. Salmonellosis. Shigellosis. Sickle cell disease in children under 5 years of age. Staphylococcus aureus, Vancomycin-resistant (or intermediate) invasive disease. Streptococcal invasive disease (group A). Streptococcus pneumoniae, drug-resistant invasive disease. Syphilis (all stages). Tetanus. Toxic shock syndrome. Toxoplasmosis. Trichinosis. Tuberculosis, suspected or confirmed active disease (all sites). Tularemia.</p> |
| Hemolytic Transfusion Reaction | Self explanatory |

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| <p>Misappropriation of Resident Property</p> | <p>Does it meet the definition of Misappropriation of Resident Property?</p> <p>Misappropriation of Resident Property – <i>The deliberate misplacement, exploitation, or wrongful (temporary or permanent) use of a resident’s belongings or funds without the resident’s consent.</i></p> <ul style="list-style-type: none"> • Missing/Lost Medicine – if it belongs to the resident. • Missing Resident Money/Personal Items • Power of Attorney (POA) Misappropriating Resident Funds • Staff member used Resident Funds <p>**Reports under this category require a PB22 if a perpetrator is identified, and should be reported thru ERS to DOH and your local AAA (verbal notification and follow up with written report - you may use the PB22 for an identified perpetrator).</p> |
| <p>Notification of Interruption/Termination of Any Service Vital to the Continued Safe Operation of the Facility or the Health and Safety of its Personnel, Including But Not limited to Anticipated or Actual Termination of Utilities</p> | <p>Was there an interruption in services such as electricity, water, or heat for an extended period of time, which affected or could affect resident services? (Please note that any actual fire event or emergency should be reported)</p> <p><i>Fire (emergency) alarm activation-</i> any time a Fire Department is alerted. <i>Any Fire Alarm or Sprinkler System out of service</i> for four hours or more hours in a 24 hour period. <i>Electrical outages</i> –any; if the power is blinking due to a storm, etc. not reportable, however, if it goes off and stays off, then report. <i>Water</i> – if going to be greater than 4 hours <i>Gas Leak</i> <i>Leak in High Pressure Water Supply</i> <i>Call Bell System malfunction</i> <i>Telephone outage</i></p> |
| <p>Other</p> | <p>Any event <i>that could seriously compromise quality assurance or resident safety</i> and does not fit under any other category use this one. Below are some examples of situations that have been submitted under this category. They are only examples and do not necessarily mean that the incident in your facility meets the criteria “could seriously compromise quality assurance or resident safety”. The facility must evaluate the situation and decide if it meets the definition.</p> <ul style="list-style-type: none"> • <u>LOA misadventures</u> – unplanned occurrences while on leave of absence from facility <u>Examples:</u> <ul style="list-style-type: none"> ○ Family member attempts to take resident on LOA without proper authorization. A resident is not capable and a family member who is not identified as having permission from the POA to take the resident on LOA attempts to take resident out of |

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| | <p>the facility.</p> <ul style="list-style-type: none"> ○ Resident signed out by spouse did not return as expected and spouse not answering telephone ○ Resident in auto accident while on LOA ○ Vehicle accident with transport van (facility or public), ambulance, or family vehicle. ○ Resident misplaced after an appointment ○ A resident goes out of the facility under an approved leave of absence and the resident does not return – it is unsafe for that resident to not have meds or other treatments. ○ Resident left against medical advice without post discharge services <ul style="list-style-type: none"> • <u>Unsafe practices by outside individuals</u> – someone, family, visitor, or other, comes into facility and makes threats or carries out threats or distributes something offensive to residents. Or something comes into facility that may be a threat. <u>Examples:</u> <ul style="list-style-type: none"> ○ Suspicious powder in mail/bag in room ○ Terroristic threat from family member ○ Outsider distributing disturbing literature ○ Weapon found in facility • <u>Unsafe practices by the resident</u> – resident does something that is considered to be dangerous to their health. <u>Examples:</u> <ul style="list-style-type: none"> ○ Attempted suicide ○ Illegal drug use ○ Resident consuming creams, lotions, etc. |
| <p>Resident Neglect Definitions of neglect:</p> <p>483.13(c) failure to provide goods and services necessary to avoid physical harm, mental anguish, or mental illness. (42 CRF 488.301).</p> <p>28 Pa Code 201.3 Definitions – the deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health.</p> <p>Act 13 of 1997 the willful deprivation by a caretaker of goods or services which are necessary to maintain physical or mental health.</p> | <p>Does it meet the definition of Neglect? The facility must do a thorough investigation to determine if the incident meets the definition of neglect or if there is a work performance issue.</p> <p><i>There is no list that can be created to encompass all of the situations that may fall into this category. Therefore, the facility must be prepared with a process in place to investigate and determine neglect. The facility should be prepared to explain their determination of neglect or not.</i></p> <p>Injury/harm is circumstantial and should be determined on a case by case basis. For example, if a resident is bruised because they bumped into a handrail when the nurse aide wheeled them down the hall that may not be considered an injury. However, if the nurse aide ran the resident into the wall and they received a bruise, this could be considered an injury.</p> |

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| | <p>Additional Example to consider: There was one staff present during a transfer of a resident when the care plan stated two staff were required for transfer, and the resident fell and sustained an injury. The facility must do a thorough investigation to determine if this meets the definition of neglect or if it was a work performance issue.</p> <p>**All reports under this category require a PB22 and should be reported thru ERS to DOH, and your local AAA (verbal notification and follow up with written report - you may use the PB22). Reportable to PDA/Law enforcement if serious physical or bodily harm.</p> |
| Rape | All Resident Sexual Abuse including Rape, should be reported as a Complaint of Resident Abuse, Confirmed or Not. This event type should be used for any other reporting of rape i.e. staff, visitor, volunteers reported that they were raped in the facility. |
| Receipt of a Strike Notice | Self Explanatory |
| Significant Disruption of Service Due to Disaster such as Fire, Storm, Flood or Other Occurrence | Fire, storm, flood, earthquake, other natural disaster. |
| Transfer/Admission to Hospital Because of Injury/Accident | <p>Was the resident transferred/admitted to the hospital due to an injury/accident? Guidance (these events are reportable, unless otherwise indicated)</p> <p>Transfer – go to hospital, not admitted to hospital – is reportable. (Please note - for hospital based NH’s, if going to radiology for x-ray – does not constitute transfer.)</p> <p>Admission – order from physician admitting resident to hospital, includes observation stays</p> <p>Injury – clinically complex, requiring additional services outside your facility’s capabilities</p> <p>Accident – unplanned event that causes an injury</p> <p>Could include serious medication errors that required transfer to hospital</p> <p>Resident burned himself while smoking – if serious enough to require transfer to hospital.</p> <p>Unknown/unexplained injury – if serious enough to require transfer to hospital. Example: The resident fell and suffered an injury. She was then transferred to the hospital and admitted with a subdural hematoma or fracture. This event type should be chosen since the admission to the hospital was the most significant result of all of the information contained in the event report.</p> |
| Unlicensed practice of regulated profession | <p>Practicing without a license or an expired license Treatment completed on a resident without an order This could include a nurse aide working with expired registry.</p> |

If you choose **Complaint of Resident Abuse, Confirmed or Not** as the category you will be provided with additional check boxes that you must complete.

The screenshot shows a web browser window titled "PA Department of Health - Windows Internet Explorer" with the URL "http://dhhbgwebuat1/incidents/form_addincident.asp". The form contains the following fields and options:

- Resident ID:** 0256
- Date of Event (mm/dd/yyyy):** 05/15/2012
- Time of Event (military hhmm):** 1200
- Event Type:** Complaint of Patient/Resident Abuse, Confirmed or Not
- Allegation Type:**
 - Resident to Resident
 - Staff to Resident
 - Other
- Allegation SubType:**
 - Mental
 - Physical
 - Sexual
 - Verbal
- Location of Event:** (empty text box)
- Name and Frequency of Medication(s):** (maximum 600 characters) (empty text box)

Fields preceded with "*" are required.

All abuse is required to be reported via ERS and then followed by a PB 22 when appropriate.

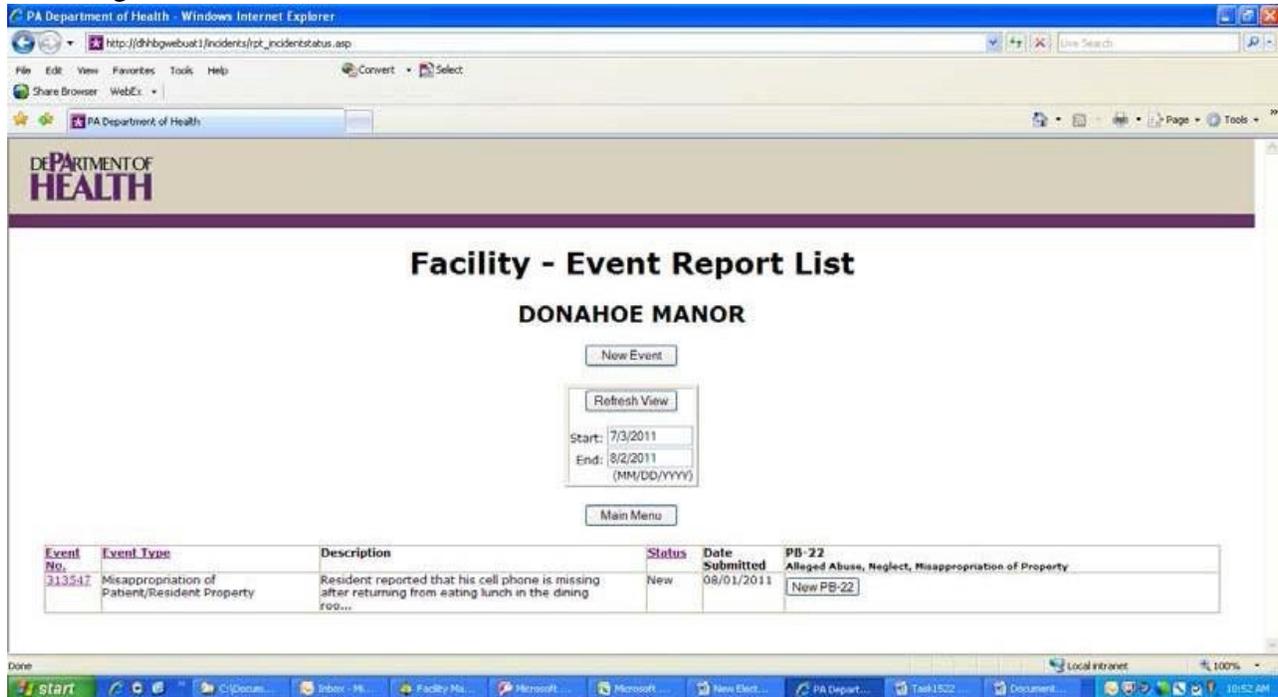
If you choose any of the following categories, you will be provided with an electronic PB22 to complete:

- Complaint of Resident Abuse, Confirmed or Not
- Misappropriation of Resident Property
- Rape
- Resident Neglect

To complete the electronic PB22

The Event Reporting System will allow the submission of Provider Bulletin 22 (PB-22) forms electronically when the event type is Abuse, Neglect, Rape, or Misappropriation of Property. The figures below illustrate what facility personnel will see on their website. (Please note that all the events and PB-22 entries in these examples are entirely fictitious. Facilities used in these examples were chosen entirely at random as we could not use fictitious facilities in ERS).

After successfully submitting the event, the facility event report list will have an additional column on the right side as seen below.



The screenshot shows a web browser window displaying the PA Department of Health website. The page title is "Facility - Event Report List" for "DONAHOE MANOR". There are buttons for "New Event", "Refresh View", and "Main Menu". A date range filter is set from 7/3/2011 to 8/2/2011. Below the filters is a table with the following data:

| Event No. | Event Type | Description | Status | Date Submitted | PB-22 |
|-----------|---|--|--------|----------------|---------------------------|
| 313547 | Misappropriation of Patient/Resident Property | Resident reported that his cell phone is missing after returning from eating lunch in the dining room... | New | 08/01/2011 | New PB-22 |

Initially the column to the right will contain only a button that says New PB-22. Click this button to access and complete the electronic PB-22. Below is the PB-22 completed and saved for this example.

PA Department of Health - Windows Internet Explorer

http://dhhbwwebuat1/incidents/pb22.asp?facid=040402&incidentid=313547&action=New

PB-22

Report Form for Investigation of Alleged Abuse, Neglect, Misappropriation of Property

PB-22 Reference ID: 630

* Indicates a field required for successful submission.

| | |
|---|---|
| SECTION I - GENERAL INFORMATION | |
| Facility Type: LONG TERM CARE PROVIDER (NH) Facility Name: DONAHOE MANOR Facility Address: 136 DONAHOE MANOR RD BEDFORD, PA 15522 County: BEDFORD Telephone: (814)623-9075 | * Date of Alleged Incident: 07/30/2011 Time: 12:30 AM <input type="radio"/> PM <input checked="" type="radio"/> Reported to DDIH: * Name: Johnson Field Office via BRS Telephone: (814)249-3125 * Date: 08/01/2011 Time: 11:32 AM <input type="radio"/> PM <input checked="" type="radio"/> * Date Investigation Initiated: 07/30/2011 * Time Investigation Initiated: 12:30 AM <input type="radio"/> PM <input checked="" type="radio"/> * Date Facility Investigation Completed: 08/02/2011 * Time Facility Investigation Completed: 11:00 AM <input type="radio"/> PM <input checked="" type="radio"/> Date PB-22 Submitted to Field Office: 08/02/2011 |
| SECTION II - ALLEGATIONS/INDIVIDUAL INVOLVED | |
| * Name of Individual/Alleged Perpetrator Involved: Fictional Fred * Address: 123 Any Street * City: Bedford * State: PA * Zip: 15522 * Telephone: (907)654-3210 Date of Birth: 01/01/1986 Sex: <input checked="" type="radio"/> Male <input type="radio"/> Female * Relationship to Victim: | * Worker's Category: <input type="checkbox"/> RN <input type="checkbox"/> LPN <input checked="" type="checkbox"/> NA <input type="checkbox"/> Physical Therapy <input type="checkbox"/> Housekeeping <input type="checkbox"/> Dietary <input type="checkbox"/> Other Other Description: * Date of Hire: 07/05/2005 * Shift: 11pm - 7am Licensure/Registry #: |

Done

start

PA Department of Health - Windows Internet Explorer

http://dhhbwwebuat1/incidents/pb22.asp?facid=040402&incidentid=313547&action=New

* Relationship to Victim: Caregiver

* Nature of Abuse: Physical Sexual Verbal Mental Neglect Misappropriation of Property
 Serious Bodily Injury (Substantial Risk of Death) Suspicious Death Serious Physical Injury (Severe pain or impairment)

* Name of Resident/Victim Involved: Alexander Bell * Resident Date of Birth: 12/12/1912

* Resident Address: 136 Donahoe Manor Road Sex: Male Female
* City: Bedford * State: PA * Zip: 15522 * Telephone: (814)623-9075

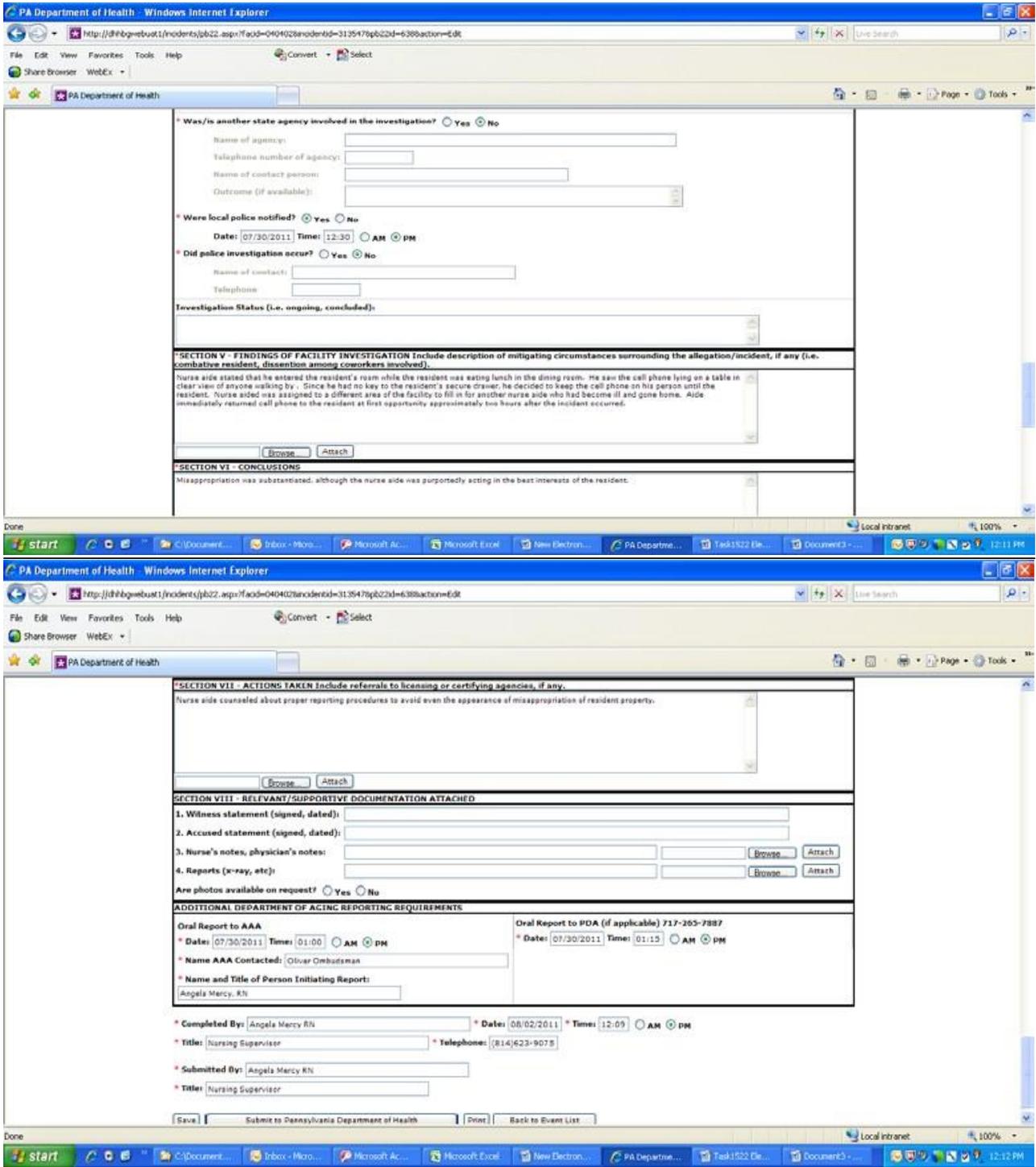
* Name of Family Member/Legal Guardian Notified: Alexis Bell
* Address: 456 Any Street Telephone: (907)321-6540
* City: Bedford * State: PA * Zip: 15522 * Relationship: Daughter

SECTION III - DESCRIPTION OF INCIDENT Describe what happened. Provide specific details, i.e. exact words/actions, location of occurrence, date and time, type of injury, kind of property, dollar amount, extent of physical injury, if any.
After returning to his room from the dining room, resident discovered that his cell phone was missing. Searched resident room, checked other rooms to see if anything else was missing. Notified facility security, called local police.

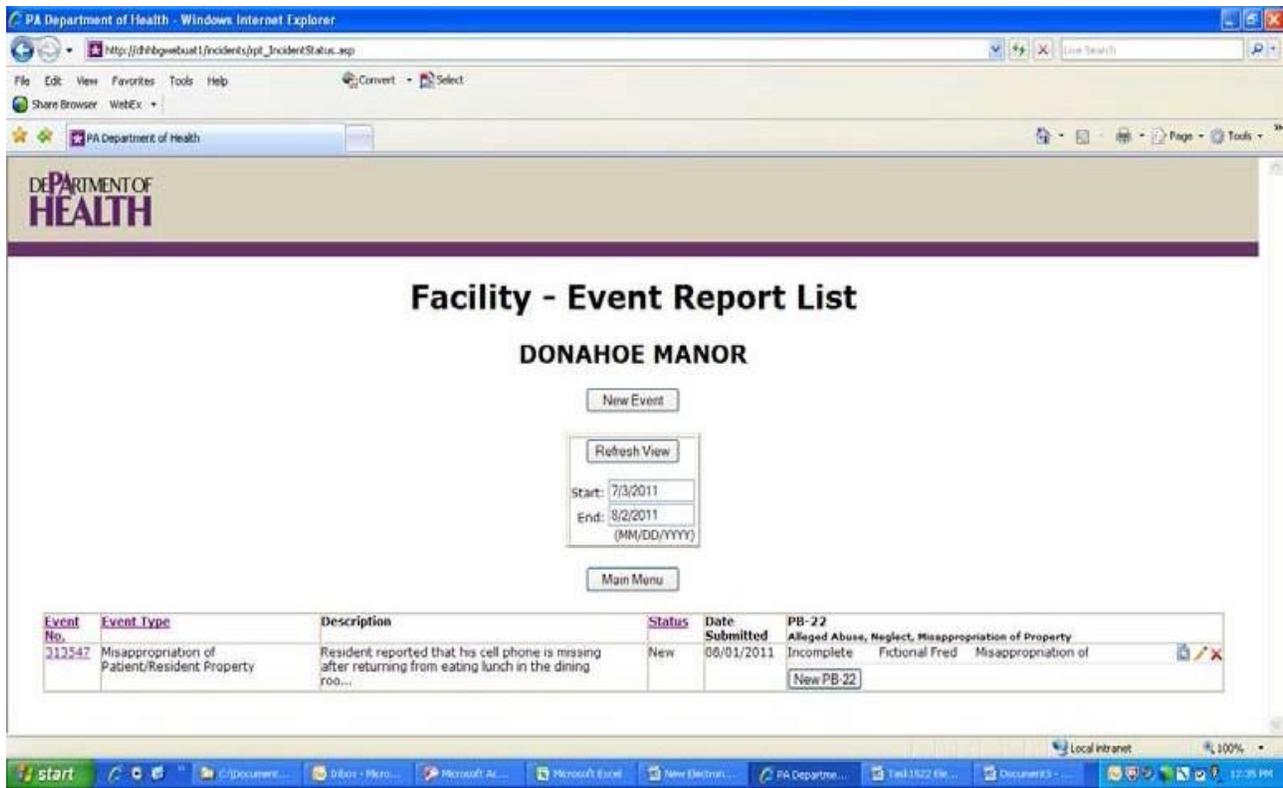
SECTION IV - INVESTIGATIVE ACTIVITIES How did the facility become aware of the incident?

Who reported it? the resident
To whom was it reported? Nursing supervisor Date reported: 07/30/2011 Time reported: 12:30 AM PM

Witnesses
Witness 1
Names: None
Address:



After saving the PB-22 form and returning to the Event List, the screen will appear as below.



Had you submitted the PB-22 form by clicking on “Submit to Pennsylvania Department of Health,” the PB-22 status would be Submitted rather than Incomplete.

There are five different PB-22 form status codes: **Incomplete** (PB-22 has been saved, but not transmitted); **Submitted**; **Rejected**; **Resubmitted**; and **Accepted**. On the screenshot below, the second event listed shows a PB-22 form for each status.

PA Department of Health - Windows Internet Explorer

http://[redacted]incidents/incidentStatus.asp

Facility - Event Report List

MORRISONS COVE HOME

Start: 07/22/2011
 End: 8/3/2011
 (MM/DD/YYYY)

| Event No. | Event Type | Description | Status | Date Submitted | PB-22 Alleged Abuse, Neglect, Misappropriation of Property |
|-----------|---|---|----------|----------------|---|
| 313530 | Rape | Resident reported a man she had never seen before entered her room, closed and locked the door, and ... | Accepted | 07/22/2011 | <input type="button" value="Submitted"/> Im Accused Sexual <input type="button" value="Submitted"/> Ima Creep Physical Sexual <input type="button" value="Submitted"/> Me Too Sexual <input type="button" value="New PB-22"/> <input type="button" value="Accepted"/> Isaw Whatudid Misappropriation of <input type="button" value="Rejected"/> Itook Urcelpho Misappropriation of <input type="button" value="Incomplete"/> Itook Uripod Misappropriation of <input type="button" value="Resubmitted"/> Ivant Urcelpho Misappropriation of <input type="button" value="Submitted"/> Ivant Uripod Misappropriation of <input type="button" value="New PB-22"/> |
| 313525 | Misappropriation of Patient/Resident Property | Upon returning from dining room, resident discovered that her IPOD and cell phone had been taken fro... | Accepted | 07/22/2011 | <input type="button" value="Accepted"/> Isaw Whatudid Misappropriation of <input type="button" value="Rejected"/> Itook Urcelpho Misappropriation of <input type="button" value="Incomplete"/> Itook Uripod Misappropriation of <input type="button" value="Resubmitted"/> Ivant Urcelpho Misappropriation of <input type="button" value="Submitted"/> Ivant Uripod Misappropriation of <input type="button" value="New PB-22"/> |

DOH reviewers may accept both the event and PB-22, reject both the event and PB-22, accept the event but reject the PB-22, or reject the event and accept the PB-22. Below is an example of an accepted event with a rejected PB-22.

PA Department of Health - Windows Internet Explorer

http://[IP]byrebus1/incidents/inst_incidentStatus.asp

PA Department of Health

Facility - Event Report List

DONAHOE MANOR

New Event

Refresh View

Start: 7/3/2011
End: 8/2/2011
(MM/DD/YYYY)

Main Menu

| Event No. | Event Type | Description | Status | Date Submitted | PB-22 Alleged Abuse, Neglect, Misappropriation of Property |
|-----------|---|---|----------|----------------|--|
| 113546 | Complaint of Patient/Resident Abuse, Confirmed or Not | When resident attempted to get out of his wheelchair so that he could reach across the table, a nurs... | Accepted | 08/02/2011 | Rejected Iva Bismouth Verbal New PB-22 |
| 113547 | Misappropriation of Patient/Resident Property | Resident reported that his cell phone is missing after returning from eating lunch in the dining roo... | Accepted | 08/01/2011 | Accepted Fictional Fred Misappropriation of New PB-22 |

Done Local intranet 100%

start | [Icons] | [Taskbar] | 2:43 PM

When the facility opens the PB-22 form to review, the reject reason is printed in red type at the left top of the form. The facility should revise the form based upon the reject reason and resubmit the form.

Within the PB-22 column, PB-22 records will be ordered by individuals' names. Users will know an action on their part is required given the Status information as well as the Activity icons at right.

If a Nature of Abuse or other PB-22 information is too wide to fit in the column, it will display truncated, but if a user hovers his mouse over the text, the full text will appear.

Hover Help is provided within the body of the PB-22 on specific fields. If you place the cursor over a field name of an item that has hover help, the field name will immediately be underlined, and a small hand will appear prompting the user to click on the field name. A Hover Help text box will then appear at the bottom of the screen. See below.

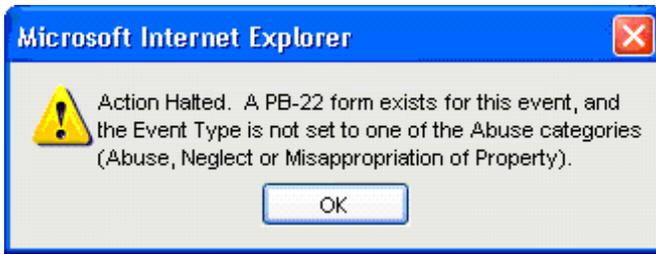
When the link is clicked, the hover help text for that field will display at the bottom of the form to include a Close button:

FACILITY ABC

ERS shall not permit a PB-22 to be submitted unless it's associated event is also submitted, displaying the following message if a user attempts to do so:



If a facility attempts to resubmit or a DOH user attempts to accept a non-abuse event for which a PB-22 form exists, the following message will display:



If a facility attempts to submit or re-submit a PB-22 form for a non-abuse event that has not been accepted yet, the following message will display when the Submit button is clicked:



Helpful Hints:

- (1) The ERS event must be submitted before an electronic PB-22 is available.
- (2) **Hit Save Button at the bottom of the form often, at least every 5 minutes, to avoid losing information that has been entered.**
- (3) If there is an option to add an attachment, text may not be entered into the box IF an attachment is added. It is either text in the field or added attachment.
- (4) If there are numerous documents to be added as an attachment to one field, the documents should be scanned into one document, saved on your computer, and then added as an attachment.
- (5) If an event is accepted with no perpetrator and then later a perpetrator is identified, the event must be resubmitted as a new event so that the PB-22 can be attached.

PB-22 Instructions for Completion

Note: Required fields for PB-22 completion are designated by red asterisks. Hover help is provided for many fields and is available by clicking on the field name or question. A small Help window will appear at the bottom of the screen. Some fields allow the attachment of documentation. These fields have an empty text box with the words “Browse” and “Attach” beside them. If a document/file is attached, the text box will contain the name of the document or file. Such text boxes can be either for text entry or for the attachment title, but not for both.

SECTION I – General Information

The facility type, name, address, county and telephone number will be automatically populated with your facility’s information.

***Date and Time of Alleged Incident:** Be specific, if known. If unknown, explain reason in narrative (Section III – Description of Incident)

***Reported to DOH:** To whom was it reported in the Division of Nursing Care Facilities field office? “Via ERS” is an appropriate response.

***Date and time** original report was filed with DNCF.

***Date and Time Investigation Initiated** by the facility

***Date and Time Investigation Completed:** This must reflect the timeframe the facility took to investigate the allegations.

Date PB-22 submitted to the field office: This will populate automatically with the date of the PB-22 entry.

SECTION II – Allegations/Individual Involved

***Name of individual/Alleged Perpetrator Involved:** Name of alleged perpetrator. Only one perpetrator may be listed on a PB-22.

***Address:** Address of alleged perpetrator

***Telephone:** Telephone number of alleged perpetrator

DOB/Sex: Date of Birth and sex of alleged perpetrator

***Relationship to Victim:** Perpetrator’s relationship to the victim (caregiver, family member, etc.)

***Worker’s Category:** Check appropriate block. If Other, indicate job title if different than those listed (for example, direct care worker, physician, etc.)

***Date of Hire:** Date of hire of the perpetrator by the facility. Must be completed even if perpetrator is agency staff. Facility staff must obtain this information from the Agency if necessary.

***Shift** – shift at the time of the incident

License/Registry Number: # if applicable.

***Nature of Abuse:** Abuse type should accurately reflect the nature of the alleged event. Definitions of abuse types are available in Hover Help when clicking on the field name (Nature of Abuse).

* **Name of Resident/Victim Involved:** Name of resident. **The PB22 can only have one staff perpetrator per report but can have multiple victims by utilizing an attachment.**

***Resident Address:** Indicate residents’ address. Include the facility address if the resident is still at the facility and if the resident has been discharged, list address to contact resident.

***Resident date of birth:** enter resident’s date of birth

Sex: Sex of resident, male or female.

***Telephone:** Indicate resident’s personal phone number. If no personal phone, list facility number where resident could be contacted.

***Family Member/Legal Guardian Notified:** Identify full name of family member/legal guardian notified.

***Address:** Address of family member/legal guardian notified.

***Telephone:** Telephone number of family member/legal guardian notified.

***Relationship:** Relationship of family member/legal guardian if applicable

SECTION III – Description of Incident

***Follow the directions as outlined on the form.** Describe what happened. Provide specific details, i.e., exact words/actions, location of occurrence, date and time, type of injury, kind of property, dollar amount, extent of physical injury, if any. Please click hover help for the title of this section for guidance in reporting each type of incident.

SECTION IV – Investigative Activities – how did the facility become aware of the incident?

Who reported it? Provide name and identity role (resident, staff member, visitor, etc)

To whom was it reported? Provide name and position (Charge nurse, Supervisor, etc)

When: Provide date and time, if known

Witness Information: A witness is an individual who has first hand information about the abusive or neglectful event and not the outcome of the event in question. They must have been a direct observer of the alleged incident or surrounding circumstances. Provide information as requested and note each person's willingness to testify. If the witness was interviewed, please attach the interviewer's notes, if available. Additionally if the witness signed a written statement, please attach it. The form has the capability to report information for up to 4 witnesses. Indicate if witness is considered a credible source. If not, provide a reason in the text box or attach an explanation. A file may be attached that contains all required witness information.

Resident/Accused: Was the resident (victim) interviewed? If a signed statement was provided by the resident, please attach it. Is resident a credible source. Enter text explaining resident credibility. Indicate resident's ability and willingness to testify. If necessary, attach document explaining credibility. Was the accused interviewed? If so, interview notes should be attached. If a signed statement was provided by the accused, please attach it. Please attach signed statements of other involved individuals.

Supportive Documentation: Indicate information available and whether it is attached or retained at the facility. This could include nursing notes, photographs, x-ray reports, etc.

Medical Treatment: Indicate if, as a result of the physical or sexual abuse, the resident was seen by a physician and/or hospitalized.

State Agency Referral: Indicate all agencies notified/involved such as Protective Services, Department of Aging, Department of State, and law enforcement. If known, indicate status of any investigation.

Local Police Notification: Indicate if local police were notified and if so, the date and time they were notified. If police investigation occurred, provide the individual police officer's contact information. Include a summary of referrals made and action taken by the other agency. Note if police investigation is closed or on-going. Please indicate if charges are pending.

***SECTION V – Findings of Facility Investigation**

Provide narrative that describes all components that the facility determined to be relevant to the investigation. Include evaluations or disciplinary actions of the nurse aide if significant.

***SECTION VI – Conclusions**

Indicate whether the facility found the allegations to be substantiated or unsubstantiated.

***SECTION VII – Actions Taken**

Include referrals to licensing or certifying agencies, if any. This may include discipline, training, education, suspension and/or termination.

SECTION VIII – Relative/Supportive Documentation Attached

List relevant/supportive documentation as a check prior to submitting to the Field Office. Nurse's and physician's notes can be attached in this section if not already attached.

ADDITIONAL DEPARTMENT OF AGING REPORTING REQUIREMENTS

Indicate name of Area Agency on Aging (AAA Protective Services) contact person and date and time oral report was made in addition to the name and title of the person initiating the report. Act 13 of 1997 requires that employees and/or administrators who have reasonable cause to suspect that a recipient is a victim of any of the types of abuse described in the definitions of Act 13 shall immediately make an oral report to the AAA. Within 48 hours of making all oral reports, the employee or administrator shall make a written report (may use PB-22) to the AAA. Any alleged abuse involving sexual abuse, serious bodily injury, serious physical injury and suspicious death is mandated under Act 13 to be reported to the Pennsylvania Department of Aging (PDA), in addition to the AAA report.

Completion Section

This section is for the facility person completing the report. Enter the name, title and phone number of person completing form plus the date and time. Enter the name and title of the person who submitted the form to the Department of Health.

*Resident ID:

*Date of Event (mm/dd/yyyy):

*Time of Event (military hhmm):

To see the full event type description [Click Here](#)

*Event Type:

*Location of Event:

Name and Frequency of Medication(s): (maximum 300 characters)

Diagnosis of Resident/Patient: (maximum 250 characters)

*Factual Description: (maximum 3500 characters)

*Description of Follow-up Action: (maximum 3500 characters)

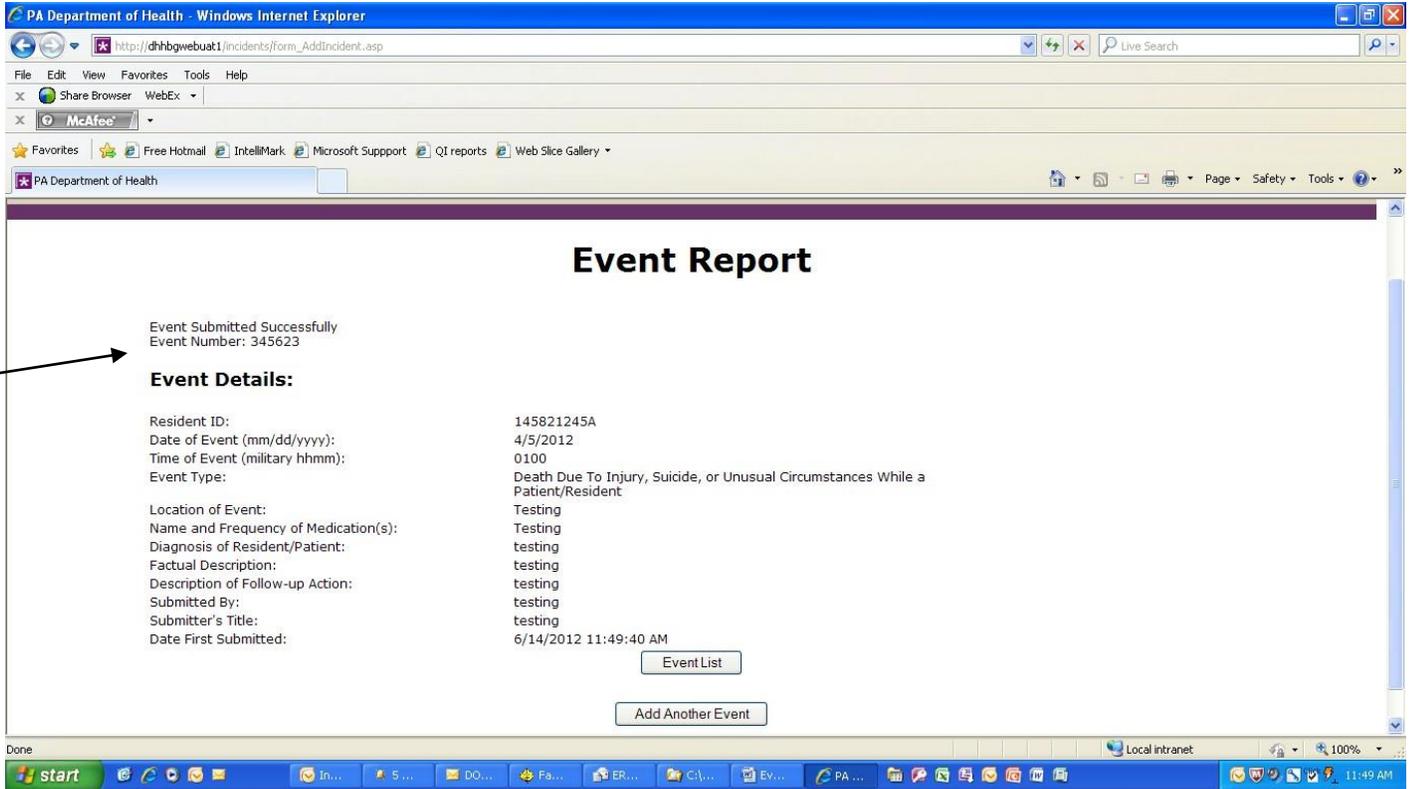
*Submitted By:

*Submitter's Title:

*** A red asterisk will appear in front of each field where data entry is required.**

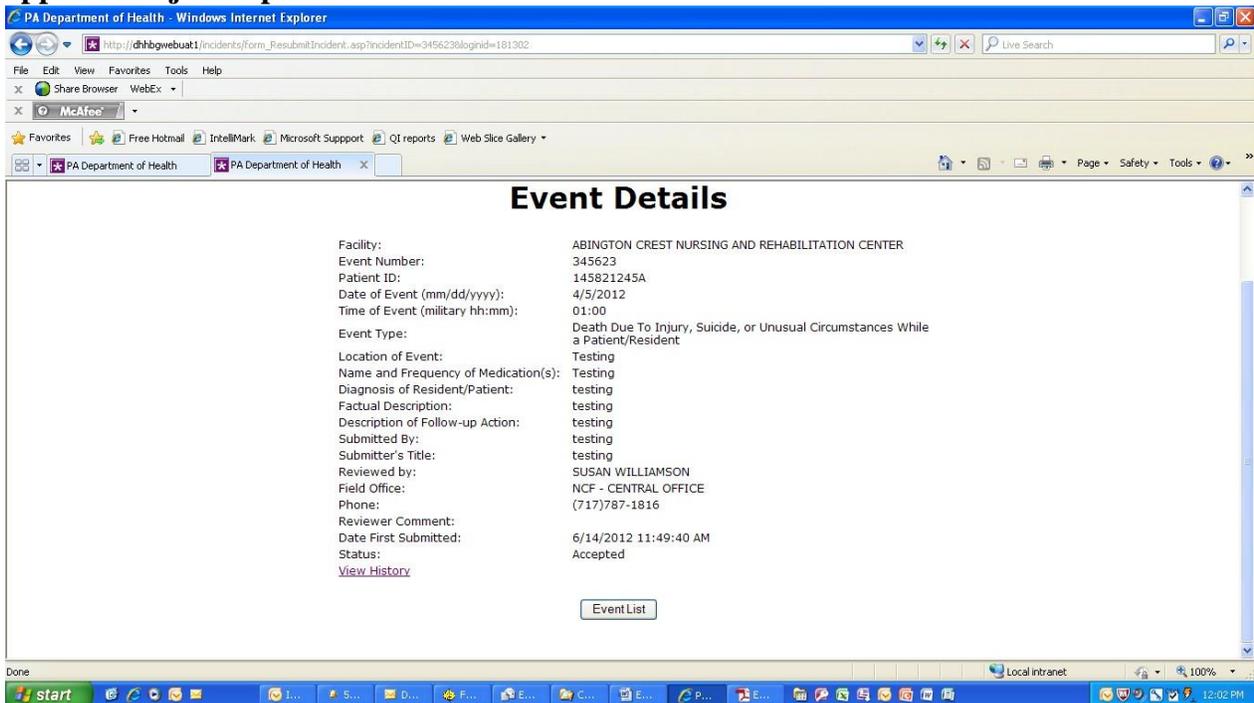
Event Report (confirmation) – after the Submit button is clicked a confirmation page is displayed. One important process performed by the confirmation page is to provide an event number. The event number confirms that the event was successfully entered into the event database. To add another event click the Add Another Event button (a blank Event Report page will open and data may be entered for another event as described above). To return to the event list click the Event List button.

NOTE: An event is not submitted to the Department of Health until a confirmation with an event number has been received.



Once you have received the confirmation that your event has been submitted. The event will be reviewed by DOH staff.

NOTE: You will now see the name, field office and phone number of the DOH staff who approved/rejected/pended the event.



If the field office rejects the event, you will be provided with a reason for the rejection.

Facility - Event Report List
ABINGTON CREST NURSING AND REHABILITATION CENTER

New Event

Refresh View

Start: 6/11/2012
End: 6/14/2012
(MM/DD/YYYY)

Main Menu

| Event No. | Event Type | Description | Status | Date Submitted | PB-22 |
|-----------|---|--------------------------|----------|----------------|--|
| 345624 | Death Due to a Medication Error or Adverse Reaction to Medication | Resident name - John Doe | Rejected | 06/14/2012 | Alleged Abuse, Neglect, Misappropriation of Property |
| 345623 | Death Due To Injury, Suicide, or Unusual Circumstances While a Patient/Resident | testing | Accepted | 06/14/2012 | |

Facility: ABINGTON CREST NURSING AND REHABILITATION CENTER

Event Number: 345624

Patient ID: 5478

Date of Event (mm/dd/yyyy): 5/5/2012

Time of Event (military hh:mm): 12:00

Event Type: Death Due to a Medication Error or Adverse Reaction to Medication

Location of Event: testing

Name and Frequency of Medication(s): testing

Diagnosis of Resident/Patient: testing

Factual Description: Resident name - John Doe

Description of Follow-up Action: testing

Submitted By: testing

Submitter's Title: testing

Reviewed by: SUSAN WILLIAMSON

Field Office: NCF - CENTRAL OFFICE (717)787-1816

Phone:

Reviewer Comment: Reject Reasons: Report does not contain elements dealing with how the facility will correct this issue as it relates to the resident.

Date First Submitted: 6/14/2012 12:04:10 PM

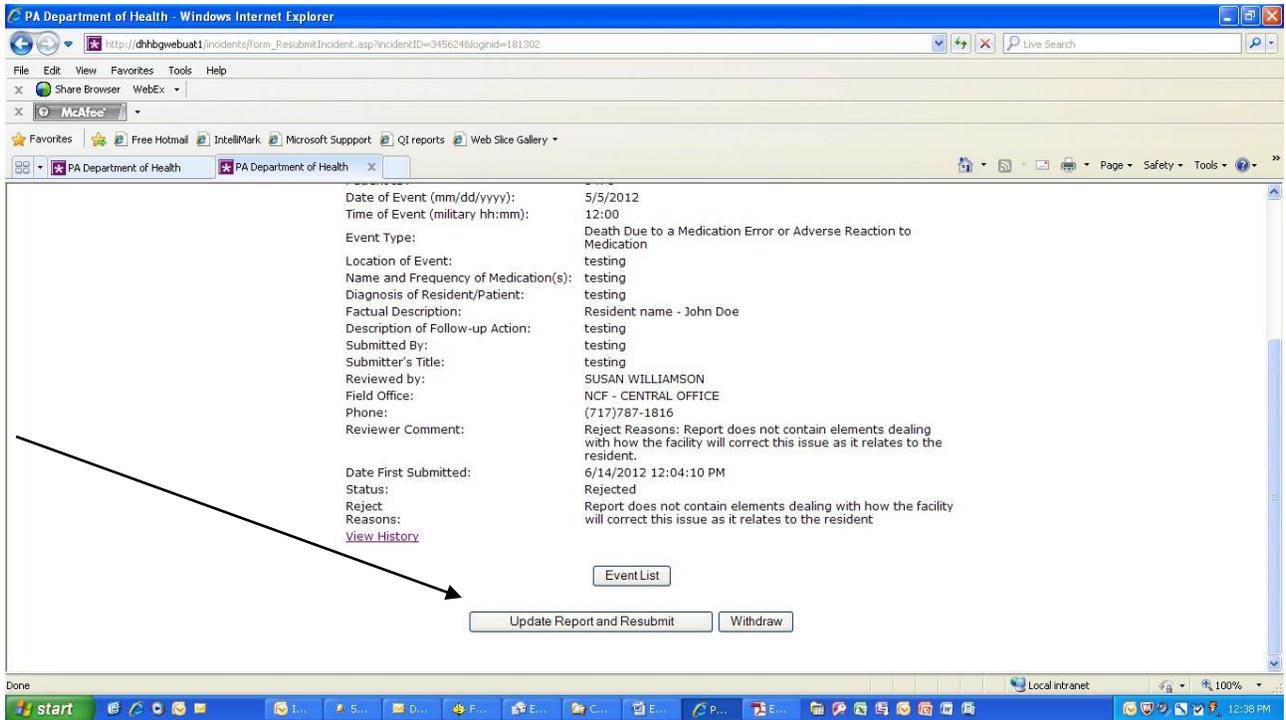
Status: Rejected

Reject Reasons: Report does not contain elements dealing with how the facility will correct this issue as it relates to the resident

[View History](#)

Event List

Please review the rejection reason and supply the additional information needed or withdraw the event, if indicated. Two buttons will appear on the bottom of the event “Update Report and Resubmit” or “Withdraw”.



Event Details – The Event Report List provides an overview of events. The details of any event may be displayed by clicking on the event number for that event in the event listing page.

The screenshot shows a web browser window with the following content:

Facility - Event Report List
ABINGTON CREST NURSING AND REHABILITATION CENTER

Buttons: New Event, Refresh View, Main Menu

Filters: Start: 6/11/2012, End: 6/14/2012 (MM/DD/YYYY)

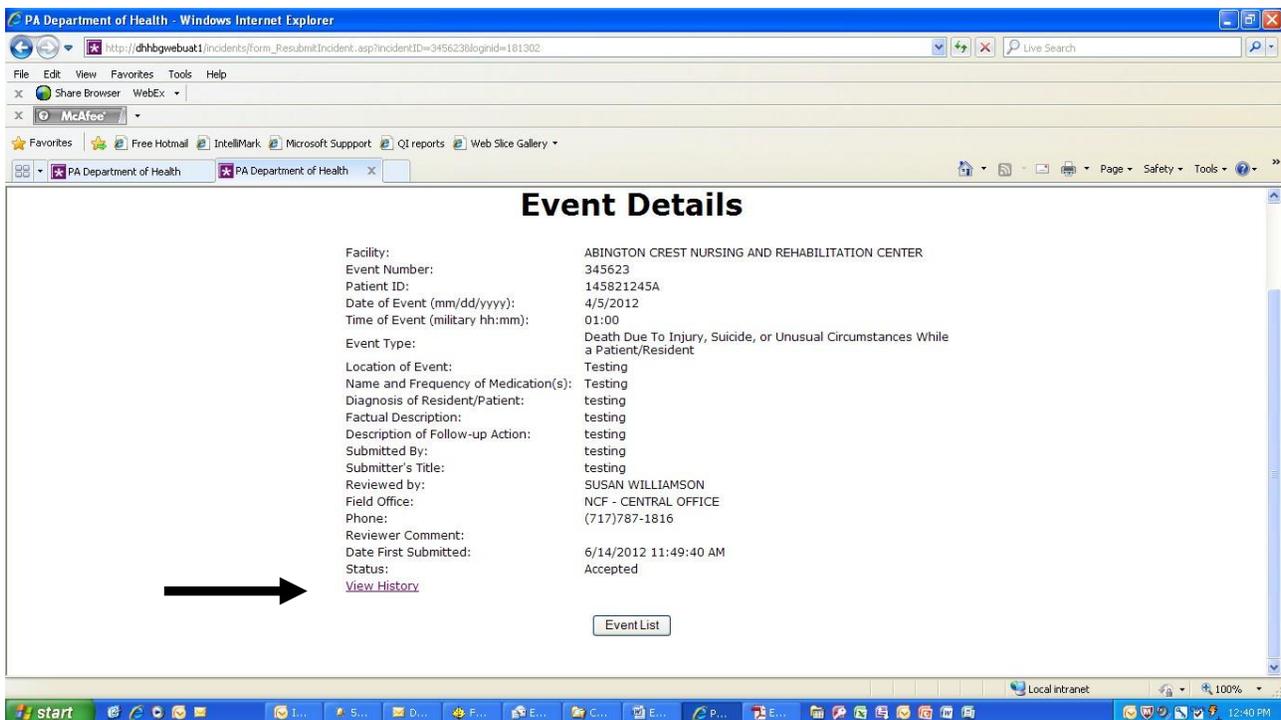
| Event No. | Event Type | Description | Status | Date Submitted | PB-22 Alleged Abuse, Neglect, Misappropriation of Property |
|-----------|---|--------------------------|----------|----------------|---|
| 345624 | Death Due to a Medication Error or Adverse Reaction to Medication | Resident name - John Doe | Rejected | 06/14/2012 | |
| 345623 | Death Due To Injury, Suicide, or Unusual Circumstances While a Patient/Resident | testing | Accepted | 06/14/2012 | |

Resubmit – To resubmit an event, click the Update Report and Resubmit button on the Event Details window. An Event Report page will be displayed that looks exactly like the one when that specific event was last submitted – i.e. the fields are populated with that information (see the Add Event screenshot above for what this would look like). Use the reviewer’s comments to correct or expand on the information displayed. When the information has been changed (in as many fields as necessary), click the Submit button.

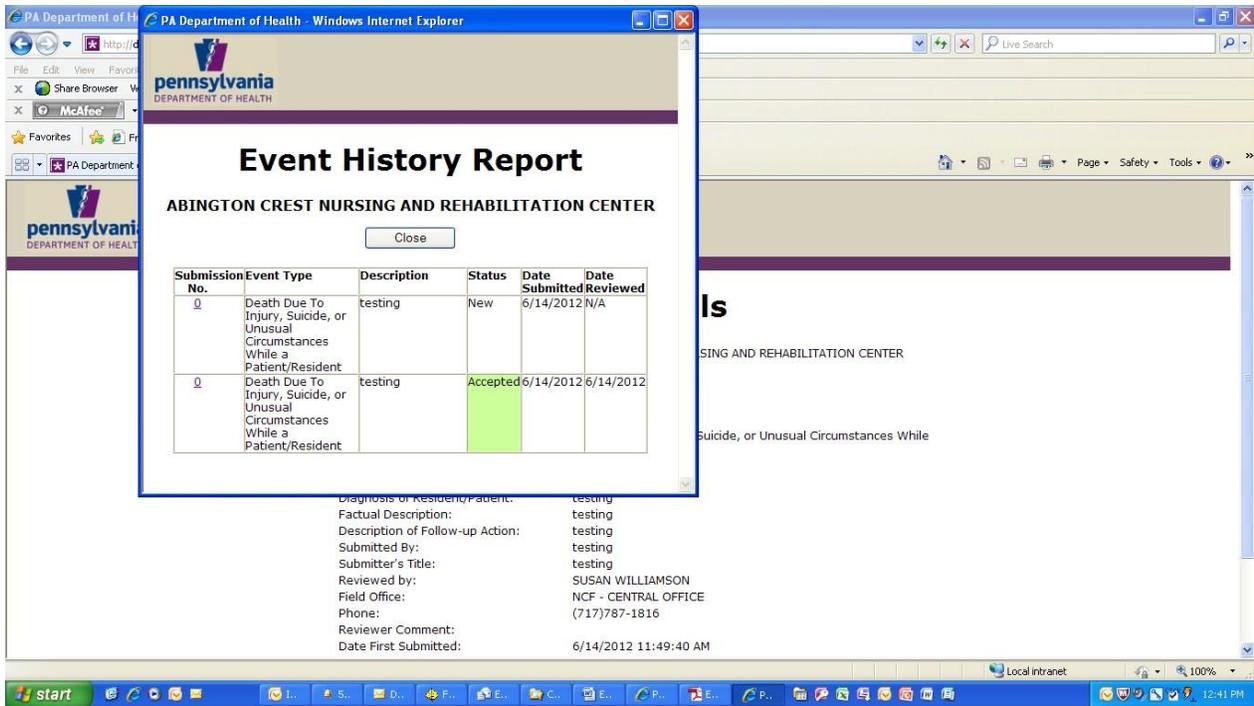
Withdraw – To withdraw an event, click the Withdraw button on the Event Details window. Enter a reason for withdrawing the event and click the Withdraw button. An Event Review window will appear confirming what has been entered. Click the Event List button to return to the Event list.

Notes: The system will allow only events that are in a **rejected** status to be **withdrawn**. If you find that you have submitted an event in error, please contact your local Department of Health field office and ask them to reject the event. An example of when a facility would withdraw an event would be if they made a duplicate submission of the same event in error.

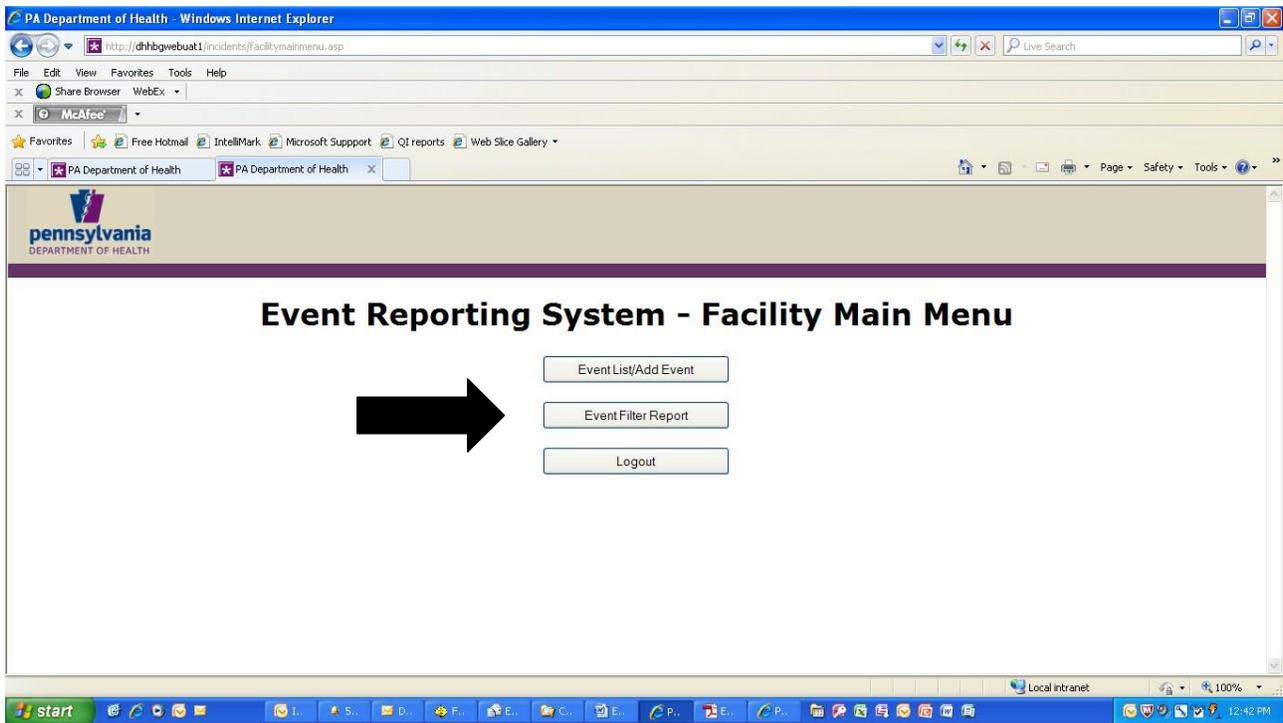
Event History – As explained above, when an event number is clicked from the Event List page, an Event Detail window is displayed (an image of the Event Detail window is shown in the Resubmit/Withdraw section above). This window contains a View History link.



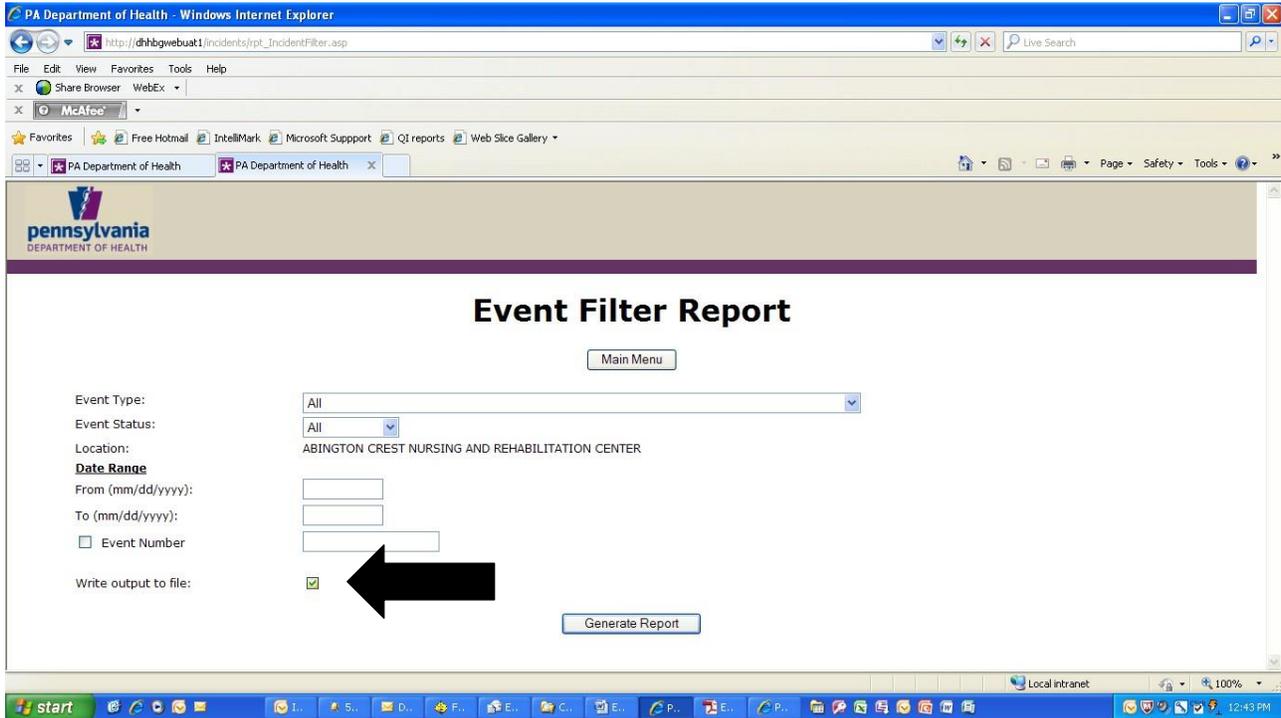
Clicking on the “View History” link brings up the Event History Report, which displays the submission history for that event (if the event was rejected and then resubmitted, and rejected and resubmitted again, and so on). Clicking on the event number provides the Event Details window for that particular submission.



Event Filter Report – Facilities also have the opportunity to view additional information on their previous submissions through the Event Filter Report. Clicking the Event Filter Report button on the Main Menu page opens the Event Filter Report screen.



This report can provide the facility with a list of events by event type (or all event types) or by a specific status (or all status) for a given date range (or all events entered if no date range is provided). Event types and status types can be selected by clicking on the drop down arrow to the right of each of the fields, then highlighting the appropriate choice. The report information can also be saved into an excel spreadsheet (and imported into Access, etc). To save the report into a file, check the write output to file box (bottom left). To generate the desired report click the Generate Report button.



Write Output to File – The generate report button opens the Event Filter Report window. If the write output to file box is checked then that window will include this line: [Right Click Here to Download Report](#).

NOTE: More fields stored in the database have been added to the write output to file option.

Event Filter Report

[Main Menu](#)

 [Right Click Here to Download Report](#)

| Event No. | Facility Name | Facility ID | Event Type | Event Date | Status | Submitted By | Date Submitted |
|-----------|--|-------------|--|------------|----------|---------------|----------------|
| 341434 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 181302 | Other | 03/28/2012 | Accepted | S. Limano RN | 03/28/2012 |
| 334290 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 181302 | Complaint of Patient/Resident Abuse, Confirmed or Not | 01/15/2012 | Accepted | Melinda Poole | 01/23/2012 |
| 341381 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 181302 | Injury or Accident While a Patient/Resident Other than Falls | 03/27/2012 | Accepted | S. Limano | 03/28/2012 |
| 343843 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 181302 | Significant Disruption of Service Due To Disaster Such as Fire, Storm, Flood or Other Occurrence | 04/22/2012 | Accepted | Melinda Poole | 04/23/2012 |
| 333043 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 181302 | Transfer/Admission to Hospital Because of | 01/03/2012 | Accepted | Melinda Poole | 01/03/2012 |

Right click the Click Here to Download Report link at the top of the page, choose Save Target As.

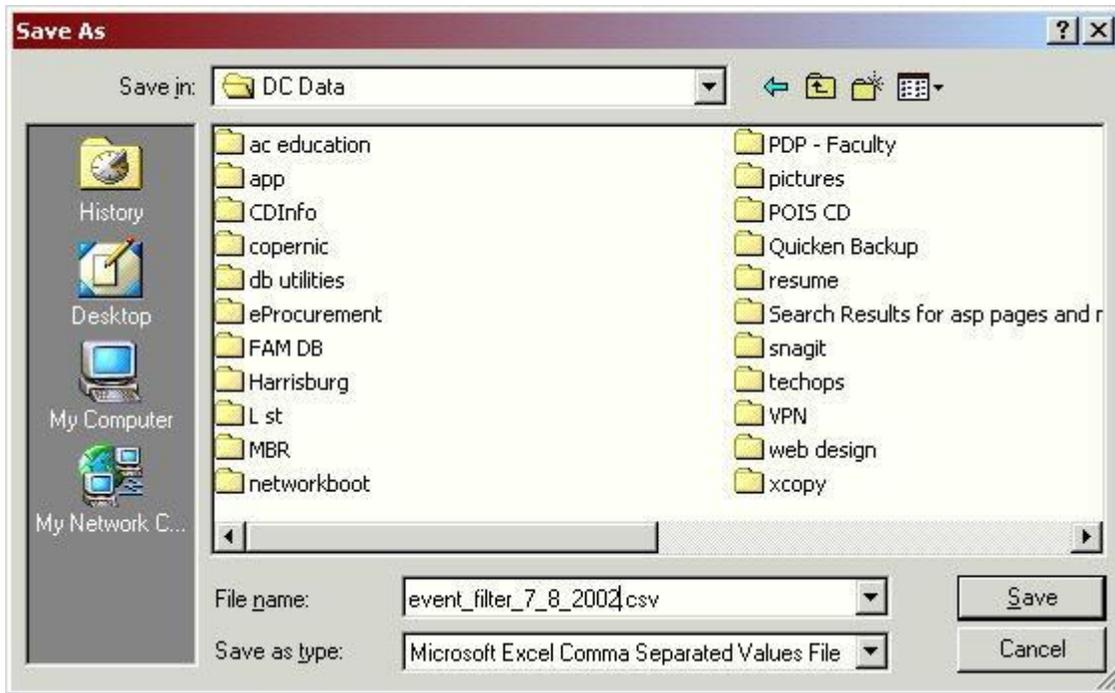
Event Filter Report

Main Menu

Right Click Here to Download Report

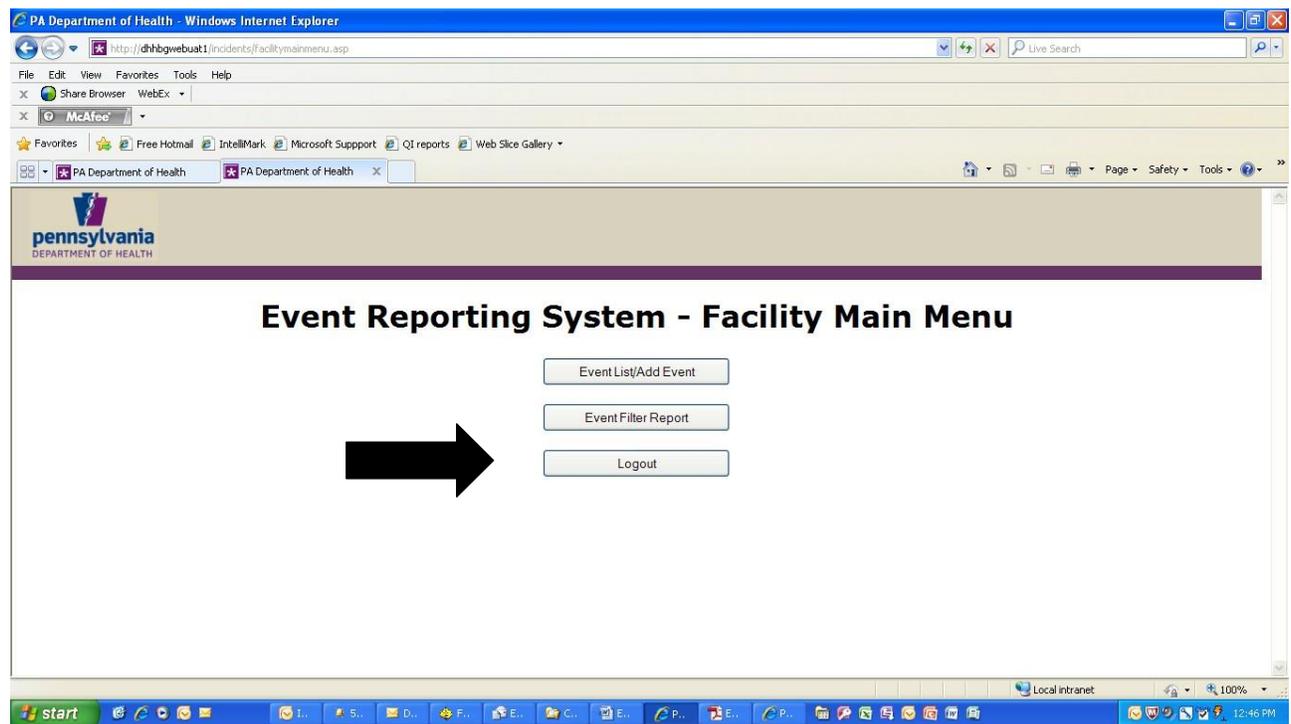
| Event No. | Facility Name | Event Date | Status | Submitted By | Date Submitted |
|-----------|--|------------|----------|---------------|----------------|
| 341434 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 03/28/2012 | Accepted | S. Limano RN | 03/28/2012 |
| 334290 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 01/15/2012 | Accepted | Melinda Poole | 01/23/2012 |
| 341381 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 03/27/2012 | Accepted | S. Limano | 03/28/2012 |
| 343843 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 04/22/2012 | Accepted | Melinda Poole | 04/23/2012 |
| 333043 | ABINGTON CREST NURSING AND REHABILITATION CENTER | 01/03/2012 | Accepted | Melinda Poole | 01/03/2012 |

In the window that opens (1) browse to a location on your own computer where you wish to store this report, (2) rename the file to something meaningful regarding the report, (3) check to insure the file is saved as type Microsoft Excel Comma Separated Values file, and (4) choose Open in the window that opens after the file is saved.



Note: To insure you always view the current report when you right click the link on the page, your browser settings must seek the current page. In Internet Explorer this is done by choosing Tools (top menu bar), Internet Options, General (tab), Settings (under Temporary Internet files), and for Check for Newer versions of stored pages select Every visit to the page.

Logout – To logout of the Event Notification System return to the Main Menu and click the Logout button. The Event Reporting System – Facility Login page opens.



General Information

Recommendations on Electronic Filing: If you have a significant amount of information to enter into the Electronic Event Reporting System, it is highly recommended that you first type the information in a word processing program and then “copy and paste” it into the appropriate fields in the Event Program. It is also recommended that when you type your information you do not use symbols or special characters such as bullets, pound signs and ampersands. These symbols and special characters do not “travel” well over the Internet and may be lost or changed during transmission.

Information may be typed directly into event fields; however, there is **NO** spell check and for security reasons there is a time limit for you to enter information directly into the field. If you go over this time limit, you will be sent back to the Login screen when you click on submit and your typing will be lost.

Please verify the accuracy of your information prior to submission. Once you submit an Event, the record will be “locked” and you will be unable to make any additional changes until the submission is reviewed by the Department of Health.

If you are having a problem filing an Event electronically, please review the appropriate section of this manual. If the problem appears to be a submission problem, please logout of your web browser and then log back on and try again.

If you still need assistance, contact your local Department of Health field office. If they are unable to resolve your problem, please contact the Division of Nursing Care Facilities at 717-787-1816 and ask for assistance with Electronic Event filing.