

Policy Title: Subcontractor Reporting to CFCHS Incident Reporting Management System (IRMS)		
Department: Compliance		
Date Issued: 02/07/2012	Revised Date: 12/17/2021 Review Date: 11/10/2021	
CEO Approval: 	Effective Date: 12/22/2021	

POLICY:

This policy establishes minimum guidelines for Central Florida Cares Health System, Inc.’s (CFCHS) Subcontractors to ensure compliance with all risk prevention and incident reporting requirements established by the Department of Children and Families (DCF) in accordance with CFOP 215-6 “Incident Reporting and Analysis System (IRAS)”, CFOP 180-4 “Mandatory Reporting Requirements to the Office of the Inspector General”, CFOP 60-17 ”HIPAA Breach Notification Procedures”, and CFOP 50-2 “Security of Data and Information Technology Resources, Chapter 3 ‘Incident Reporting’.

RELATED POLICIES: None

PURPOSE:

Ensure compliance with all DCF incident reporting requirements.

DEFINITIONS:

1. DCF Critical Incidents

Incidents that meet criteria for DCF reporting as per CFOP 215-6¹ including, but not limited to death, child arrest, child on child sexual abuse, elopement, employee arrest, employee misconduct, escape, missing child, security incidents (data breaches/potential breaches), sexual abuse/sexual battery, significant injury to clients, significant injury to staff, suicide attempts, and any major event not previously identified as a reportable critical incident but has, or is likely to have, a significant impact on clients, DCF, CFCHS, the community, or the Subcontractor and have led to or may lead to media reports.

2. Mandatory Reporting to the Office of the Inspector General (OIG)

Suspected or confirmed allegations of wrongdoing by an employee or contractor as defined by DCF CFOP 180-4 including, but not limited to inappropriate acts or omissions that result in client injury, abuse, neglect or death; fraud; theft; breaches of confidentiality; falsification of records; misuse of position or state property, employees, equipment, or supplies for personal gain or profit; failure to report known or suspected neglect or abuse of a client; improper expenditure or commitment of public funds; contract mismanagement; computer related misconduct; any violation under 435, F.S, Title XXXI, employee screening that would result in disqualification from client contact duties; or any other wrongdoing that would be a violation of statute, rule, regulation or policy.

¹DCF CFOP 215-6 Incorporated by reference and found at:
<http://www.myflfamilies.com/service-programs/mental-health/iras/reporting>

PROCEDURES:

1. Once the situation is stabilized and the Subcontractor has addressed any immediate physical or psychological service needs of the person(s) involved in the incident, Subcontractors shall submit directly to the DCF Incident Report Analysis System (IRAS) all incidents that meet criteria for DCF.
2. Critical incidents or for Reporting to the OIG as mentioned above. Once in IRAS, under Provider/Contractor (ME), Subcontractors must choose “Central Florida Cares Health System” when incidents involve employees, CFCHS’ funded clients, and all other incidents that have an impact on the provision of services or may have actual or suspected media involvement.
3. All critical incidents must be entered into IRAS within one (1) business day of the incident occurrence.
4. Reporting to the OIG must take place within two (2) business days of incident discovery. Reportable incidents may be submitted to the Office of Inspector General electronically, or by mail, fax, or telephone. The recommended method of reporting is through the Office of Inspector General internet website [<http://www.dcf.state.fl.us/admin/ig/rptfraud1.shtml>]. Notification by management should be made by submitting a Notification/Investigation Request (form CF 1934, available in DCF Forms) to the Office of Inspector General by e-mail to IG.Complaints@myflfamilies.com; or by regular mail to 1317 Winewood Boulevard, Building 5, 2nd Floor, Tallahassee, Florida, 32399-0700, or by fax to (850) 488-1428.
5. Once CFCHS receives from DCF IRAS notification of the incident, CFCHS’ Incident Report coordinators will add the incident to CFCHS’ IRMS.
6. Subcontractors shall continue documenting all subsequent information regarding the incidents in CFCHS’ IRMS. If the incident met criteria for OIG reporting, the Subcontractor shall also include in IRMS:
 - a. A copy of CF 1934 or a copy of the e-mail notification via the attachment function.
 - b. The law enforcement report number, if applicable.
 - c. Information about notification to the Abuse Hotline.
 - d. Information about notification to professional licensing or credentialing boards.
 - e. Any corrective or disciplinary actions for the employee as a result of the allegations, including dates and final HR dispositions.
 - f. Subcontractors who subcontract for services using CFCHS’ funds must also ensure that they receive from their own Subcontractors incident reports that involve their employees, facilities, and CFCHS’ funded clients. The Subcontractor who directly contracts with CFCHS is responsible for entering the incident into DCF IRAS and choosing CFCHS as the “Provider/Contractor (ME)” within **one (1) business day of incident occurrence** as required by CFOP 215-6. CFCHS’ Subcontractor is also responsible for getting from their Subcontractors any additional information, and/or documentation requested by CFCHS or DCF as a follow up to the incident.
 - g. In the event that an incident involves several clients, and if some of them have other funding sources, CFCHS’ Subcontractor should report for the non-funded client’s name, initials, and estimated age, to avoid unnecessary disclosure of protected health information (PHI). Full demographics for employees involved should be submitted including their position title.

- h. All suspected or confirmed allegations of wrongdoing by a Subcontractor employee must be reported **even if** the employee works in programs not funded by CFCHS.
- i. The Subcontractor must immediately ensure contacts are made for assistance as dictated by the needs of the individuals involved. These types of contacts may include, but are not limited to; emergency medical services (911), law enforcement, or the fire department, etc.
- j. When the incident involves suspected abuse, neglect, or exploitation, the Subcontractor must call the Florida Abuse Hotline (1-800-96ABUSE) to report the incident.
- k. Incidents related to employee wrongdoing must be reported to the Inspector General's office as required by DCF CFOP 180-4².
- l. The Subcontractor shall also ensure that the client's guardian, representative, or relative is also notified, as applicable; and must document this in DCF IRAS Incident reporting does not replace the reporting of incidents to other entities such as Agency for Health Care Administration (AHCA), or Center for Mental Health Services (for licensed mental health facilities), or any other agency as required by statute, rules, or operating procedure.

Subcontractor Point of Contact

Each Subcontractor will designate at a minimum two (2) Incident Report Coordinators to submit incidents to DCF and subsequently provide follow-up information and documentation to CFCHS via IRMS. Access to the DCF IRAS system is provided by DCF. CFCHS will provide access and technical assistance to IRMS after receiving from each designated user a copy of the training certificate for the most recent DCF HIPAA and Security Awareness trainings.

Subcontractors must immediately notify CFCHS of employees that no longer should have access to CFCHS' IRMS so their access to the system can be deleted. Subcontractors should do the same for DCF IRAS since it is a separate system.

Subcontractors shall develop their own internal reporting policies and procedures to ensure proper reporting of incidents and be able to provide their employees with guidance on how to handle incidents that are not reportable to CFCHS but may need internal review and intervention.

Notification Procedures

1. Subcontractors' Incident Report Coordinator shall submit incidents to DCF IRAS within **one (1) business day** of incident occurrence.
2. When severe, possible life-threatening incidents occur or when there is actual or potential media involvement Subcontractors shall call CFCHS' Risk Manager at (407) 985-3568 and if no answer, leave a voice mail as soon as all involved in the incident are safe, but not later than **within four (4) hours of incident occurrence**. The Risk Manager will then notify CFCHS' CEO and DCF Central Region Administrators.
3. Incident Report Coordinators should provide in CFCHS' IRMS additional information including enough details to account for **WHAT** occurred, **WHEN** it occurred, **WHERE** it took place, **WHO** was involved (including position titles within the agency and the program areas where they work), and **HOW** the Subcontractor found out about the incident. If there was an injury requiring hospital admission, include the name of hospital and type of injury. Supporting documentation should be uploaded by using IRMS' attachment function.

² DCF CFOP 180-4 Incorporated by reference and found at:

[http://www.dcf.state.fl.us/admin/publications/policies.asp?path=180%20Inspector%20General%20\(CFOP%20180-XX\)](http://www.dcf.state.fl.us/admin/publications/policies.asp?path=180%20Inspector%20General%20(CFOP%20180-XX))

In the comments section, Subcontractors should also list any other entities that were involved/notified of the incident, Agency for Health Care Administration (AHCA), The Joint Commission, State Attorney, Inspector General, etc.

4. If after reviewing it is determined that additional information is necessary, the Subcontractor shall obtain the information and submit it back to CFCHS' IRMS system in the "Comments" section with as much detail as possible.

Subcontractors are expected to answer questions posed by CFCHS in the "Comments" section as soon as possible and no later than within **two** (2) business days. Subcontractors should also document if they are unable to provide further information due to the incident still being investigated, or if there are any legal proceedings.

To ensure CFCHS communicates through further avenues, CFCHS will contact via e-mail the Subcontractor CEO/President after **five** (5) attempted requests for additional information related to the incident as documented in CFCHS' IRMS have been made without response from the Incident Report Coordinators.

5. Subcontractors shall review critical incidents to determine what actions need to be taken, if any, to prevent future occurrences, and document in IRMS follow-up process to assure such needed actions are implemented. CFCHS will review incident report data trends and will provide Subcontractors' feedback on the incidents received via IRMS.
6. When no incidents have been submitted in a given month, Incident Report Coordinators are required to submit in IRMS, by the 5th of the following month, a "No Incidents to Report Attestation". This is a CFCHS contractual requirement, and failure to comply will result in corrective action.
7. For incidents related to data breaches the Subcontractors will comply with the requirements of DCF CFOP 50-2³ "Security of Data and Information Technology Resources, Chapter 3 Incident Reporting", CFOP 60-17, "Security of Data and Information, Chapter 7⁴ HIPAA Breach Notification Procedures", the DCF Risk Assessment Decision Tree, and the stipulations included in their CFCHS Business Associate Agreement (BAA).
8. Incident reports aggregate data will be reviewed by CFCHS' Risk Manager, or designee, and the Compliance/Quality Improvement Committee to identify possible trends, opportunities for improvements, and recommend solutions.

³DCF CFOP 50-2, Chapter 3, incorporated by reference and available at:
<http://www.dcf.state.fl.us/admin/publications/policies.asp>

⁴DCF CFOP 60-17, Chapter 7, incorporated by reference and available at:
<http://www.dcf.state.fl.us/admin/publications/policies.asp>