Facility Incident Reporting

Effective 10/24/2022

Link to Webinar presented 10/19/2022 Cisco Webex Meetings - Replay Recorded Meeting

Link to Incident Report Nursing Home Facility Incident Report | Survey Builder (ny.gov)

Link to Investigative Report Nursing Home Investigative Report | Survey Builder (ny.gov)

Link to Centers for Medicare & Medicaid Services (CMS) - CMS-QSO-22-19 Revised Long-Term Care Surveyor Guidance**:** QSO-22-19-NH (cms.gov)

Notifications:

Link to Incident Report - This email is sent weekly to the facility Administrators, Director of Nursing (DON) and Assistant Director of Nursing (ADON) as a reminder.

Successful Submission Email - This email is automatically generated by the Drupal survey system, acknowledging that your report was successfully submitted. You will receive an acknowledgement email within three business days after submitting the initial Incident Report. The successful submission from Drupal is the only acknowledgement you will receive when you submit an investigative report.

Acknowledgement Email - Sent to the contact person indicated in the report. The acknowledgement email will include the Case # and link to the Investigative Report, if required.

Frequently Asked Questions

Question	Response
Can you please send the weekly email with the link to the Director of Nursing (DON) instead of the Administrator since, it is the DON who completes the report?	The link to the Facility Incident Report is sent weekly to the Administrator, DON, and Assistant DON. They may share it with authorized staff. The link will not change, you may bookmark it.
Can you confirm if the follow-up submission is due within 5 business days or 5 days following the incident?	If required, the investigative report is due within 5 BUSINESS days of the incident occurrence. The acknowledgement email will advise you if an investigative report is required.
How do we access the recording for the training and slides for Facility Incident Reporting?	The link to the webinar and the PowerPoint slides were sent to administrators on 10/19 via Health Commerce System (HCS)/ Integrated Health Alerting and Notification System (IHANS) message. The link to the presentation is located at the top of this page.
On the investigation summary report, what Facility ID# are you looking for? For example, NPI#, PFI#, Op Cert#?	Facility ID is your PFI number. We use this for verification purposes.

Just to confirm, for Facility Incident Reporting, the reporter no longer needs to have HCS access?	The report is not entered through HCS; however, we do require the HCS ID # for any person entering a report.
Can the investigator and submitter be the same?	Yes.
For facility investigator, our lead investigator is non-clinical so there are times our facility will have a Registered Nurse co-sign an investigation. How should this be addressed when submitting?	The investigator information should be the person to contact with questions regarding the investigation.
Has the Facility Incident Reporting Manual been updated?	No. CMS has come out with guidance, see QSO-22-19-NH
Will the facility be able to print out a copy of what they are submitting on the Facility Incident Reporting site?	You must select the text in the pop-up box that appears when you submit, then copy and paste it into a Word or other document. See webinar the presentation.
The incident type on the initial reporting form does not have an "Other" choice. There are other types of incidents that are reportable that do not fit into the categories provided. Ex: burns, medication errors, attempted suicide, and residents in non-resident areas. All of these are reportable incidents according to the NYSDOH Facility Incident Reporting Manual dated 8/2016. Please advise what category we put these under when reporting.	Effective 10/27/22 Allegation Type–Other (Death by other than natural causes, attempted suicide, accidents, choking, medication errors, other quality of care) was added. This category is used only if none of the other categories are appropriate. Select the category that best fits the incident.
Police rarely give us a report number. Many come, speak to the resident, and then say they aren't taking any actions. We record the badge number etc. What do we do without a report number? Is this one of the required entries?	If there is no report number, then you should write why. Example: Police state they are not taking action.
Will there be any lenience with the 2-hour reporting policy as we negotiate these new forms?	The federal regulation has not changed. 42 CFR 483.12
Since you can't save, we need to have all the information available at once before getting on. How will this be handled? If we lose internet, we lose everything because there is no save feature. Most of us save as we go because we've been timed out in the past. Is there still a time-out?	The form will not time out. If you have internet connectivity issues, you should develop a procedure for collecting the required information prior to starting the report.
How do we correct a clerical error for past reporting where the wrong date was entered?	For minor clerical errors only, email NHFRI@health.ny.gov - Include submission ID, incident date and time. Additional information must be submitted in an investigative report even if you received acknowledgement that it was not required.
In case of unavoidable circumstances, like loss of internet access or computer service, can we still utilize the toll-free Incident Reporting Line phone number: (888) 201-4563 to report an alleged incident?	Yes, the toll-free number is available. However, you must submit an incident report using the Drupal application as soon as internet access or computer service is restored.
Will we still be able to see the archived incidents previously reported.	Reports previously submitted in the Health Electronic Response Data System (HERDS) are available, you must run a detail report. Once you submit a report via Drupal, you cannot view it later. We encourage providers to retain a copy of the incident report

	(Word doc) for your records. You can copy and paste the information from the pop-up to a Word document.
We noticed you are requiring a case number to be entered when filing a new incident. Where do we get the case number information from?	The case number is not required on the initial incident report. You will receive an email acknowledging the submission. That email will contain the case number. The case number is required on the investigative report.
Why did DOH move the Reporting off HERDS? It removes the record-keeping capability. In HERDS, you can search the history for past reports. Removing this history from HERDS hampers the ability of a new Admin/DON to better understand the history of the building and residents.	Changes were made due to CMS directions. It is the responsibility of the nursing home to keep records of facility incidents.
During the webinar I noticed that there was no option to upload supporting documents, nor was there mention of the character limit in the investigation summary portion. Do you happen to know if an upload option will be available?	Provide summary information of other documents obtained, such as hospital/medical progress notes/orders and discharge summaries, law enforcement reports, and death reports as applicable. Department of Health (DOH) staff will request documents as necessary. They will be submitted via secure file transfer in HCS.
Today I received an email stating that my incident report had been received. However, there is a notation that states "DOH staff have reviewed your online submission of this incident. At this time, we do not require any additional information. Should the DOH receive additional information this may necessitate reopening the case."	If you receive this acknowledgement, you do not have to submit an investigative report.
Physical plant or environment. If we have a loss of service (i.e., emergency generator repair), do we have to list every resident impacted or can we enter 2 residents then enter the unit that is impacted and number of residents versus listing every single resident?	Yes, enter information for 2 residents and then enter the floor, unit or building in the text box.
Is the Day 5 Investigative Report completed for ALL submitted Incident Reports? Or Is the Investigative Report "triggered" for only some Incident reports? If so, how will we be notified that the Investigative Report is necessary for day 5?	Your acknowledgement email will indicate whether an investigative report is necessary. The link to the report will also be included in the email. The facility must keep a copy of all completed investigations and provide it to DOH upon request.
I received an email; the subject is: [EXTERNAL] Webform submission from: Nursing Home Facility Incident Report	This is the auto response from Drupal, not the actual acknowledgement email. The acknowledgement email will be sent within 3 days of receipt of the incident report.
When will I receive the acknowledgement email confirming you received my Facility Incident Report?	The acknowledgement email will be sent within 3 days of the Facility Incident Report.