7.4.1 Introduction
Significant events, such as accidents, injuries, allegations of abuse, human rights violations, and deaths require careful examination and review to ensure the protection of behavioral health recipients. Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS), as well as other federal and state agencies, requires the prompt reporting of significant events involving persons receiving services within the public behavioral health system. The reporting of significant events to ADHS/DBHS, such as incidents, accidents, and deaths, serves the following purposes:
- The collection of relevant information facilitates a comprehensive review and investigation when indicated;
- Compliance with notification requirements to the Centers for Medicare and Medicaid Services (CMS), Arizona Health Care Cost Containment System (AHCCCS), the Arizona Center for Disability Law, as applicable; and
- The trending and analysis of significant events can identify opportunities for behavioral health system improvements.

The intent of this section is to identify reporting requirements for providers following an incident, accident, or death involving a behavioral health recipient.

Providers must be aware of what constitutes an event that requires reporting (by either the T/RBHA or behavioral health providers) to:
- CMS;
- AHCCCS;
- ADHS/DBHS;
- Arizona Center for Disability Law.

Providers must know what information is to be reported, including any applicable forms and/or reports, timeframes for reporting; and where the requisite information must be sent within the agencies identified above.

7.4.2 Terms
Definitions for terms are located online at http://www.azdhs.gov/bhs/definitions/index.php or http://www.narbha.org/for-providers/provider-resources/provider-policy-manual/definitions/.

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The following terms are referenced in this section:

Abuse
Behavioral Health Recipient
Exploitation
Incapacity
Incident, Accident or Death (IAD)
Neglect
Prevention Activity
Serious Injury
Serious Occurrence

7.4.3 Procedures

7.4.3-A. Reporting of incidents, accidents and deaths to T/RBHAs
Behavioral health providers must report any incident, accident or death as defined by this section, of a behavioral health recipient to the T/RBHA within 48 hours.

T/RBHAs shall submit IAD reports regarding “sentinel events” to BQ&I within 12 hours of the IAD occurrence. A sentinel event is defined as any of the following:

- Suicide or significant suicide attempt by a member;
- Homicide committed by a member;
- Unauthorized absence of a member from a locked behavioral health inpatient facility;
- Sexual assault while a member is a resident of a locked behavioral health inpatient facility;
- Death while a member is a resident of a Behavioral Health Inpatient Facility or other psychiatric hospital, other inpatient institution or residential facility.

Incident, Accident and/Death Report Form located in the BQ&I Specifications Manual must be used for reporting incidents, accidents and deaths of enrolled behavioral health recipients.

Providers submit Incident/Accident Reports to NARBHA Director of Quality Management at iadreporting@narbha.org.

Where else must the report be sent?
For serious occurrence reporting, send information to:
- AHCCCS:
  FAX Number (602) 417-4162-Attention DHCM Behavioral Health Administrator;
- Arizona Center for Disability Law:
  FAX Number (602) 274-6779-Attention Investigator;
- CMS Regional Office (to report a death only): FAX Number (415) 744-2692-Attention Survey & Certification Coordinator

7.4.3-B. Other considerations
Specific documentation requirements apply to ADHS/OBHL licensed behavioral health provider records. Please see Section 4.2, Behavioral Health Medical Record Standards.
In the case of a minor (person under the age of 18), facilities must also notify the person’s parent(s) or legal guardian(s) as soon as possible, but no later than 24 hours from the serious occurrence.

Note that these reporting requirements pertain to serious occurrences (see definition). Reports of non-serious occurrences and other events are not made to AHCCCS, the Arizona Center for Disability Law, or CMS but must be reported to the TRBHA.

7.4.4 References
The following citations serve as additional resources for this content area:

- 42 CFR § 483.352
- 42 CFR § 483.374
- 42 CFR § 51.2
- A.R.S. § 46-454
- A.A.C. R9-6-206 (A) and (B)
- A.A.C. R9-20-202
- A.A.C. R9-20-203
- A.A.C. R9-21-203
- AHCCCS/ADHS Contract
- ADHS/RBHA Contract
- ADHS/TRBHA IGAs

Section 4.1, Disclosure of Behavioral Health Information
Section 4.2, Behavioral Health Medical Record Standards
Section 7.3, Seclusion and Restraint Reporting
Section 7.6, Duty to Report Abuse, Neglect or Exploitation
Policy and Procedure QM 2.5, Reporting of Incidents, Accidents and Deaths
ADHS/DBHS Covered Behavioral Health Services Guide
ADHS/DBHS Bureau of Quality & Integration Specification Manual
ADHS/DBHS Framework for Prevention in Behavioral Health

7.4.5 FORMS
PM Form 7.4.1 Reporting Incident Accident Deaths

7.4.6 PM Attachments