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| **Report #36 – Quarterly**  **Critical Incidents Report** |

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| **Report Objective** | To monitor key metrics regarding critical incidents for members of Centennial Care and specific subpopulations and to provide quantitative and qualitative analysis of critical incidents and the managed care organization’s (MCO’s) actions in response to critical incidents. | |
| **Report Frequency** | Quarterly | |
| **Reporting Period** |  | |
| **Report Reviewer** |  | |
| **Report Reviewer Phone Number** |  | |
| **MCO Name** (check one) | BCBSNM  WSCC | Presbyterian |

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| ***THIS SECTION FOR INTAKE USE ONLY*** | |
| **MCO Attestation of Timeliness Submission and Accuracy** | |
| Did the MCO include a signed attestation?  *The authorized certifier shall include a signed attestation each time the report is submitted. The attestation must include a certification, based on best knowledge, information, and belief, as to the accuracy, completeness, and truthfulness of the data in the report. Reports will be deemed incomplete if an attestation is not included.* | Yes  No |
| Was the report submitted timely?  *“Timely submission” means that the report was submitted on or before the date it was due. If a report due date falls on a weekend or a State of New Mexico holiday, receipt of the report the next business day is acceptable.* | Yes  No |
| Was the report formatted correctly? | Yes  No |

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| **Section I: Summary** |
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| Instructions: This section of the report provides a high-level summary of data captured in Sections III through V of the report. Review questions related to the data reported in the Summary section are included below. Questions that are unique to Behavioral Health are included in Section IV. |
| **Questions 1 through 9 Apply to Centennial Care, Behavioral Health and Self Directed** |
| 1. What is the total count of critical incidents in Centennial Care, Behavioral Health and Self-Directed this quarter? How does this compare to previous reporting periods? Refer to Row 9 in the Centennial Care Critical Incidents Summary tab and explain. |
| |  |  |  | | --- | --- | --- | | Centennial Care | Behavioral Health | Self-Directed | |  |  |  | |
| [Enter analysis here] |
|  |
| 1. What is the total count of members with multiple critical incidents this quarter in Centennial Care, Behavioral Health and Self-Directed? How does this compare to previous reporting periods? Refer to Row 18 in the Centennial Care Critical Incidents Summary tab and explain. |
| |  |  |  | | --- | --- | --- | | Centennial Care | Behavioral Health | Self-Directed | |  |  |  | |
| [Enter analysis here] |
|  |
| 1. What is the percent of critical incident reports not filed within 24 hours of knowledge of incident? How does this compare to previous reporting periods? Refer to Row 24 in the Centennial Care Critical Incidents Summary tab and explain. |
| |  |  |  | | --- | --- | --- | | Centennial Care | Behavioral Health | Self-Directed | |  |  |  | |
| [Enter analysis here] |
|  |
| 1. Fill out the table below by entering the percent of critical incidents by age group for members in Centennial Care, Behavioral Health and Self-Directed. Refer to Rows 32, 38, and 40 in the Centennial Care Critical Incidents Summary tab. |
| |  |  |  |  | | --- | --- | --- | --- | | Age Group | Centennial Care | Behavioral Health | Self-Directed | | Ages 0 through 20 Years |  |  |  | | Ages 21 through 64 Years |  |  |  | | Ages 65+ Years |  |  |  | |
|  |
| 1. Describe any concerns regarding the percent of critical incidents reported for any age group in the table above. |
| [Enter explanation here] |
|  |
| 1. List the percent of critical incidents for the following categories of eligibility: (i) SSI; (ii) Institutional (iii) HCBS, and (iv) Affordable Care. Refer to Rows 11, 13, 15, 17 in the Centennial Care Critical Incidents Summary tab. |
| |  |  |  |  | | --- | --- | --- | --- | | Category | Centennial Care | Behavioral Health | Self-Directed | | 1. SSI |  |  |  | | 1. Institutional |  |  |  | | 1. HCBS |  |  |  | | 1. Affordable Care |  |  |  | |
|  |
| 1. Describe any concerns regarding the percent of critical incidents reported for any categories listed above. |
| [Enter explanation here] |
|  |
| 1. List the critical incident percent for each of the following incident types: (i) Abuse; (ii) Death; (iii) Elopement/Missing; (iv) Emergency Services; (v) Environmental Hazard; (vi) Exploitation; (vii) Law Enforcement; and (viii) Neglect. Refer to Rows 49, 51, 55, 57, 59, 61, 63, and 65 in the Centennial Care Critical Incidents Summary tab. |
| |  |  |  |  | | --- | --- | --- | --- | | Primary Incident Type | Centennial Care | Behavioral Health | Self-Directed | | 1. Abuse |  |  |  | | 1. Death |  |  |  | | 1. Elopement/Missing |  |  |  | | 1. Emergency Services |  |  |  | | 1. Environmental Hazard |  |  |  | | 1. Exploitation |  |  |  | | 1. Law Enforcement |  |  |  | | 1. Neglect |  |  |  | |
|  |
| 1. Describe any concerns regarding the percent of critical incidents reported for any incident type listed above (including any concerns regarding the count of deaths that that require follow up). |
| [Enter explanation here] |
| **Questions 10 through 12 Apply to Behavioral Health (Rows 72, 74, 76)** |
| 1. How many deaths were determined to be expected due to age, diagnosis, or while under hospice care (outside of those reported in the 13 COEs)? How does this compare to previous reporting periods (i.e., was there an increase or decrease in the count of deaths expected)? Refer to Row 72 in the Centennial Care Critical Incidents Summary tab and explain. |
| [Enter count and explanation here] |
|  |
| 1. How many deaths were unexpected this quarter (outside of those reported in the 13 COEs)? How does this compare to previous reporting periods (i.e., was there an increase or decrease in the count of unexpected deaths)? Refer to Row 74 in the Centennial Care Critical Incidents Summary tab and explain. |
| [Enter count and explanation here] |
|  |
| 1. How many deaths required Follow-Up Activities this quarter (outside of those reported in the 13 COEs)? How does this compare to previous reporting periods (i.e., was there an increase or decrease in the count of deaths that required Follow-Up Activities)? Refer to Row 76 in the Centennial Care Critical Incidents Summary tab and explain. |
| [Enter count and explanation here] |

| **Section II: Non-Compliant Agencies** |
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| Instructions: This section of the report captures information about non-compliant agencies. Refer to the Non-Compliant Agencies section of the MCO report. |
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| 1. What were the top 3 agencies with the highest count of incidents that did not meet the 24-hour filing timeframe? Refer to Column C and Column D in the Non-Compliant Agencies section of the MCO report. |
| |  |  |  |  | | --- | --- | --- | --- | |  | Name of Agency | Count | Percentage | | 1. |  |  |  | | 2. |  |  |  | | 3. |  |  |  | |
|  |
| 1. How do the values for Question 1 of this review tool compare to previous reporting periods (i.e., have the top 3 non-compliant agencies remained consistent from one reporting period to the next or have they changed)? |
| [Enter explanation here] |

| **Section IV: Critical Incidents – Behavioral Health** |
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| Instructions: This section of the report captures all critical incidents within the 13 COEs for members receiving behavioral health services. Refer to the CI - Behavioral Health section of the MCO report. |
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| 1. List the top 3 behavioral health provider types with the highest percent of critical incidents this quarter. Refer to Rows 116 through 143 in the CI - Behavioral Health section of the MCO report. |
| |  |  |  | | --- | --- | --- | |  | Provider Type | Percent | | 1. |  |  | | 2. |  |  | | 3. |  |  | |
|  |
| 1. Describe any concerns regarding the percent of critical incidents for each behavioral health provider type. |
| [Enter explanation here] |
|  |
| 1. List the top 10 diagnoses codes and diagnoses with the highest number of critical incidents this quarter. Refer to Rows 151-166, 169-188, 191-206, 209-220, 223-236, 239-252, 255-268, 271-282, 285-296, 299-310, and 313-314 in the CI - Behavioral Health section of the MCO report. |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | Diagnosis code | Diagnosis | Number | Percentage | | 1. |  |  |  |  | | 2. |  |  |  |  | | 3. |  |  |  |  | | 4. |  |  |  |  | | 5. |  |  |  |  | | 6. |  |  |  |  | | 7. |  |  |  |  | | 8. |  |  |  |  | | 9. |  |  |  |  | | 10. |  |  |  |  | |
|  |
| 1. Describe any concerns regarding the percent of critical incidents within each category for any diagnosis code listed in the report. How does this compare to previous reporting periods (i.e., was there an increase or decrease in the number of critical incidents for any diagnosis code listed in the report)? |
| [Enter explanation here] |

| **Section VI: Summaries** |
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| Instructions: This section of the report collects qualitative analysis regarding critical incidents for various populations of Centennial Care. Refer to the Word-based document containing the MCO’s responses to Section VI questions. |
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| 1. Based on your review/knowledge of the top three issues regarding accurate and timely submission identified in previous reporting periods, are the changes identified by the MCO for Total Population, Behavioral Health and Self Directed members this reporting period consistent with your expectations? Refer to Questions 1a through 1c in the Summaries section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the MCO adequately explain changes and trends over time? If not, identify areas of concern. Refer to Questions 1a through 1c in the Summaries section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Does the MCO’s list of actions taken in response to the changes identified seem appropriate/effective? If not, identify areas of concern. Refer to Questions 1a through 1c in the Summaries section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. List the number of Deaths and explain any concerns you have with the number of deaths referred for clinical review for either the Total Population or the Behavioral Health Population? Refer to Question 2a in the Summaries section of the MCO report. |
| [Enter counts and explanation here] |
|  |
| 1. Did the MCO adequately explain changes and trends over time? If not, identify areas of concern. Refer to Question 2a in the Summaries section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the summary provided by the MCOs regarding the status and results of clinical reviews for deaths raise any concerns? Refer to Question 2b in the Summaries section of the MCO report. |
| [Enter explanation here] |

| **Section VII: Non-Compliant Agencies Analysis** |
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| Instructions: This section of the report captures information about agencies that filed critical incidents after the 24-hour timeframe for this reporting period. Refer to the Word-based document containing the MCO’s responses to Section VII questions and the “Non-Compliant Agencies” worksheet within the report template. |
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| 1. Based on your review of the data reported in the Non-Compliant Agencies tab (Section II), have the top three agencies identified in the MCO’s analysis remained consistent? Refer to Questions 1 and 2 in the Non-Compliant Agencies Analysis section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Do the MCO’s actions in response to the changes and trends identified seem appropriate/effective? If not, identify areas of concern. Refer to Questions 1 and 2 in the Non-Compliant Agencies Analysis section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Were descriptions provided for action plans and/or performance improvement activities listed to address changes and/or trends during the current reporting period or previous reporting periods? If so, do they seem appropriate or are there any areas of concern? Refer to Questions 1 and 2 in the Non-Compliant Agencies Analysis section of the MCO report. |
| [Enter explanation here] |

| **Section VIII: Total Centennial Care Population** |
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| Instructions: This section of the report collects qualitative analysis regarding critical incidents for the entire Centennial Care population. Refer to the Word-based document containing the MCO’s responses to Section VIII questions and the “CI - Centennial Care – All” worksheet within the report template. |
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| 1. Did the MCO adequately explain trends over time for the total population? Explain any areas of concern. Refer to Question 1 in the Total Centennial Care Population section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Identify the COE(s). Are any Categories of Eligibility associated with more than one top trend? If so, provide an explanation and identify any concerns. Refer to Question 2 in the Total Centennial Care section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Do the MCO’s actions in response to the changes and trends identified seem appropriate/effective? If not, identify areas of concern. Refer to Questions 1 and 2 in the Total Centennial Care Population section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Were descriptions provided for action plans and/or performance improvement activities listed to address incidents that require Follow–Up Activities? If so, do they seem appropriate/effective or are there any areas of concern? Are there action plans and/or performance improvement activities that seem to contribute most to improvement over time? Refer to Question 3 in the Total Centennial Care Population section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the MCO identify trends over time for barriers to service delivery, care coordination, and quality of care? Do the MCO’s actions in response to the trends seem appropriate/effective? If not, identify areas of concern. Refer to Question 4 in the Total Centennial Care Population section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the actions taken by the MCO in response to Emergency Services reports seem appropriate? Are there any identifiable patterns over time for Categories of Eligibility associated with Emergency Services reports? If so, explain. Refer to Question 5 in the Total Centennial Care section of the MCO report. |
| [Enter explanation here] |

| **Section IX: Behavioral Health Population** |
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| Instructions: This section of the report collects qualitative analysis regarding critical incidents for members receiving behavioral health services. Refer to the Word-based document containing the MCO’s responses to Section IX questions and the “CI – Behavioral Health” worksheet within the report template. |
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| 1. Did the MCO adequately explain trends over time for the Behavioral Health population? Explain any areas of concern. Refer to Question 1 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Identify the COE(s). Are any Categories of Eligibility associated with more than one top trend? If so, identify the COE(s) and explain any concerns. Refer to Question 2 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Do the MCO’s actions in response to the changes and trends identified seem appropriate/effective? If not, identify areas of concern. Refer to Questions 1 and 2 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |
| 1. Were descriptions provided for action plans and/or performance improvement activities listed to address incidents that require Follow–Up Activities? If so, do they seem appropriate/effective or are there any areas of concern? Are there action plans and/or performance improvement activities that seem to contribute most to improvement over time? Refer to Question 3 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the MCO identify trends over time for barriers to service delivery, care coordination, and quality of care? Do the MCO’s actions in response to the trends seem appropriate/effective? If not, identify areas of concern. Refer to Question 4 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Based on your review of the data for the most common BH critical incident type reported in the CI – Behavioral Health tab (Section IV), is the MCO’s response to Question 5 consistent? |
| [Enter explanation here] |
|  |
| 1. Did the MCO provide an informative explanation related to the most common critical incident type? Did the MCO’s explanation raise any concerns? Refer to Question 5 in the Behavioral Health section of the MCO report. |
| [Enter explanation here] |

| **Section X: Behavioral Health Deaths** |
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| Instructions: This section of the report captures the behavioral health deaths outside of those reported in the 13 COEs. Refer to the Behavioral Health Deaths section of the MCO report. Refer to the Word-based document containing the MCO’s responses to Section X questions and refer to Rows 105, 107, and 109 of the CI - Behavioral Health worksheet. |
|  |
| 1. Did the MCO provide an informative explanation of the follow-up activities that occurred as part of the clinical review process? Did the MCO’s explanation raise any concerns? Refer to Question 1 in the Behavioral Health Deaths section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the MCO provide an informative explanation of trends identified among providers, populations, or areas in behavioral health deaths? Did the MCO’s explanation raise any concerns? Refer to Question 2 in the Behavioral Health Deaths section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Were descriptions provided for action plans and/or performance improvement activities that were a result of trends identified by the MCO? If so, do they seem appropriate/effective or are there any areas of concern? Refer to Question 2 in the Behavioral Health Deaths section of the MCO report. |
| [Enter explanation here] |

| **Section XI: Self-Directed Members** |
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| Instructions: This section of the report collects qualitative analysis regarding critical incidents for self-directed members. Refer to the Word-based document containing the MCO’s responses to Section XI questions. |
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| 1. Based on your review/knowledge of Hiring or firing of caregivers and Timesheet/vendor payment counts and percentages reported in previous reporting periods, are the changes identified by the MCO this reporting period consistent? Refer to questions 1a and 1b in the Self-Directed Members section of the MCO report. |
| [Enter explanation here] |
|  |
| 1. Did the MCO adequately explain changes and trends over time? If not, identify areas of concern. |
| [Enter explanation here] |
|  |
| 1. Does the MCO’s list of actions taken in response to the changes identified seem appropriate/effective? If not, identify areas of concern. |
| [Enter explanation here] |
|  |
| 1. Were descriptions provided for action plans and/or performance improvement activities addressing changes found during the current reporting period or previous reporting periods? If so, do they seem appropriate or are there any areas of concern? |
| [Enter explanation here] |

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| **Escalation required?**  Yes  No (If yes, provide comments below) |
| **Comments/Recommended Next Steps for MCO** |
| [Enter comments here] |