



**ANDREW M. CUOMO**  
Governor

**ANN MARIE T. SULLIVAN, M.D.**  
Commissioner

**MARTHA SCHAEFER**  
Executive Deputy Commissioner

**HCBS Waiver Definitions for Reportable Incident Types  
these need to be reported directly into NIMRS within 24 hours of discovery**

**\* Significant Incident**

**\*\* Significant Incident when Harm or Risk is Level 2 or 3**

<b>Abuse &amp; Neglect</b>	Self-Abuse	A participant who self-inflicts injury on themselves not intended to result in death but results in serious injury or harm.
	Physical Abuse/Neglect	Non-accidental contact with a participant which causes or potentially causes physical pain or harm and any action, inaction or lack of attention that breaches a custodian's duty and that results in or is likely to result in physical injury or protracted impairment of the physical, mental or emotional condition of a participant.
	Sexual Abuse *	Any sexual contact perpetrated by, or against, a participant enrolled in Waiver services.
	Incident with Staff Member**	Staff Involvement Incident
	Other	Abuse or neglect to a waiver participant that is not captured elsewhere.
<b>Missing Client</b>	Missing Child *	A waiver participant whose whereabouts are not accounted for and who is considered at risk based on age or survival abilities or who may pose a risk to the community.
<b>Crimes</b>	Assault **	A violent or forceful physical attack in which a participant is either the victim or aggressor, and which results in hospitalization.
	Unlawful use/administration of a controlled substance	Any illegal administration, use, or distribution of a controlled substance (e.g. Codeine, OxyContin, Ambien, Cocaine) by a participant or a caregiver.

	Crimes Not Listed Elsewhere **	Crime which endangered or potentially endangered the life, health, or welfare of a participant or other individual. Include participant acts which are or appear to be crimes
	Crimes in the Community **	An event where the participant is involved in a crime under NYS or Federal law, and which is perceived to be a significant danger to the community or which involves a participant whose behavior poses an imminent concern to the community.
<b>Death</b>	Natural Causes, Expected	Death of a participant due to known medical causes following the expected course of illness or disease, while under treatment consistent with standard medical practices (natural death).
	Natural Causes, Unexpected	Death of a participant due to unexpected natural causes.
	Homicide of Client *	Death of a participant apparently caused by an act of another individual.
	Suicide *	Death of participant caused by deliberate self-inflicted injury intended to end his/her own life.
	Accidental *	Accidental and unexplained death of a participant, except those related to treatment provided.
	Unexplained	Cause of death of a participant is not known.
<b>Sexual Assault</b>	Rape or Nonconsensual Sodomy *	Sexual assault perpetrated by, or against, a participant enrolled in Waiver services resulting in vaginal, anal, or oral penetration.

<b>Sexual Assault</b>	Other Sexual Assault **	A sexual attack perpetrated by, or against, a participant enrolled in Waiver services other than rape of sodomy, which otherwise meets the criteria for sexual assault (force or violence, inability to consent, statutory age differences of participates), including attempted sodomy and forcible sexual encounters which result in hospitalization.
	Sexual contact between Children **	Waiver participant, under the age of 18, who engage in vaginal, anal, or oral penetration with other children which result in hospitalization.
<b>Other Serious Incidents</b>	Other Serious Incidents *	Serious incidents are defined as those involving participants which result in injuries which have an imminent risk for life threatening harm. Incidents which result in admission to a hospital and instances in which police are called as a result of the participants actions.

Rating Severity Factor	Incident Severity		
		Serious	
	1	2-Moderate	3
<p><b>Harm</b> Select the severity rating which reflects the level of physical and/or psychological harm, along with the medical and/or psychiatric intervention needed as a result of the incident.</p>	<p>No physical harm or minor harm, e.g., bruise, minor laceration; Medical intervention limited to first aid or less; and/or No or little psychological harm; No psychiatric treatment beyond reassurance and support.</p>	<p>Moderate physical harm; Medical intervention and treatment beyond first aid, e.g., sutures; and/or Moderate psychological harm, e.g., negative changes in effect, behavior or cognition; Change in psychotropic or psychotherapeutic intervention.</p>	<p>Serious physical injuries; Emergency life-saving procedures, admission to hospital, or treatment in ER; and/or Life threatening psychiatric conditions; Major change in treatment, e.g., admission to more intensive treatment setting or level of supervision.</p>
<p><b>Risk</b> Select the risk severity rating which reflects the potential for harm, given the actions taken and the level of motivation of the person(s) involved in the incident.</p>	<p>No Risk or slight risk of complications or serious harm.</p>	<p>Potential for moderate injury.</p>	<p>Risk for life-threatening harm.</p>