

**DEPARTMENT OF HUMAN SERVICES  
ATTACHMENT A- INCIDENT REPORTING LEVELS AND CATEGORIES GRID**

Incident Reporting Levels and Categories Grid

Version Date: 1/18/2024

| Incident Type | Code  | Level | Category                   | Sub-Category | Two-hour Guardian Notification | Verification Required | May Require Law Enforcement Notification | Description/Definition  | Closing Entity |          |     |
|---------------|-------|-------|----------------------------|--------------|--------------------------------|-----------------------|--|---|----------------|----------|-----|
|               |       |       |                            |              |                                |                       |  |   | Comm           | Facility | CCR |
| Allegation    | AB110 | A     | PHYSICAL ABUSE - NO INJURY |              |                                | YES                   |  | A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged that results in no injury to the individual.   | CIMU           | OI       | OI  |
| Allegation    | AB112 | A     | PHYSICAL ABUSE MINOR       |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires no treatment beyond basic first aid administered by a medical professional or service provider.            | CIMU           | OI       | OI  |
| Allegation    | AB114 | A     | PHYSICAL ABUSE MODERATE    |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver that has the potential to cause one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital. | OI             | OI       | OI  |

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|               |       |       |                                     |              |                                |                       |  |  | Comm           | Facility | CCR |
| Allegation    | AB116 | A     | PHYSICAL ABUSE MAJOR                |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver that causes one or more of the following: pain, injury, anguish, or suffering. Such acts include, but are not limited to, the individual being kicked, pinched, bitten, punched, slapped, hit, pushed or dragged, and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation. | OI             | OI       | OI  |
| Allegation    | AB210 | A     | PHYSICAL ABUSE W/OBJECT - NO INJURY |              |                                | YES                   |  | A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object that results in no injury to the individual   | OI             | OI       | OI  |
| Allegation    | AB212 | A     | PHYSICAL ABUSE W/OBJECT - MINOR     |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires no treatment beyond basic first aid administered by a medical professional or service provider.  | OI             | OI       | OI  |
| Allegation    | AB214 | A     | PHYSICAL ABUSE W/OBJECT MODERATE    |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.   | OI             | OI       | OI  |
| Allegation    | AB216 | A     | PHYSICAL ABUSE W/OBJECT MAJOR       |              | YES                            | YES                   | YES                                      | A physical act directed at an individual by a caregiver in which the individual is struck with a thrown or held object and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.  | OI             | OI       | OI  |

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|               |       |       |                               |              |                                |                       |  |   | Comm           | Facility | CCR  |
| Allegation    | AB310 | A     | VERBAL PSYCHOLOGICAL ABUSE    |              |                                | YES                   |  | Any verbal or non-verbal act or omission by a caregiver that inflicts one or more of the following: emotional harm; mental distress; or invocation of fear, humiliation, intimidation, or degradation to an individual. Examples include, but are not limited to, bullying; ignoring need; verbal assault; use of racial or ethnic slurs; or intimidating gestures, such as shaking a fist.     | CIMU           | OI       | OI   |
| Allegation    | AB415 | A     | SEXUAL ABUSE                  |              |                                | YES                   | YES                                      | Sexual abuse means an act or attempted act of lewdness, sexual contact, or sexual penetration between a caregiver and an individual served by DHS. Any form of sexual contact or activity between a caregiver and an individual, absent marriage, domestic partnership, or civil union, is sexual abuse, regardless of whether the individual gives consent or the caregiver is on or off duty. | OI             | OI       | OI   |
| Event         | AS112 | B     | PHYSICAL ASSAULT MINOR INJURY |              | YES                            | YES                   |  | Act of intentionally touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff, which results in injury and requires no treatment beyond basic first aid administered by a medical professional or service provider.   | N/A            | CIMU     | CIMU |

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|               |       |       |  |              |                                |                       |  |  | Comm           | Facility | CCR  |
| Event         | AS114 | A     | PHYSICAL ASSAULT<br>MODERATE INJURY                  |              | YES                            | YES                   | YES                                      | Act of touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff, which results in injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.  | CIMU           | CIMU     | OI   |
| Event         | AS116 | A     | PHYSICAL ASSAULT<br>MAJOR INJURY                     |              | YES                            | YES                   | YES                                      | Act of touching or striking an individual, or causing an individual to be struck with a held or thrown object, to cause physical harm, by anyone other than staff that results in injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation. | CIMU           | OI       | OI   |
| Event         | AS214 | B     | PHYSICAL ASSAULT<br>STAFF VICTIM-<br>MODERATE INJURY |              |                                |                       |  | An intentional use of force or violence directed at a staff by an individual in which the staff requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.  | CIMU           | CIMU     | CIMU |
| Event         | AS216 | B     | PHYSICAL ASSAULT<br>STAFF VICTIM-MAJOR<br>INJURY     |              |                                |                       |  | An intentional use of force or violence directed at a staff by an individual in which the staff requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.   | CIMU           | CIMU     | CIMU |

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|               |       |       |  |  |                                |                       |  |   | Comm           | Facility | CCR |
| Event         | CN320 | B     | CONTRABAND                                       | Drugs, alcohol, firearms/weapons, other as identified by service provider                  |                                |                       | <b>YES if illegal contraband is involved</b> | Possession or use by an individual or an employee that has been designated by the service provider as having the potential to pose danger or harm to others. Examples include, but are not limited to, weapons, controlled dangerous substances, fireworks, alcohol; or other items identified by the service provider or service plan, including, but not limited to, coffee, matches or aerosol sprays. | CIMU           | FAC      | DIV |
| Event         | CR101 | B     | CRIMINAL   | SR Victim  |                                |                       |  | Individual served by DHS is the victim of a crime in accordance with NJ criminal statutes and police file charges.  | DIV            | FAC      | DIV |
| Event         | CR110 | B     | CRIMINAL   | SR Perpetrator   |                                |                       |  | Criminal Conduct by an individual served by DHS is reportable when the activity constitutes a crime in accordance with NJ criminal statutes and police file charges.  | DIV            | FAC      | DIV |
| Allegation    | DL011 | A     | LIFE THREATINING EMERGENCY 911 <u>NOT</u> CALLED | DDD/TBI Only   |                                |                       |  | Failure of staff to call 911 when immediate intervention is necessary to protect the life of an individual from an immediate threat or actual occurrence of a potentially fatal injury, impairment to bodily functions or dysfunction of a bodily organ or part.  | OI             | OI       | OI  |
| Event         | DT101 | A     | DEATH  | Expected medical, unexpected sudden, suicide, homicide, accidental, overdose, undetermined |                                |                       |  | Death of an individual served by DHS. Deaths of a suspicious or unusual nature may be screened by CIMU at the request of the Division/Facility for routing to OI for investigation. *May require law enforcement notification (except for community expected deaths).   | DIV            | FAC      | DIV |

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|               |       |       |                                    |   |                                |                       |  |   | Comm           | Facility | CCR  |
| Event         | EL101 | A     | ELOPEMENT                          |   |                                |                       |  | Refers to the act of an individual with legal status leaving the premises without authorization.  | DIV            | FAC      | N/A  |
| Allegation    | EX101 | A     | FINANCIAL EXPLOITATION UNDER \$100 |   |                                | YES                   | YES                                      | Any willful, unjust, or improper use of the property or funds of an individual for the benefit or advantage of staff/caregiver equaling less than \$100. Examples of financial exploitation include, but are not limited to, appropriating, borrowing, or taking without authorization, personal property/funds belonging to an individual.                               | CIMU           | OI       | OI   |
| Allegation    | EX102 | A     | FINANCIAL EXPLOITATION OVER \$100  |   |                                | YES                   | YES                                      | Any willful, unjust, or improper use of the property or funds of an individual for the benefit or advantage of staff/caregiver equal to or greater than \$100. Examples of financial exploitation include, but are not limited to, appropriating, borrowing, or taking without authorization, personal property/funds belonging to an individual.                         | OI             | OI       | OI   |
| Allegation    | EX110 | A     | PERSONAL EXPLOITATION              |   |                                | YES                   |  | Any willful, unjust, or improper use of an individual for the benefit or advantage of another; condoning and/or encouraging the exploitation of an individual by a caregiver. Examples of exploitation include, but are not limited to, requiring him/her to perform functions/activities that are normally conducted by staff or are solely for the staff's convenience. | CIMU           | CIMU     | OI   |
| Event         | IN114 | A     | INJURY                             | Approved restraint, fall, self-injurious behavior, accident, behavioral, unknown origin, seizure-related, decubitus | YES                            | YES                   |  | <b>Moderate Injury-</b> Refers to an injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.  | CIMU           | CIMU     | CIMU |

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|               |       |       |          |   |                                |                       |  |   | Comm           | Facility | CCR |
| Event         | IN116 | A     | INJURY   | Fall, accidental, behavioral, seizure-related, decubitus    | YES                            | YES                   |  | <b>Major Injury</b> - Refers to an injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation. | CIMU           | CIMU     | OI  |
| Event         | IN216 | A     | INJURY   | Approved restraint, self-injurious behavior, unknown origin | YES                            | YES                   |  | <b>Major Injury</b> - Refers to an injury that requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation. | OI             | OI       | OI  |

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|               |       |       |                           |  |                                |                       |  |  | Comm           | Facility | CCR |
| Event         | MD101 | A     | MEDICAL                   | Communicable diseases, hospital treatment-medical, hospital treatment-behavioral/psychiatric, medication error potentially serious effect, medication error serious effect, missing controlled substance, EMS- treated on site |                                |                       |  | Medication Error Serious Effect - Refers to any deviation from prescribed orders that results in serious effects that require medical intervention as determined by a qualified medical professional (e.g., physician or pharmacist).<br><br>Medication Error Potentially Serious Effect - Refers to any deviation from prescribed order that has the potential to result in serious effects that require medical intervention as determined by a qualified medical professional (e.g., physician or pharmacist). These incidents may involve errors in medical treatment or errors in the administration of medication.<br><br>Missing Controlled Substance - Refers to any unexplained loss or accounting discrepancy of controlled dangerous substances. May require law enforcement notification. May require notification to the Drug Enforcement Administration. | DIV            | FAC      | DIV |
| Event         | MD102 | A     | UNPLANNED HOSPITALIZATION | Medical Behavioral/Psychiatric   |                                |                       |  | Refers to an unscheduled hospital admission.   | DIV            | FAC      | DIV |

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|               |       |       |                     |                 |                                |                       |  |  | Comm           | Facility | CCR  |
| Event         | MD103 | A     | CHOKING/PICA        | Choking<br>Pica | YES                            | YES                   |  | Choking- The inability to breathe due to a partial or complete obstruction in the airway. Choking is a medical emergency- must call 911<br>Pica- eating or swallowing non-food substances; may result in choking.<br>*All choking and pica incidents require an evaluation at a medical facility within 48 hours to determine if the substance/object needs to be removed or if the issue is resolved. | CIMU           | CIMU     | CIMU |
| Allegation    | NE211 | A     | NEGLECT - NO INJURY |                 |                                | YES                   |  | Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home that results in no injury.  | CIMU           | OI       | OI   |
| Allegation    | NE212 | A     | NEGLECT - MINOR     |                 | YES                            | YES                   |  | Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires no treatment beyond basic first aid administered by a medical professional or service provider.  | CIMU           | OI       | OI   |
| Allegation    | NE214 | A     | NEGLECT - MODERATE  |                 | YES                            | YES                   | YES                                      | Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital.   | OI             | OI       | OI   |

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|               |       |       |                 |   |                                |                       |   |  | Comm           | Facility | CCR |
| Allegation    | NE216 | A     | NEGLECT - MAJOR |   | YES                            | YES                   | YES   | Failure of a caregiver to do or permit to be done any act necessary for the well-being of an individual; or willfully failing to provide proper and sufficient food, clothing, maintenance, medical care, or a clean and proper home and requires treatment that can only be performed at a hospital facility and may or may not include admission to the hospital for additional treatment or observation.  | OI             | OI       | OI  |
| Event         | OD101 | B     | OVERDOSE        |   |                                |                       |   | Any unintentional or deliberate consumption of prescribed or illegal substances of a dose much larger than that either habitually used by the individual or ordinarily used for treatment and is likely to result in a serious toxic reaction, but not with the intention of suicide.  | DIV            | CIMU     | OI  |
| Event         | OP510 | A     | OPERATIONAL     | Fire, utility/equipment breakdown, environmental issues, theft/loss/damage to property, staff shortage, emergency/unplanned relocation, shelter in place, bed bugs, operations/administrative, Media Interest |                                |                       | <b>YES for fire, environmental issues, theft/loss/property damage</b> | This category consists of a wide variety of incidents that <u>significantly impact the general health, safety, and welfare of an individual or the daily operation</u> of the facility or program. Examples include, but are not limited to, fires, utility/equipment breakdown, environmental issues, theft/loss/damage to property, staff shortages, emergency or unplanned relocation. May also include a breakdown or failure regarding administrative or operational policies or processes that may impact the health, safety or welfare of individuals receiving services. | DIV            | FAC      | DIV |

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|               |       |       |                                     |              |                                |                       |  |   | Comm           | Facility | CCR |
| Allegation    | PR101 | B     | PROFESSIONAL MISCONDUCT             |              |                                |                       |  | Behavior of a credentialed professional that implies an intentional compromise of ethical standards, or a direct service professional that implies an intentional compromise of standard policy; is professionally unsuitable, potentially dangerous to patients/individuals receiving services, incompetent, disruptive, or illegal. Examples include inappropriate relationships with patients, falsifying medical/treatment records, delay in communicating critical information/ events, working under the influence. | CIMU           | CIMU     | N/A |
| Event         | RE101 | B     | UNAPPROVED RESTRAINT WITHOUT INJURY |              |                                |                       |  | Restraints and/or restrictive intervention that results in no injury that was implemented without prior approval/order, or not in accordance with the administrative regulations of the appropriate division, or without the existence of an approved behavior treatment plan. Includes personal control techniques, mechanical restraints, or chemical restraint.  | DIV            | FAC      | N/A |
| Event         | RE102 | A     | UNAPPROVED RESTRAINT WITH INJURY    |              | YES                            | YES                   | MAY BE NECESSARY                         | Restraints and/or restrictive intervention that result in an injury that was implemented without prior approval/order, or not in accordance with the administrative regulations of the appropriate division, or without the existence of an approved behavior treatment plan; includes personal control techniques, mechanical restraints, or chemical restraint.   | CIMU           | OI       | N/A |

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|               |       |       |                  |  |                                |                       |  |   | Comm           | Facility | CCR |
| Allegation    | RG210 | B     | RIGHTS VIOLATION |  |                                |                       |  | Any act or omission that deprives an individual of human or civil rights, including those rights which are specifically mandated under applicable regulations. Examples include, but are not limited to, unauthorized removal of personal property, refusal of access to the telephone, privacy violations, breach of confidentiality, or any failure to inform, respect, or assist an individual in exercising his or her rights.  | DIV            | CIMU     | DIV |
| Allegation    | SA200 | A     | SEXUAL ASSAULT   |  |                                |                       | YES                                      | Incidents in which a DHS individual receiving services is a victim or perpetrator of nonconsensual sexual activity involving penetration, such as vaginal and anal intercourse; the insertion of a hand, finger, or object into the anus or vagina; or cunnilingus and fellatio. Also refers to the intentional, nonconsensual touching of the victim's breast, genital, or anal area, over or under clothing, with the purpose of sexual arousal and/or gratification of the perpetrator. Reference: NJ Criminal Code - NJSA 2C:14-2 | DIV            | OI       | OI  |
| Event         | SU111 | A     | SUICIDE ATTEMPT  | Gunshot, hanging, drowning, jumping, drug/alcohol/medication use/overdose, suffocating, poisoning, carbon monoxide inhalation, stabbing/cutting/self-mutilating, burning self, other |                                |                       |  | Refers to an attempt to intentionally take one's life regardless if the act resulted in an injury. *Suicide attempts that result in injury should be reported to law enforcement and require two-hour guardian notification (DDD).  | DIV            | OI       | DIV |

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|               |       |       |                   |                                 |                                |                       |  |  | Comm  | Facility | CCR |
| Event         | WK101 | A     | WALKAWAY          |                                 |                                |                       |  | Refers to the act of an individual who leaves the premises without authorization who may be considered dangerous to self or others or is otherwise at risk. May require law enforcement notification when the individual cannot be located on campus or after an initial search of the premises. | DIV   | FAC      | DIV |
|               | FR101 | B     | FAILURE TO REPORT | DHS USE ONLY - added by CIMU/OI |                                |                       |  | Failure to report an act of abuse, neglect, or exploitation within the time frame required in A.O. 2:05 while having reasonable cause to believe that such an act has been committed. Must accompany an allegation; closing entity will be the entity responsible for the primary allegation.    | Must accompany an allegation; closing entity will be the entity responsible for the primary allegation. |          |     |

**INJURY LEVELS DEFINED:**

Due to the subjective nature of this issue there may be some overlapping of categories. The definitions below are intended to be a guide, and decisions should be made using practical judgement and a person-centered perspective. The impact that the injury has to the person should always be considered. In all circumstances the location and extent of the injury should be taken into careful consideration during the initial assessment by the service provider or facility medical personnel before selecting the injury level.

**Minor Injury:** an injury that requires no treatment beyond basic first aid administered by a medical professional or service provider. Basic first aid includes, but is not limited to, cleaning, bandage/ band-aid, over-the-counter medications (Bacitracin), ice pack, monitoring/observation.

**Moderate Injury:** an injury that requires treatment beyond basic first aid, but does not require treatment that can only be performed at a hospital. Includes but is not limited to, all fractures, tooth avulsion/fracture, injuries that require devices (crutches/brace/splint/boot), invasive diagnostic treatment with or without anesthesia/sedatives, head injuries, prescription medications.

**Major Injury:** an injury that requires treatment that can only be performed in a hospital facility and may or may not include admission to the hospital for additional treatment or observation.

**Key:**

**Two-Hour Guardian Notification:** refers to DDD and TBI programs only

**Requires DHS Verification:** refers to DDD and TBI programs only

**May Require Law Enforcement Notification:** Law enforcement notification is strongly encouraged and may be required at the discretion of the Department.

**Comm:** incidents reported by Community providers, programs

**Facility:** incidents reported by Developmental Centers

**CCR:** incidents reported by Community Care Residences

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|               |      |       |          |              |                                |                       |  |                        | Comm           | Facility | CCR |

**DIV:** The Division is responsible for closing. If follow-up information is requested, it should be sent to the applicable Division Unit within thirty (30) days

**FAC:** The facility/Developmental Center is responsible for closing the incident

**CIMU:** The Critical Incident Management Unit (CIMU) is responsible for closing. Internal investigations shall, at a minimum, include the provisions of Administrative Order 2:05 D 6. a-f. Completed internal investigations are required to be submitted to CIMU within thirty (30) days

**OI:** The Office of Investigations is responsible for closing the incident. For allegations related to abuse, neglect and/or exploitation, providers are responsible to immediately initiate and conduct an internal investigation, unless otherwise directed not to do so by law enforcement or OI. If OI is the closing entity, internal investigation reports shall be forwarded to the assigned OI investigator within thirty (30) days.