California Did Not Fully Comply With Federal and State Requirements for Reporting and Monitoring Critical Incidents Involving Medicaid Beneficiaries With Developmental Disabilities

What OIG Found
California did not fully comply with Federal Medicaid waiver and State requirements for reporting and monitoring critical incidents involving Medicaid beneficiaries with developmental disabilities who resided in CCFs. Specifically, California did not ensure that: (1) all critical incidents were reported and (2) all reported critical incidents were reported in a timely manner and followed up on completely. Because California did not fully comply with Federal and State requirements for reporting and monitoring critical incidents, it did not ensure compliance with safeguard assurances it provided to CMS in the Federal Medicaid waiver, which could impact the health and safety of Medicaid beneficiaries.

What OIG Recommends and California Comments
We recommend that California: (1) provide additional guidance to providers, such as a standard reporting form that includes the types of incidents that are required to be reported, and provide additional training to providers on critical incident identification and reporting; (2) provide additional guidance and training to regional centers for identifying the types of incidents that are required to be reported; (3) perform additional analytical procedures, such as data matches, to identify potential critical incidents that have not been reported and follow up on them as required; (4) improve oversight to ensure that timeliness and followup requirements related to reported critical incidents are met; and (5) ensure that reported critical incidents involving the death of a beneficiary are reviewed by a mortality review committee as appropriate.

California agreed with our first four recommendations, partially agreed with our fifth recommendation (which we revised), and described corrective actions it had taken or planned to take, including providing technical support and training to regional centers and performing additional analysis.

The full report can be found at https://oig.hhs.gov/oas/reports/region9/91902004.asp.