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## ACL 15-01

Date: February 10, 2015  
 To: Community-Based Adult Services (CBAS) Center Administrators and Program Directors  
 From: California Department of Aging (CDA) CBAS Branch  
 Subject: Discharge and Incident Reporting

### Purpose

This letter provides information regarding CBAS discharge and incident reporting requirements, including new standard forms, instructions, and training that is now available on the CDA website.

### Discharge and Incident Reporting Requirements

Requirements for reporting of Adult Day Health Care (ADHC) and CBAS participant discharges and unusual incidents have long been defined in ADHC/CBAS law and regulation. Wavier requirements for discharge and incident reporting for CBAS were recently updated and became effective December 1, 2014, with the approval of the CBAS 1115 Waiver Amendment.

Following is a table with applicable references in law, regulation, and the 1115 Waiver:

Reporting Requirement	Law – Welfare and Institutions Code (WIC)	Regulation – Title 22, California Code of Regulations	1115 Waiver– Special Terms and Conditions (STCs) and Standards of Participation (SOPs)
Discharge Incident	WIC 14576	54411(a)(3) 54411(a)(8)	STC 98(c) SOP H.6

Per the laws and regulations listed above, CBAS providers must report participant discharges to CDA and unusual incidents to CDA and the California Department of Public Health (CDPH).

Additionally, CBAS Waiver STCs and SOPs require CBAS providers to share information regarding participant discharge and incidents with contracting managed care plans for the purpose of care coordination of their members.

## Overview of New Forms and Instructions

To address CBAS provider reporting requirements to the State, CDA has standardized reports and guidance. For reporting to managed care plans, providers should coordinate with their contracting plans to clarify expectations regarding sharing of discharge and incident information for the plans' members.

### Overview of Discharge Reporting

- Providers complete new standard Excel form titled *CBAS Discharge Summary Report* (CDA 4008), which tracks all Medi-Cal participant discharges annually
- Submit to CDA via fax when Fee-For-Service (FFS) participants are discharged and upon request
- *CBAS Discharge Summary Report* (CDA 4008) includes:
  - Basic identifying information about all Medi-Cal participants discharged on an annual basis
  - Dates of enrollment, last attendance, and discharge
  - Reason for discharge

NOTE: The *CBAS Discharge Summary Report* (CDA 4008) is a tracking document that includes limited summary data on all discharged participants. CBAS centers are still required to develop discharge plans for all participants as part of the six-month reassessment and at time of discharge, per Title 22, CCR, Section 78345. Discharge plans are to be maintained in the participants' health records, not submitted to CDA as previously required.

### Overview of Incident Reporting

- Providers complete new standard Excel form titled *CBAS Incident Report* (CDA 4009)
- Submit to CDA and the California Department of Public Health (CDPH) via fax within 24 hours of adverse event meeting definition of unusual occurrence and 48 hours of event meeting definition of unusual incident
- *CBAS Incident Report* (CDA 4009) includes:
  - General information describing the nature of the event, when it took place, and center response
  - Information about participants involved in adverse event (if applicable)

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Both the *CBAS Discharge Summary Report* (CDA 4008) and *CBAS Incident Report* (CDA 4009) contain protected health information (PHI). Do not send to CDA via email. Send via fax only.

### **Links to Forms, Instructions, and Webinar Recording**

CDA provided training on the new discharge and incident forms and reporting requirements on January 28, 2015. Links to the training webinar recording and the new *CBAS Discharge Summary Report* (CDA 4008) and *CBAS Incident Report* (CDA 4009) and instructions are available on the CDA website at:

[www.aging.ca.gov/ProgramsProviders/ADHC-CBAS/CBAS\\_Training/Default.asp](http://www.aging.ca.gov/ProgramsProviders/ADHC-CBAS/CBAS_Training/Default.asp)

[www.aging.ca.gov/ProgramsProviders/ADHC-CBAS/Forms/Default.asp](http://www.aging.ca.gov/ProgramsProviders/ADHC-CBAS/Forms/Default.asp)

### **Questions**

For questions, please call the CBAS Branch at (916) 419-7545.