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## ACL 20-17-Rev

Date: January 22, 2021  
To: Adult Day Health Care (ADHC) / Community-Based Adult Services (CBAS) Center Administrators and Program Directors  
From: California Department of Aging (CDA) CBAS Branch  
Subject: Revised ADHC/CBAS Incident Report Form and Instructions

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### Purpose

This All Center Letter (ACL) replaces ACL 20-17 which notified ADHC/CBAS providers that CDA revised the ADHC/CBAS Incident Report form (CDA 4009) (REV. 10/2020) and Instructions (CDA 4009i) (REV. 10/2020) to bring the form's accessibility into compliance with the Americans for Disabilities Act (ADA) standards and to update the CBAS reporting process.

This ACL provides revised guidance on incident reporting requirements for COVID-19 unusual occurrences. The revised reporting criteria is limited to when ADHC/CBAS participants have tested positive for COVID-19. Refer to "Reporting COVID-19 Unusual Occurrences" below for more details. This ACL is in effect immediately and until revoked.

### Where Can I Find the Revised ADHC/CBAS Incident Report?

The form is now available in a PDF format on the [CDA CBAS webpage](#). To find this form, click on the Forms and Instructions tab, select Reporting Requirements, and click on Incident Report (CDA 4009). Instructions for completing the ADHC/CBAS Incident Report (CDA 4009i) are posted on the webpage along with the form.

### Overview of ADHC/CBAS Incident Report Form and Instructions

The ADHC/CBAS Incident Report is used by CBAS centers to report summary information on adverse events **that occur at or in transit to or from CBAS centers** as defined in [Title 22, CCR, Section 78427](#).

Adverse events are categorized as (1) Unusual Occurrences in Environment or Facility which must be reported within 24 hours of occurrence, and (2) Death, Serious Injury and Unusual Incidents which must be reported within 48 hours of the event.

Refer to the instructions for examples of these adverse events, center responses to the adverse event, and the entities for centers to notify in response to the adverse event. Notification of CDA CBAS Branch, CDPH Licensing District Office, and the participant's Managed Care Plan (MCP) about an adverse event is mandatory.

**Note: The revised Incident Report form is submitted to CDA via the [Peach Provider Portal](#) and is no longer to be faxed to the CDA CBAS Branch.**

## **Reporting COVID-19 Unusual Occurrences**

If an enrolled ADHC/CBAS participant tests positive for COVID-19, this should be reported as an "unusual occurrence" only when ADHC/CBAS center staff provide services to the participant **inside** the ADHC/CBAS facility or **inside** the participant's home.

### **Note:**

- Report all COVID-19 positive cases irrespective of when the center was informed of the participant's positive test result.
- Report a participant's positive COVID-19 test result within 24 hours of the ADHC/CBAS center being informed about the result.
- The "Incident Date" on the Incident Report form will be the date of the positive test result, if known. If the date of the positive test result is unknown, enter "Unknown" and explain in the "Summary/Additional Information" section on the form.

As stated previously, all unusual occurrences shall be reported to CDA, the center's CDPH Licensing District Office, and the participant's MCP within 24 hours of the occurrence.

The following is guidance on completing the Incident Report form for COVID-19 unusual occurrences:

### **Section I (Incident Information), A. (Nature of Adverse Event):**

Check the box "Epidemic outbreaks reportable to local or state public health officials."

### **Section I (Incident Information), B. (Center Response):**

Check all boxes that apply. Center responses would likely include coordination with the participant/authorized representative, the participant's personal health care provider

(PHCP), the participant's MCP, the center's local public health department (county public health) and perhaps other entities.

**Note: California Code of Regulations, Title 22, 54323(a)(8), requires ADHC/CBAS nursing services to liaison with the participant's personal physician/personal health care provider.**

**Section I (Incident Report), C. (Notification Submitted):**

Check all boxes that apply. At a minimum, the center is required to notify CDA, the center's CDPH Licensing District Office, and the participant(s)' MCPs. However, the center may decide to notify additional entities/individuals.

Note: Notification must be provided in accordance with the [Health Information Portability and Accountability Act \(HIPAA\)](#) to protect confidential personal health information (PHI).

**Section II - Participant Information:**

Complete Sections II.A (Participant Identifying Information) and II.B (Participant Status/Outcome at Time of Report) for each participant affected by the COVID-19 unusual occurrence. For center-wide adverse events that did not result in participant harm, do not complete Section II.

If any CBAS providers have questions about completing the ADHC/CBAS Incident Report, please contact your CBAS Program Advisor. In addition, CBAS providers should contact their local public health department if they have questions about actions a CBAS center should take if any participants test positive for COVID-19.

**Questions**

Please contact the CBAS branch if you have any questions: (916) 419-7545; [cbascda@aging.ca.gov](mailto:cbascda@aging.ca.gov).

## **COVID-19 Resource Information**

The following resources provide guidance on COVID-19 relevant for CBAS centers:

### **California Association for Adult Day Services (CAADS)**

- [COVID-19 Resources](#)
- [COVID-19 Participant Wellness Check & Risk Assessment](#)

### **California Department of Aging (CDA)**

- [COVID-19 Information and Resources](#)

### **California Department of Developmental Services (DDS)**

- [Coronavirus Information and Resources](#)

### **California Department of Health Care Services (DHCS)**

- [DHCS COVID-19 Response](#)

### **California Department of Public Health (CDPH)**

- [All Facilities Letters - 2020](#)
- [All Facilities Letter \(AFL\) 20-27.1 Guidance for Limiting Transmission of Coronavirus Disease 2019 \(COVID-19\) in Adult Day Health Centers](#)
- [AFL 20-53.3 COVID-19 Mitigation Plan Recommendations for Testing of Health Care Personnel \(HCP and Residents at Skilled Nursing Facilities](#)
- [CDPH COVID-19 Home](#)

### **California Department of Social Services (DSS)**

- [Provider Information Notices \(PINs\)](#)
- [PIN 20-33-ASC “Adult Day Programs COVID-19 Guidelines”](#)
- [PIN 20-35-ASC “Influenza or “Flu”, Novel Coronavirus Disease 2019 \(COVID-19\), and Pneumonia in Adult Day Programs”](#)
- [Community Care Licensing Division Online Resources on Coronavirus Disease 2019 \(COVID-19\)](#)

### **Centers for Disease Control (CDC)**

- [Coronavirus Disease 2019 \(COVID-19\)](#)

### **State of California**

- [California COVID-19 Website](#)