



# Home and Community-Based Services Incident Submission Guidance Manual for Providers

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## Getting Started

In accordance with Wyoming Statute §14-3-205 and §35-20-103, any person who suspects the abuse, neglect, or exploitation of a child or vulnerable adult is required to report the incident to the appropriate authorities. Additionally, Department of Health Medicaid Rules and waiver agreements approved by the Centers for Medicare and Medicaid Services (CMS) require providers of Comprehensive, Supports, and Community Choices Waiver services to report incidents involving participants who receive waiver services. Home and community-based (HCBS) program requirements may vary; however, every provider is expected to meet incident reporting requirements. This document outlines the process for the provider to complete an incident submission.

Incidents are submitted through the Provider Portal (Portal). If this is your first time logging into the Portal and you have not registered yet, please follow the instructions in the Provider Certification Guidance document located at

<https://docs.google.com/document/d/1gy9v9s8YRG2ECgD6rL4emrG6Ktg9rI6s426OSzQnzhQ/edit?usp=sharing>.

When you log into the Portal, the system will directly display the provider task list. The contents of the task list differ depending on the waiver and your previously completed or currently assigned tasks..

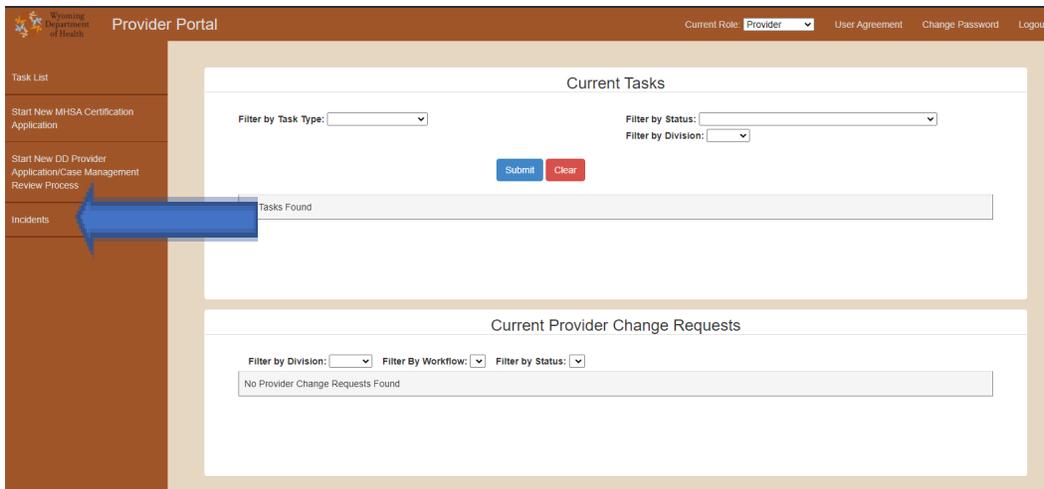
The screenshot displays the Wyoming Department of Health Provider Portal. The top navigation bar includes the Wyoming Department of Health logo, the title 'Provider Portal', and user options: 'Current Role: Provider', 'User Agreement', 'Change Password', and 'Logout'. The left sidebar contains a 'Task List' menu with links to 'Start New MHSA Certification Application', 'Start New DD Provider Application/Case Management Review Process', and 'Incidents'. The main content area features two sections: 'Current Tasks' and 'Current Provider Change Requests'. The 'Current Tasks' section has filters for 'Task Type', 'Status', and 'Division', along with 'Submit' and 'Clear' buttons, and a message 'No Tasks Found'. The 'Current Provider Change Requests' section has filters for 'Division', 'Workflow', and 'Status', and a message 'No Provider Change Requests Found'.

Current outstanding tasks are displayed in the main section of the Task page, and links to other sections and pages of the Portal are displayed on the left Navigation bar.

## Incident Submission in the Portal

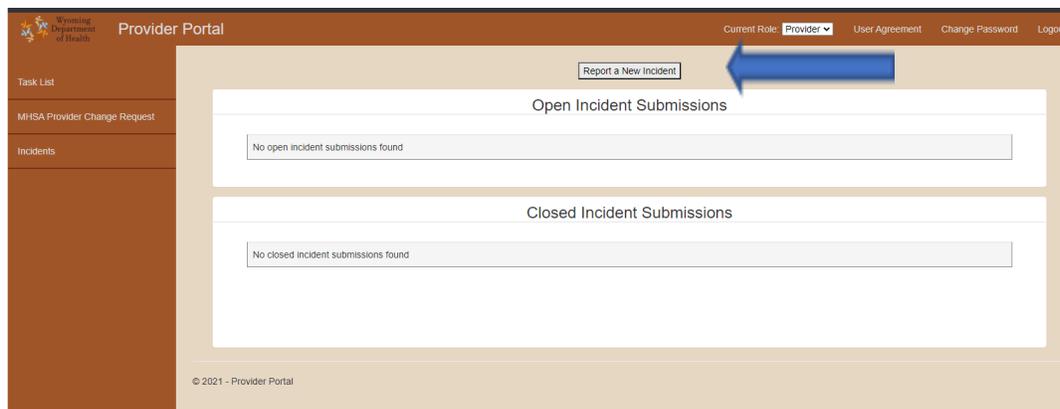
You must be a provider or case manager that is listed as a service provider on the participant's plan of care in order to file an incident report. Individuals who are not service providers, but who witness an incident may submit their recollection through the complaint process. Complaints may be filed by visiting <https://health.wyo.gov/healthcarefin/hcbs/> and selecting the appropriate waiver

To submit an incident through the Portal, click on the 'Incident' link located on the left hand navigation bar of the Task page.



Clicking on this link will open a new screen. This screen will display outstanding and closed incidents. It will be where new incidents are created for submission. While creating the incident report, please save the incident regularly. It is recommended that providers click save before uploading any documents, immediately after entering complex descriptions, and before changing the incident status or submitting. The system has an auto refresh and time out limitation on the page.

Click on the 'Report a New Incident' button found towards the top of the screen. This will open the submission entry screen.



After clicking the 'add new incident' button you must enter the following to return a participant

1. Last name (this can be a partial name. One character is enough)
2. First name (this can be a partial name. One character is enough)
3. **One** of the following - it is not necessary to enter all 3
  - a. DOB
  - b. Last 4 of participant's SSN
  - c. Medicaid ID

**Additional Tips:**

- ❖ Don't put extra spaces at the end of the names. This will affect the search if there is an extra space after the first or last name
- ❖ Put spaces where there should be. If the first name is Betty Jo or last name is Van Buskirk, be sure to put the spaces where appropriate

Click on the 'Search for Participant' button. This system will display the services the participant is currently receiving from the provider.

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Click on the 'Select' icon of the service related to the incident.

Select	First Name	Last Name	DOB	Last Four SSN	SSN	Code	Service
	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	S5135	Companion Services (Individual)
	Carolynn	Canfield	11/21/1955	[redacted]	0600346989	T2017	Community Living Services (Basic - Individual) - Formerly Supported Living

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This will open the incident submission page.

**Additional Tips:**

- There is not auto save functionality, so be sure to save your incident frequently
  - Uploading documents does an automatic update to the screen and any unsaved information will be deleted.
  - The page has an automatic refresh after a certain time and when you try to submit/update the status, any unsaved information may be lost
- If you are very detailed in your descriptions, it is recommended that you type your descriptions in Word or another word processing software then copy and paste into the appropriate description. This will save time and allow you to have another copy of your information

The screenshot shows the 'Incident Submission' form for a Wyoming Waivers Provider. The form is titled 'Incident Submission Wyoming Waivers Provider State of Wyoming Department of Health'. It includes the following sections:

- Participant:** Carolyn K Canfield, Service: S5135
- Reporter Information:** First Name: Colleen, Last Name: Noon, Organization: Marilyn Sue Rodgers, Phone: 307775492, Email: colleen.noon@wyo.gov, Relationship to Participant: (dropdown), Primary Address County: CAMPBELL
- Involved Staff:** Add All Applicable. There are no involved staff for this incident. (Add Staff button)
- Incident Type:** (dropdown)
- Incident Description:** Location description, Date (mm/dd/yyyy), Time, Description of incident, Chronology of events, Contributing factors, Upload Documents (if applicable) (Choose File, No file chosen, Upload button), No documents have been uploaded for this incident.
- Action(s) Taken:** Description of action(s) taken (text area), Save Incident button
- Status History:** Current Status: Pending initial entry. Incident Status: Pending Initial Entry, Status Username: colleen.noon, Status Date: 3/31/2021 11:57:23 AM, Notes: (text area), Status: (dropdown), Update Status button

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While creating the incident report, please save the incident regularly. It is recommended that providers click save before uploading any documents, immediately after entering complex descriptions, and before changing the incident status or submitting. The system has an auto refresh and time out limitation on the page.

Complete the report by including:

- Your relationship to the participant, if it is available.
- Any involved staff. To add staff, click the ‘add staff’ button. This will open a new window

- Add appropriate information, including any notes that the staff can provide related to the specific incident
- Click on the ‘Submit’ button
- Incident type – multiple types may be checked. The list will be different depending on the waiver (CCW or DD)

Incident Type		
<input type="checkbox"/>	Abuse	The intentional or reckless infliction of injury or physical/emotional harm.
<input checked="" type="checkbox"/>	Neglect	The deprivation of, or failure to provide, the minimum food, shelter, clothing, supervision, physical and mental health care, and/or other care and prescribed medication as necessary to maintain the participant's life or health, or which may result in a life threatening situation.
<input type="checkbox"/>	Exploitation	Fraudulent, unauthorized, or improper acts or processes of an individual who uses the resources of the participant for monetary or personal benefit, profit, or gain or that results in depriving the participant of his/her rightful access to, or use of, benefits, resources, belongings, or assets.
<input type="checkbox"/>	Unexpected Death	The death of a participant when not a result of an expected medical prognosis.
<input type="checkbox"/>	Restraint	Any physical, chemical, or mechanical intervention that is used to control acute, episodic behavior that restricts the movement or function of the participant or a portion of the participant's body.
<input type="checkbox"/>	Restrictive Intervention	An action or procedure that limits the participant's movement; limits the participant's access to other individuals, locations, or activities; or restricts participant rights.
<input type="checkbox"/>	Serious Injury/Illness	An injury or illness for which the participant is provided emergency medical treatment and/or is hospitalized
<input type="checkbox"/>	Serious Behavioral/Mental Health Concern	Any situation in which the participant's behavior puts them at risk of hurting themselves or others and or prevents them from being able to care for themselves or function effectively in the community
<input type="checkbox"/>	Medication Error or Adverse Reaction	A mistake in medication administration that includes, but is not necessarily limited to, the wrong medication, wrong dose, wrong time, or omission of medication. Also includes an adverse reaction, such as an allergic reaction or suspected side effects.

- Enter all information regarding the specific incident

Incident Description

Location description:	<input style="width: 95%;" type="text" value="in the group home where client lives"/>
Date:	<input style="width: 95%;" type="text" value="03/30/2021"/>
Time:	<input style="width: 95%;" type="text" value="12:00 PM"/>
Description of incident:	<input style="width: 95%;" type="text" value=":lskdjfas,lk"/>
Chronology of events:	<input style="width: 95%;" type="text" value="asdf.lksajd"/>
Contributing factors:	<input style="width: 95%;" type="text" value="a.slkdjfa.slkd"/>

Upload Documents (if applicable) :  No file chosen

No documents have been uploaded for this Incident.

- Location of the incident - If the incident occurred in multiple areas, include them. Be as specific as possible, including street addresses or identifying landmarks.
- Date the incident occurred - If the incident occurred over the course of time, enter the latest date.
- Time the incident occurred - If the incident occurred over the course of time, enter the latest time.
- Description of incident – Enter the details of the incident.
- Chronology of events – Give a detailed explanation of the incident, including such things as ‘this happened first, then this happened next’ or ‘on 10/01/2020 this happened, then on 10/03/2020 this happened’.
- Contributing factors – Provide any detail that exacerbated or escalated the situation leading up to and/or causing the incident to happen.
- Upload accompanying documents that support the information included in the incident report. It is recommended that providers click save before uploading any documents, immediately after entering complex descriptions, and before changing the incident status or submitting.

- Check all appropriate actions that were taken regarding the specific incident. Different actions will have additional information that may require completion

Action(s) Taken	
<input type="checkbox"/>	Notified participant's family/guardian/natural support
<input type="checkbox"/>	Transferred/assisted participant to relocate from place of incident
<input type="checkbox"/>	Referred for medical examination
<input type="checkbox"/>	Referred for mental/behavioral health evaluation
<input type="checkbox"/>	Arranged for back-up services/supports
<input type="checkbox"/>	Reassessed participant needs
<input type="checkbox"/>	Modified/updated service plan
<input type="checkbox"/>	Contacted waiver service provider(s)
<input checked="" type="checkbox"/>	Contacted case manager
	Date: <input type="text" value="04/01/2021"/>
	Details: <input type="text" value="asdfsasd"/>
<input type="checkbox"/>	Reported to Healthcare Licensure and Survey
<input type="checkbox"/>	Reported to Board of Nursing
<input type="checkbox"/>	Reported to other regulatory agency
<input type="checkbox"/>	Reported to Adult Protective Services
<input type="checkbox"/>	Reported to Child Protective Services
<input type="checkbox"/>	Reported to law enforcement agency
<input type="checkbox"/>	Referred to Long-Term Care Ombudsman
<input type="checkbox"/>	Referred to Protection and Advocacy
<input type="checkbox"/>	Reported to Program Integrity Unit
<input type="checkbox"/>	Reported to Medicaid Fraud Control Unit
<input type="checkbox"/>	Other/not applicable
Description of action(s) taken: <input type="text"/>	

- Save the incident

Once the specifics of the incident have been entered, you have the option to submit or cancel the incident report. It is recommended that providers click save before uploading any documents, immediately after entering complex descriptions, and before changing the incident status or submitting. The system has an auto refresh and time out limitation on the page. Choose the desired option and click the 'Update Status' button.

Status History			
Current Status: Pending Initial entry			
Incident Status	Status Username	Status Date	Notes
Pending Initial Entry	colleen.moon	3/31/2021 11:57:23 AM	
Notes: <input type="text"/>			
Status: <input type="text" value="Pending Initial Entry"/>			
<input type="button" value="Update Status"/>			

**The incident will not be submitted until the status is updated and the 'Update Status' button is then clicked. Incidents do not have a print button until submitted.**

## Requesting Additional Information

If during the incident review or investigation an Incident Management Specialist (IMS) needs additional information, they will return the submission for additional information. It will show up on your task list with the status 'Requesting additional information'. Click on the 'View' icon to open the incident:

Filter by Task Type:  Filter by Status:  Filter by Division:

View	Task Type	Name	Status	Status Modify Date	Documents Uploaded	Notes	Report
	IncidentNewSubmission #26	<del>XXXXXXXXXXXXXXXXXXXX</del>	Pending Initial Entry	3/26/2021	0/0		
	IncidentNewSubmission #27	<del>XXXXXXXXXXXXXXXXXXXX</del>	Pending Initial Entry	3/26/2021	0/0		
	IncidentNewSubmission #28	<del>XXXXXXXXXXXXXXXXXXXX</del>	Pending Initial Entry	3/26/2021	0/0		
	IncidentNewSubmission #29	<del>XXXXXXXXXXXXXXXXXXXX</del>	Pending Initial Entry	3/26/2021	0/0		
	IncidentNewSubmission #30	<del>XXXXXXXXXXXXXXXXXXXX</del>	Request Additional Information	3/26/2021	0/0		
	IncidentNewSubmission #31	<del>XXXXXXXXXXXXXXXXXXXX</del>	Pending Initial Entry	3/31/2021	0/0		

The status history at the bottom of the incident will contain the additional information being requested.

Status History

Current Status: Requesting additional information from provider

Incident Status	status Username	Status Date	Notes
Pending Initial Entry	colleen.noon	5/22/2021 1:44:44 PM	
Review Incident Submission	theresa.cain	5/22/2021 1:45:49 PM	Please Provide more information
Request Additional Information	theresa.cain	5/22/2021 1:45:50 PM	

Notes:

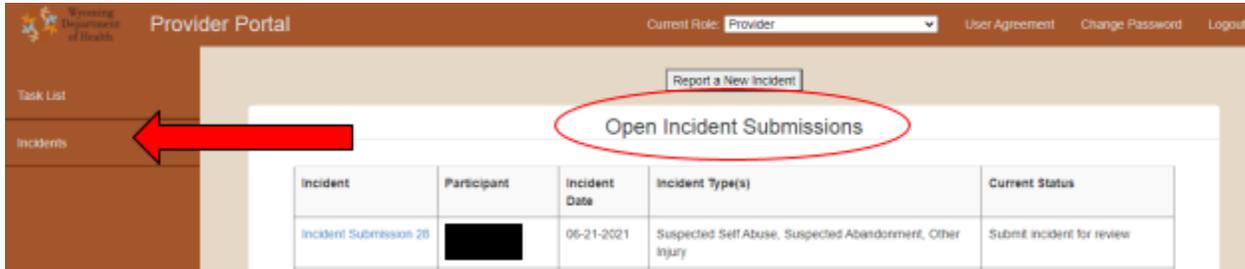
Status:

You will then be able to upload documents or provide more detailed information in the description fields of the incident. Once you have entered the additional information, you will select "Submit Incident for Review" from the drop down menu and click "Update Status" to send it back to the IMS team for review. There is no limit in the number of times an incident can be rolled back to request more information.

**The incident will not be submitted until the status is updated and the 'Update Status' button is then clicked.**

## Incident History

A provider will have access to all incident reports submitted through the Portal. To access the history of incident reports, use the “Incidents” option in the left hand Navigation bar. This page is split into “Open Incident Submissions”

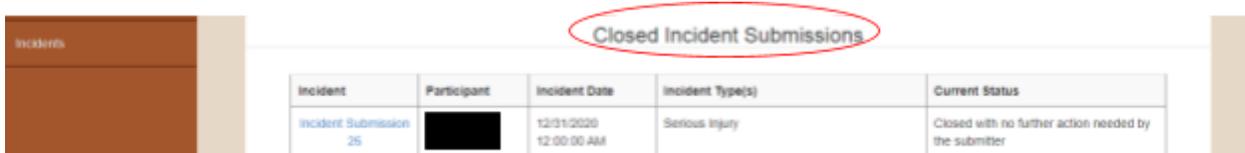


Report a New Incident

Open Incident Submissions

Incident	Participant	Incident Date	Incident Type(s)	Current Status
Incident Submission 28	[REDACTED]	06-21-2021	Suspected Self Abuse, Suspected Abandonment, Other Injury	Submit incident for review

And “Closed Incident Submissions”



Closed Incident Submissions

Incident	Participant	Incident Date	Incident Type(s)	Current Status
Incident Submission 25	[REDACTED]	12/31/2020 12:00:00 AM	Serious Injury	Closed with no further action needed by the submitter

## Technical Assistance

Please contact your local IMS for more information about the details, information, reporting requirements, or requests for more information specifics. The most current list of IMS can be found on the [Contacts and Important Links](#) page of the HCBS website, just below “Provider Support Unit.”

If you experience technical difficulties, such as error messages or login problems, please contact the Portal helpdesk at <https://happyjacksoftware.atlassian.net/servicedesk/customer/portal/35>.