

## FLOWCHART OF ENTITY INVESTIGATION AND REPORTING REQUIREMENTS FOR CAREGIVER MISCONDUCT AND INJURIES OF UNKNOWN SOURCE - For all DQA entities, except Nursing Homes -

Refer to Chapter 6 of DQA publication [P-00038, \*The Wisconsin Caregiver Program Manual\*](#).

**NOTE:** Other reporting requirements may also apply; e.g., if the incident involved child abuse or the death of a client.

**INCIDENT:** Caregiver misconduct and injuries of unknown source are considered "incidents." All staff who have information regarding a possible incident of caregiver misconduct (abuse or neglect of a client or misappropriation of client property) or an injury of unknown source must report the incident to the appropriate entity staff person.

**ACTION:** Upon learning of an incident, you must immediately **protect your clients** from possible further incidents of misconduct or injury.

**ACTION:** You must immediately **conduct a thorough internal investigation** and document your findings for all incidents at the entity.

**ACTION:** Name an **accused individual**, if possible. If you are unable to name an accused individual, another regulatory authority or investigating agency (such as DQA or the police) may be able to identify an accused person. Proceed to question 1.

1. Do you have **information or other evidence** to show the incident happened or do you believe a regulatory authority or investigating agency (such as DQA or the police) could obtain the evidence?

NO

YES or FAIRLY CERTAIN

2. Do you believe the incident meets the **DHS 13 definition of abuse, neglect, or misappropriation?** (Refer to Caregiver Program Manual, Chapter 6, for complete DHS 13 definitions.) **Note:** Nursing homes must refer to federal definitions.

YES or FAIRLY CERTAIN

3. Are you **reasonably certain the incident does not meet the definition** of caregiver misconduct (e.g., your investigation supports that it is not caregiver misconduct.)?

NO

NO

YES

4. Is the alleged incident or the **effect(s)** of the incident on the client **minor?** (Refer to Chapter 6 for definition of "minor.")

NO

YES

**ACTION:** Submit a MIR (DQA form F-62447) to DQA, as applicable, in required time frame. Advise the accused person of the report.

**ACTION:** It is not mandatory to report the incident to DQA. Document your investigation and maintain the results of the 30 most recent investigations for DQA staff.