



Virginia Department of
Behavioral Health &
Developmental Services

Serious Incidents and Office of Licensing Guidance

September 23, 2020

Training Overview

- **Trainings**
- **Communication from the Office of Licensing**
- **IMU Survey**
- **IMU Contact information**
- **CHRIS Changes**
- **Non-Compliant Incident Reporting**
- **Late Reporting**
- **Updates to Serious Injury**
- **Care Concerns**
- **4th Quarter FY 20Data**

DBHDS Office of Licensing Training

- You are encouraged to sign up for the Office of Licensing's recurring CHRIS trainings on Eventbrite for helpful information related to serious incident reporting.
- Training will be conducted quarterly on the third (3rd) Wednesday of the month.
- Registration for the training is on Eventbrite (<https://www.eventbrite.com/e/chris-training-recurring-2020-tickets-91319315531>)

Communication from the Office of Licensing

- **The Office of Licensing (OL) will be sending out information to providers utilizing Constant Contact.**
- **To ensure your organization receive these email-notifications, add the following two email addresses to your “accepted list”.**
 - licensingadminsupport@dbhds.virginia.gov
 - Incident_management@dbhds.virginia.gov

IMU Survey

The Office of Licensing (OL) Incident Management Unit (IMU) will be sending out a survey to providers in October 2020. The survey is to capture information on training providers believe would be beneficial in assisting them in reporting incidents. The survey will be designed to be short enough to be completed in five minutes or less.

- The OL IMU will utilize Survey Monkey to send out the survey to providers. Each of the questions allowed for providers to write comments. There will be one open area to allow for any comments you would like to make.
- Only one email notification will be sent out to a provider.
- IMU will be sending out a memo at the end of September from Constant with a link to provide the email address providers would like to have the survey sent to.
- The survey will be open for 2 weeks

IMU Contact Information

Stella Stith	IMU Manager	804-356-4938
Region	IMU Specialist	Contact Number
Region #1	Brian Dempsey	804-584-0752
Region #2	Lisa Lingat	703-342-6521
Region #3	Michele Laird	804-432-4822
Region #4	Jakuta Williams	804-664-2452
Region #5	David Wampler	804-709-4844
Citations	Sherry Miles	804-432-6324
Citations/Incidents	Lamar Spicely	804-510-3945



IMU mailboxes

- IMU has also established regional mailboxes as another means for providers to contact their IMU regional specialist if they have questions or need to provide information to them. The mailboxes email addresses are below:
 - ❖ imu_Region1@dbhds.virginia.gov
 - ❖ imu_Region2@dbhds.virginia.gov
 - ❖ imu_Region3@dbhds.virginia.gov
 - ❖ imu_Region4@dbhds.virginia.gov
 - ❖ imu_Region5@dbhds.virginia.gov
- The **incident_management@dbhds.Virginia.gov** is the only mailbox a provider should utilize for “Potential Late” entries

Potential Late Reporting

- Mark the e-mail to IMU with the following **subject line: “Potential Late Entry-CHRIS complications for [NAME OF PROVIDER].”** Notification to other DBHDS employees or representatives, **including the provider’s licensing specialist or human rights advocate, will not substitute for notification to the IMU.**
- Providers will be cited for a regulatory violation of 12VAC35-105-160.D.2. or 12VAC35-46- 1070.C., as applicable, if they do not report serious incidents within the regulatory timeframe, unless they have notified the IMU of their inability to do so due to a system error in CHRIS or a network outage, even if they have notified their licensing specialist or human rights advocate.

CHRIS System Errors and Network Outages


- There may be unusual circumstances when a provider is unable to report an incident through the CHRIS system because of a CHRIS system error or a network outage. **The ONLY valid reasons for not reporting a serious incident into CHRIS include:**
 - 1) The CHRIS system was not functioning at the time the incident was discovered; or
 - 2) The provider was unable to access the CHRIS system for reasons that were not in the provider's control.
 - Power outage which can be verified (ex. Dominion Power outage)

Updates to Serious Incident Reports:

- In some instances, a provider may need to update a serious incident report in CHRIS after its initial submission:
 - A provider may be awaiting a medical report or other records related to an Emergency Room visit, for example; or
 - IMU staff may request that the provider update an incident report in CHRIS when the IMU identifies information that should have been included in the report, but was not included
- When the provider must update an incident report in CHRIS after the initial submission, the provider must do so within two business days from the initial submission of the incident report, or from the time the provider is informed by the IMU of the need to update the report, whichever is later.
- If the provider is unable to obtain necessary information to update the incident report within the two business day period for reasons outside the provider's control, such as when the provider is awaiting pertinent laboratory results that are not received within two business day period for updating the incident report, then the provider must communicate this to the provider's regional IMU Specialist during the two business day timeframe.

Updates to Serious Incident Reports

- Providers must select “**An update to the serious incident report has been provided**”, when saving the incident after they have made their update. This will send a notification to IMU and the Licensing Specialist that an update as been entered.



* Required. Please select one from the following:

- ☐ Death/Serious incident report is complete and no further updates will be provided.
- ☐ Updates to death/serious incident report will be provided.
- ☒ An update to the death/serious incident report has been provided.

- Failure to update a serious incident report in CHRIS within **two (2) business days** from the initial submission of the report, or from the time that the provider is informed by the IMU of the need to update the report, will be cited as a regulatory violation of 12VAC35-105-160.F. or 12VAC35-46-230.A, as applicable, unless the provider has communicated its inability of obtain the necessary information to the provider’s regional IMU representative within the two business day timeframe.

CHRIS Mandatory Fields

- The Person Filling Out the Form Name/Title is a required field. The name of the person who can provide information regarding the incident should be entered.
- Please make sure the phone number is correct, it will be used to contact the provider if additional information is needed.

* Person Filling Out Form Name/Title									
* First name	Buggs	* Last name	Buggy	* Staff Title	QA Coordinator, Senior	* Date of Completion	01/02/2020	* Phone Number	
* Licensing Specialist	Christine Morris	Date/Time Licensing Notification:		1/2/2020 5:52:42 PM		Date Case Closed:		01/03/2020	
* Required. Please select one from the following:									
<input type="radio"/> Death/Serious incident report is complete and no further updates will be provided.									
<input type="radio"/> Updates to death/serious incident report will be provided.									
<input type="radio"/> An update to the death/serious incident report has been provided.									

CHRIS Changes

- In the next coming months the CHRIS system will reflect changes to align with the regulations.
- Guidance will be sent out to all provider via Constant Contact of the changes.
- There has already been some changes made to the CHRIS system


Conduct Root Cause Analysis

- To align with the regulations “**Conduct Root Cause Analysis**” will no longer be **pre-selected**.
- Please be sure to select this when appropriate.
- Per Licensing Regulations 12VAC35-105-160.E., a root cause analysis shall be conducted by the provider within 30 days of discovery of Level II serious incidents and any Level III serious incidents that occur during the provision of a service or on the provider’s premises.

Provider's Corrective Action(Check all that apply)

<input type="checkbox"/> Change policy and procedure
<input type="checkbox"/> Implement Current policy and procedure
<input type="checkbox"/> Train individual staff
<input type="checkbox"/> Train all staff
<input type="checkbox"/> Increase staffing
<input type="checkbox"/> Increase qualifications of staff
<input type="checkbox"/> Increase supervision (change patterns of supervision)
<input type="checkbox"/> Conduct root cause analysis
<input type="checkbox"/> Decreased capacity
<input type="checkbox"/> No new admissions
<input type="checkbox"/> Individual(s) were moved
<input type="checkbox"/> Environmental modification
<input type="checkbox"/> ISP modification
<input type="checkbox"/> Obtain additional services/assessments
<input type="checkbox"/> Meet with support team to review plan
<input type="checkbox"/> Improve QA
<input type="checkbox"/> Supervisory/Administrative staff change/action
<input type="checkbox"/> Corrective action pending further internal investigation
<input type="checkbox"/> Other

Other (please specify):



Care Concern Reports

- Care Concern Reports will be available to all providers starting Tuesday, September 29, 2020.
- There will be three reports made available.
 - Individual Care Concerns
 - Provider Care Concerns
 - Case Management Care Concerns

Providers Care Concern Reports


- From the CHRIS homepage click on Serious Incident Reports (highlight) on the left hand side menu

LOGGED IN AS

- SS91dc4d
- Logout

NAVIGATION

- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports**
 - Death Reports
 - Case Manager Reports
- Help



CHRIS VERSION 5.1

Select a Record by Clicking

By Name-You must enter the individual's first and last names
(This search will display all records that 'sound like' the name you entered.)

By Abuse Case - you must enter the abuse allegation case number

By Complaint Case - you must enter the complaint case number

To report changes to your operating service status related to the state of emergency, please click [HERE](#)

Agency CD:222 , User Role: 24

☐ by Name

☐ by Abuse Case

☐ by Complaint Case

☐ by Death/Incident Case

Case Number

Name (First, Last)

Search

Provider Care Concern Reports

- Select report by clicking on the dropdown arrow (see below red arrow).

CHRIS VERSION 5.1


LOGGED IN AS



- SS91dc4d
- Logout


NAVIGATION


- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports
- Help

Select one of the pre-defined reports below to begin.



Begin Date  End Date 

Waiver Type 



Provider Care Concern Reports

- Select one the care concern report from the list.
 - There will be two reports available in Excel format to download.
 - Provider Care Concern
 - Individual Care Concern

CHRIS VERSION 5.1

LOGGED IN AS

- SS91dc4d
- Logout

NAVIGATION


- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports
- Help

Select one of the pre-defined reports below to begin.

DSI-12-Provider Care Concerns LSA Notification
DSI-13-Individual Care Concern LSA Notification
SI-01-Status of Serious Incident Cases by Death/Incident Discovery Date
SI-02-Status of Serious Incident Cases by Date DBHDS Notified

Waiver Type All Waiver and Non-Waiver Records

Preview Report



Providers Care Concern Reports

- Click on the calendar to select the data entry date for the begin date and end date text box.

CHRIS VERSION 5.1

LOGGED IN AS

- SS91dc4d
- Logout

NAVIGATION

- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports
- Help

Select one of the pre-defined reports below to begin.


DSI-13-Individual Care Concern LSA Notification

Begin Date: 09/01/2020

End Date: 09/21/2020

Waiver Type: All Waiver and Non-Waiver Records

Preview Report



Providers Care Concern Reports

- Report displays on a new tab (highlighted). To close the report, click on the x on the new tab

Abuse/Complaint/Death & Ser... deltadev.dbhds.virginia.gov

1 of 1 100% Find | Next

Provider Care Concerns (Case Management Provider)

Provider Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

Enter date 09/01/2020 to 09/21/2020 from

Provider Name	Agency Cd	Provider IDText	Service IDText	Program IDText	Service Program	Program Name	Street	City	State	Zip	Death Serious Injury Ctr ID	DOB	Gender	Medicaid Num	Death Incident Date	Discovery Date	Enter Date	LSA	Remarks
---------------	-----------	-----------------	----------------	----------------	-----------------	--------------	--------	------	-------	-----	-----------------------------	-----	--------	--------------	---------------------	----------------	------------	-----	---------

Providers Care Concern Reports

- To save the report, click on the export button (highlighted) and select Excel. Save excel file.

The screenshot shows a web application interface for "Providers Care Concern Reports". The browser tabs include "Abuse/Complaint/Death & Ser..." and "deltadev.dbhds.virginia.gov". The interface has a navigation bar with "Find | Next" and a "100%" zoom level. The main content area is titled "Provider Care Concerns (Case Management Provider)" and contains a text block: "Provider Care Concern License Notification. Based on current serious incidents and analyses completed on behavior management and/or quality of care for recent incidents occurring within this licensed service, the Office of Licensing you may want to review your trend analysis for serious incidents as well as root-cause analysis. Please take this time to determine review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management plan. This information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate". Below this is a date range selector: "Enter date from 09/01/2020 to 09/21/2020". A table with 18 columns is visible, including "Provider Name", "Agency Cd", "Provider IDText", "Service IDText", "Program IDText", "Service Program", "City", "State", "Zip", "Death Serious Injury Ctr ID", "DOB", "Gender", "Medicaid Num", "Death Incident Date", "Discovery Date", "Enter Date", "LSA", and "Remarks". An export menu is open, showing options: Word, Excel (highlighted), PowerPoint, PDF, TIFF file, MHTML (web archive), CSV (comma delimited), and XML file with report data.

Provider Name	Agency Cd	Provider IDText	Service IDText	Program IDText	Service Program	City	State	Zip	Death Serious Injury Ctr ID	DOB	Gender	Medicaid Num	Death Incident Date	Discovery Date	Enter Date	LSA	Remarks
---------------	-----------	-----------------	----------------	----------------	-----------------	------	-------	-----	-----------------------------	-----	--------	--------------	---------------------	----------------	------------	-----	---------

Case Management Care Concern Report

- From the CHRIS homepage click on Case Manager Reports (highlighted) on the left hand side menu.

LOGGED IN AS

- hl5b47c1
- Logout

NAVIGATION

- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports**
- Help



CHRIS VERSION 5.1

Select a Record by Clicking

By Name-You must enter the individual's first and last names

(This search will display all records that 'sound like' the name you entered.)

By Abuse Case - you must enter the abuse allegation case number

By Complaint Case - you must enter the complaint case number

To report changes to your operating service status related to the state of emergency, please click [HERE](#)

Agency CD:224 , User Role: 24

☐ by Name

☐ by Abuse Case

☐ by Complaint Case

☐ by Death/Incident Case

Case Number

Name (First, Last)

Search



Case Management Care Concern Report

- Select case management report by clicking on the dropdown arrow (see below red arrow).

CHRIS VERSION 5.1

LOGGED IN AS


- SS91dc4d
- Logout



NAVIGATION


- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports
- Help

CHRIS

Select one of the pre-defined reports below to begin.



Begin Date  **End Date** 

Waiver Type 

Preview Report



Case Management Care Concern Report

- Select one the care concern report from the list.
 - There will be two reports available in Excel format to download.
 - CM Report - Provider Care Concern
 - CM Report - Individual Care Concern

CHRIS VERSION 5.1

LOGGED IN AS

› hl5b47c1

› Logout

NAVIGATION

› Home

› Incidents >

› Reports

- Abuse Reports
- Complaint Reports
- Serious Incident Reports
- Death Reports
- Case Manager Reports

› Help

Select one of the pre-defined reports below to begin.

CM_01A-Case Manager Report - Abuse, Neglect and Exploitation


CM_01A_EXCEL-Case Manager Report - Abuse, Neglect and Exploitation(EXCEL FORMAT)

CM_01D-Case Manager Report - Death/Serious Injuries

CM_01D_EXCEL-Case Manager Report - Death/Serious Injuries(EXCEL FORMAT)

CM_02_Excel-CM Report - Provider Care Concern LSA Notification

CM_03_Excel-CM Report - Individual Care Concern LSA Notification



Case Management Care Concern Report

- Click on the calendar to select the data entry date for the begin date and end date text box.

LOGGED IN AS

- hl5b47c1
- Logout

NAVIGATION

- Home
- Incidents >
- Reports
 - Abuse Reports
 - Complaint Reports
 - Serious Incident Reports
 - Death Reports
 - Case Manager Reports
- Help

CHRIS VERSION 5.1

Select one of the pre-defined reports below to begin.

CM_02_Excel-CM Report - Provider Care Concern LSA Notification

Begin Date

09/01/2020



End Date

09/21/2020



Preview Report



Case Management Concern Report

- Report displays on a new tab (highlighted). To close the report, click on the x on the new tab

Abuse/Complaint/Death & Ser... deltadev.dbhds.virginia.gov

1 of 1 100% Find | Next

Provider Care Concerns (Case Management Provider)

Provider Care Concern Licensing Specialist Action (LSA) Notification
Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

Enter date 09/01/2020 to 09/21/2020 from

Provider Name	Agency Cd	Provider IDText	Service IDText	Program IDText	Service Program	Program Name	Street	City	State	Zip	Death Serious Injury Ctr ID	DOB	Gender	Medicaid Num	Death Incident Date	Discovery Date	Enter Date	LSA	Remarks
---------------	-----------	-----------------	----------------	----------------	-----------------	--------------	--------	------	-------	-----	-----------------------------	-----	--------	--------------	---------------------	----------------	------------	-----	---------

Case Management Concern Report

- To save the report, click on the export button (highlighted) and select Excel. Save excel file.

The screenshot shows a web application window titled "Abuse/Complaint/Death & Ser..." with a sub-header "deltadev.dbhds.virginia.gov". The main content area displays "Provider Care Concerns (Case Management Provider)" and a table of data. A dropdown menu is open, showing options for exporting the report: Word, Excel (highlighted), PowerPoint, PDF, TIFF file, MHTML (web archive), CSV (comma delimited), and XML file with report data. The table has columns for Provider Name, Agency Cd, Provider IDText, Service IDText, Program IDText, Service Program, City, State, Zip, Death Serious Injury Ctr ID, DOB, Gender, Medicaid Num, Death Incident Date, Discovery Date, Enter Date, LSA, and Remarks.

Provider Name	Agency Cd	Provider IDText	Service IDText	Program IDText	Service Program	City	State	Zip	Death Serious Injury Ctr ID	DOB	Gender	Medicaid Num	Death Incident Date	Discovery Date	Enter Date	LSA	Remarks
---------------	-----------	-----------------	----------------	----------------	-----------------	------	-------	-----	-----------------------------	-----	--------	--------------	---------------------	----------------	------------	-----	---------

Care Concern Review

- The IMU reviews serious incidents not only on an individual level but systematically as well to identify possible patterns/trends by individual, a provider's licensed service as well as across providers.
- Through this review, the IMU is able to identify areas, based on serious incidents, where there is potential risk for more serious future outcomes.
- The IMU has identified these situations as Care Concerns. Incidents of individuals or providers who meet the following Care Concern criteria will trigger follow-up by the IMU.
- In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate.

Care Concerns

- Care Concern may require reassessment or additional intervention to prevent unwanted outcomes.
- OL monitors two types of Care Concerns
 - Individual Care Concerns
 - Provider Care Concerns

Individual Care Concern Criteria

- Three (3) or more unplanned medical hospitalization admissions, ER visits or psychiatric hospitalizations within a ninety (90) day time-frame for any reason.
- Multiple (2 or more) unplanned medical hospitalization admissions or ER visits for the same condition or reason that occur within a thirty (30) day time-frame.
- Any combination of 3 or more incidents of any type within a thirty (30) day time-frame.
- Multiple (2 or more) unplanned hospital admissions for: falls, choking, urinary tract infection, aspiration pneumonia, or dehydration within a ninety (90) day time-frame for any combination
- Any incidents of medically verified decubitus ulcers or bowel obstruction

Provider Care Concern Criteria

- Multiple (5 or more) serious incidents occurring at a licensed location within a 30 day time-frame.
- Repeat citations (3 or more) per service per provider who has failed to report Serious Incidents within required time-frames.

Care Concerns

- **The information below is displayed on all incidents.** Please see the “Licensing Specialist Action” selected to determine if the incident has met the “Care Concern” criteria. The information below includes the Office of Licensing expectations on what to do when risk, triggers, or thresholds are met. Providers are expected to address any identified risks or changes in risk status
- Individual Care Concern Licensing Specialist Action (LSA) Notification
 - Based on current serious incident as well as a review of other recent incidents related to this individual, the Office of Licensing recommends the provider consider the need to re-evaluate the individual’s needs as well as review the current individual support plan. Provider may want to review the results of root-cause analyses completed on behalf of this individual. In addition, please take this time to determine the appropriateness of making systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate
- Provider Care Concern Licensing Specialist Action (LSA) Notification
 - Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate in the individual’s support plan.

Care Concerns in CHRIS

- Care Concerns are identified on the “Death/Incident LSA (Licensing Specialist Action) Report” tab of CHRIS

Individual	Death/Incident	Death/Incident LSA Report
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CHRIS VERSION 5.1

I. Individual Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents related to this individual, the Office of Licensing recommends the provider consider the need to re-evaluate the individual's needs as well as review the current individual support plan. Provider may want to review the results of root-cause analyses completed on behalf of this individual. In addition, please take this time to determine the appropriateness of making systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

II. Provider Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing recommends you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine and review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

Care Concern

- For an incident to be classified as an “Individual Care Concern” or “Provider Care Concern”, please read the “Action Item” and “Remarks” under the LSA Report tab (Figures 3 & 4). The “Action Item” selected would either be “Individual Care Concern” or “Provider Care Concern”. The “Remarks” statement will include the incidents criteria which lead to the incident being classified as a Care Concern.

I. Individual Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents related to this individual, the Office of Licensing recommends the provider consider the need to re-evaluate the individual's needs as well as review the current individual support plan. Provider may want to review the results of root-cause analyses completed on behalf of this individual. In addition, please take this time to determine the appropriateness of making systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate.

II. Provider Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing recommends you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine and review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate.

* denotes a required field

BuggyBunny

Select an existing Report below or [here](#) to add a new Action

	ID	Date	Licensing Specialist Action	Remarks
Select	100389	6/18/2020	No investigation conducted	I do not plan to open an investigation on this death. The provider did due diligence in attempting to locate this individual, and the individual had ongoing health concerns. This is not being reported as a suicide. Provider appears to have acted within the scope of the service. CLM
Select	100390	6/18/2020	No investigation conducted	No CHR follow up at this time. TG
Select	100153	6/17/2020	Individual Care Concern	IMS will refer this report to the LS and CHR due to 3 unplanned ER visits within 90 day timeframe. Last incident was reported on Last CHR reports were on 4/27/2020-ER visit and Medical Hospital Admission with resulting diagnosis of aspiration pneumonia. 5/12/2020-ER visit following vomiting at meal with no diagnosis. MLL
Select	100154	6/17/2020	Referred	IMS reviewed incident and completed trend analysis. This is a report of an ER visit following an episode of diarrhea and lethargy, drooling and inability to hold head up. 911 was called and individual was evaluated at TCHH. Provider noted no findings at the hospital ER follow up tests. Provider noted RCA was conducted, RBP followed and corrective action pending further internal investigation. Substitute decision maker and SC were notified. Incident was reported timely. It appears that appropriate medical attention was provided to ensure the health and safety of the individual. MLL

* Action Date:



Care Concerns in CHRIS

- IMU will identify in the LSA when an incident has been classified as an “Individual or Provider Care Concern”.

Select an existing Report below or [here](#) to add a new Action

	ID	Date	Licensing Specialist Action	Remarks
Select	99703	6/10/2020	Referred	IMS reviewed incident and completed a trend analysis. This is a report of a medical hospital admission due to fever of 103.5. Individual was transported back to SOVAH Medical Center for evaluation and treatment. Report has limited information, but provider noted an update will be provided. Provider noted a RCA will be conducted. Notification were made and incident was reported timely. Individual is 74 years old. It appears that appropriate medical attention was sought by provider since he is having ongoing medical complications post-surgery. MLL
Select	99704	6/10/2020	Individual Care Concern	IMS will notify the LS of this Care Concern referral due to 3 hospital admissions within 30 day timeframe for the same reasons. This is the 4th hospitalization within the last 45 days. Trends: Individual was admitted to the hospital on 4/25/2020 and then discharge on 5/16/2020 after treatment and an extended medical hospital admission due to bowel obstruction. During a nurse assessment on 5/17/2020, individual presented with low blood pressure and compromised breathing. He was again admitted to the hospital due to complications. 5/30/2020- medical hospital admission due to exacerbation of a chronic medical condition. Individual complained of pain on his left side. He was feeling fatigued, lack of appetite and having difficulty urinating. MLL



- In the area above the Licensing Specialist Actions are recommendations regarding individual and provider care concerns

Non-Care Concern

- For an incidents **without** the “Licensing Specialist Action Item” “Individual Care Concern” or “Provider Care Concern” selected. This incident was triaged by IMU or the licensing specialist and is not determine to be a “Care Concern”, because the incident did not meet the required Care Concern criteria

Individual | Death/Incident | Death/Incident LSA Report

CHRIS VERSION 5.1

I. Individual Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents related to this individual, the Office of Licensing recommends the provider consider the need to re-evaluate the individual's needs as well as review the current individual support plan. Provider may want to review the results of root-cause analyses completed on behalf of this individual. In addition, please take this time to determine the appropriateness of making systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

II. Provider Care Concern Licensing Specialist Action (LSA) Notification

Based on current serious incident as well as a review of other recent incidents occurring within this licensed service, the Office of Licensing recommends you may want to review your trend analysis for serious incidents as well as root-cause analyses completed on behalf of individuals receiving this service. Please take this time to determine and review the need for systemic changes such as revisions to policies or procedures and/or re-evaluating and updating your risk management and/or quality improvement plan. In addition, this information is shared with the Office of Integrated Health and the Office of Human Rights who may follow-up to provide technical assistance as appropriate

* denotes a required field

Select an existing Report below or [here](#) to add a new Action

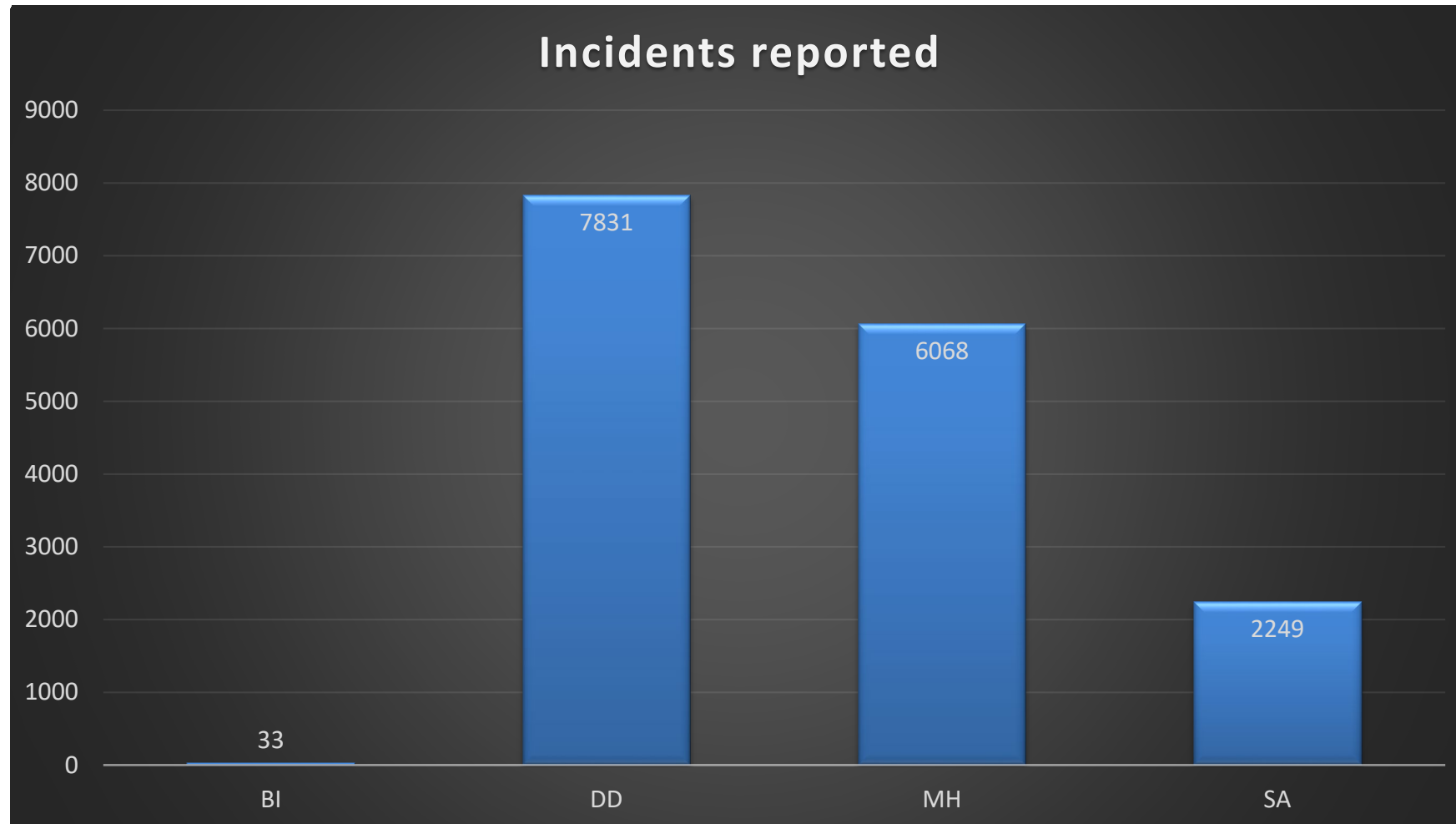
	ID	Date	Licensing Specialist Action	Remarks
Select	99442	6/8/2020	No recommendations warranted	Provider assisted with medical evaluation and treatment when changes in health were seen. JJ



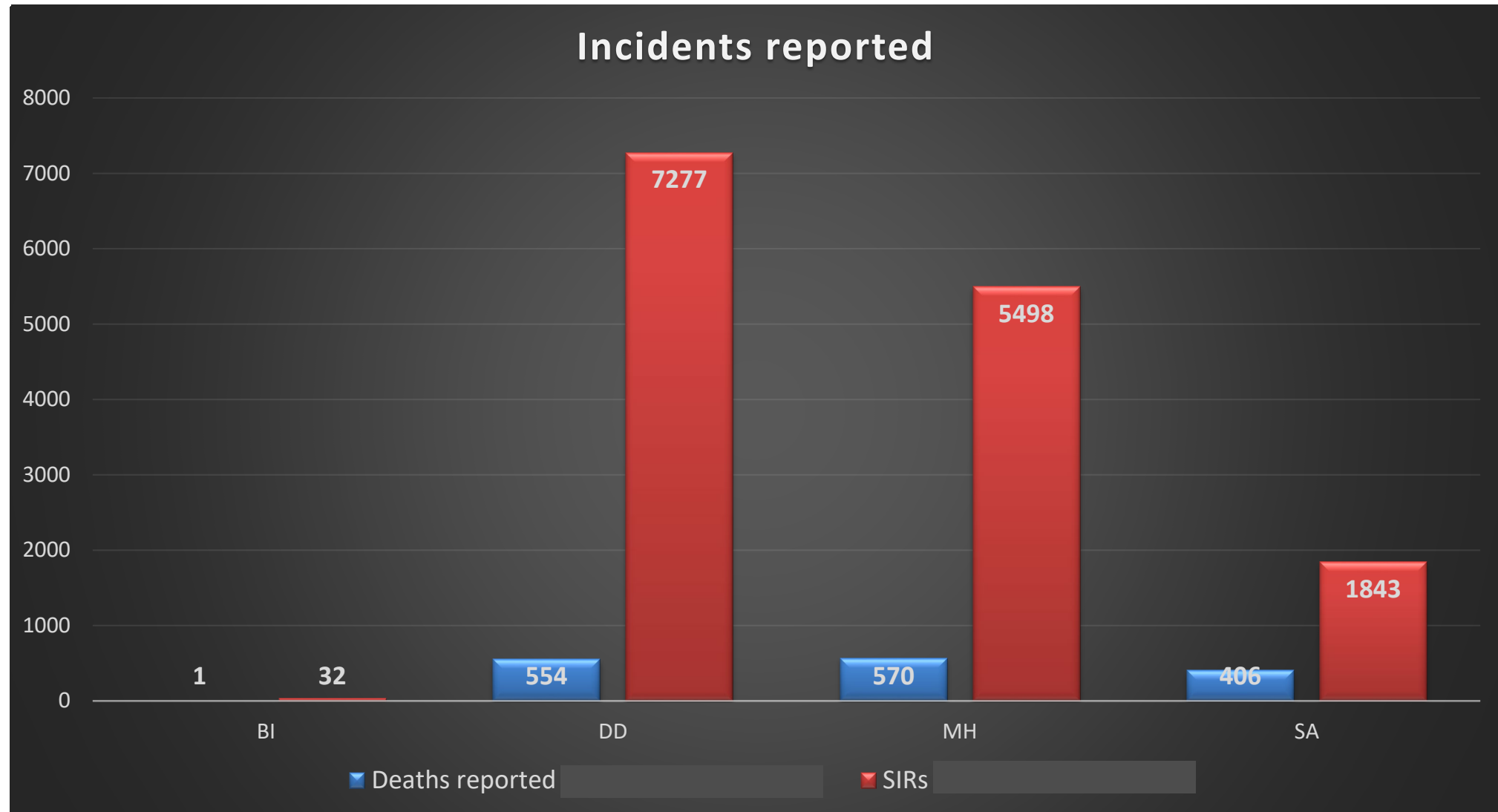
IMU Data

- The data being displayed today covers incidents August 5, 2019 to June 30, 2020 in the entire state. Below are the dates in which IMU begin triaging incidents in all regions of the state.
 - Region 4 – August 5, 2019
 - Region 3 – November 1, 2019
 - Region 2 – May 1, 2020
 - Region 1 & 5 – September 14, 2020

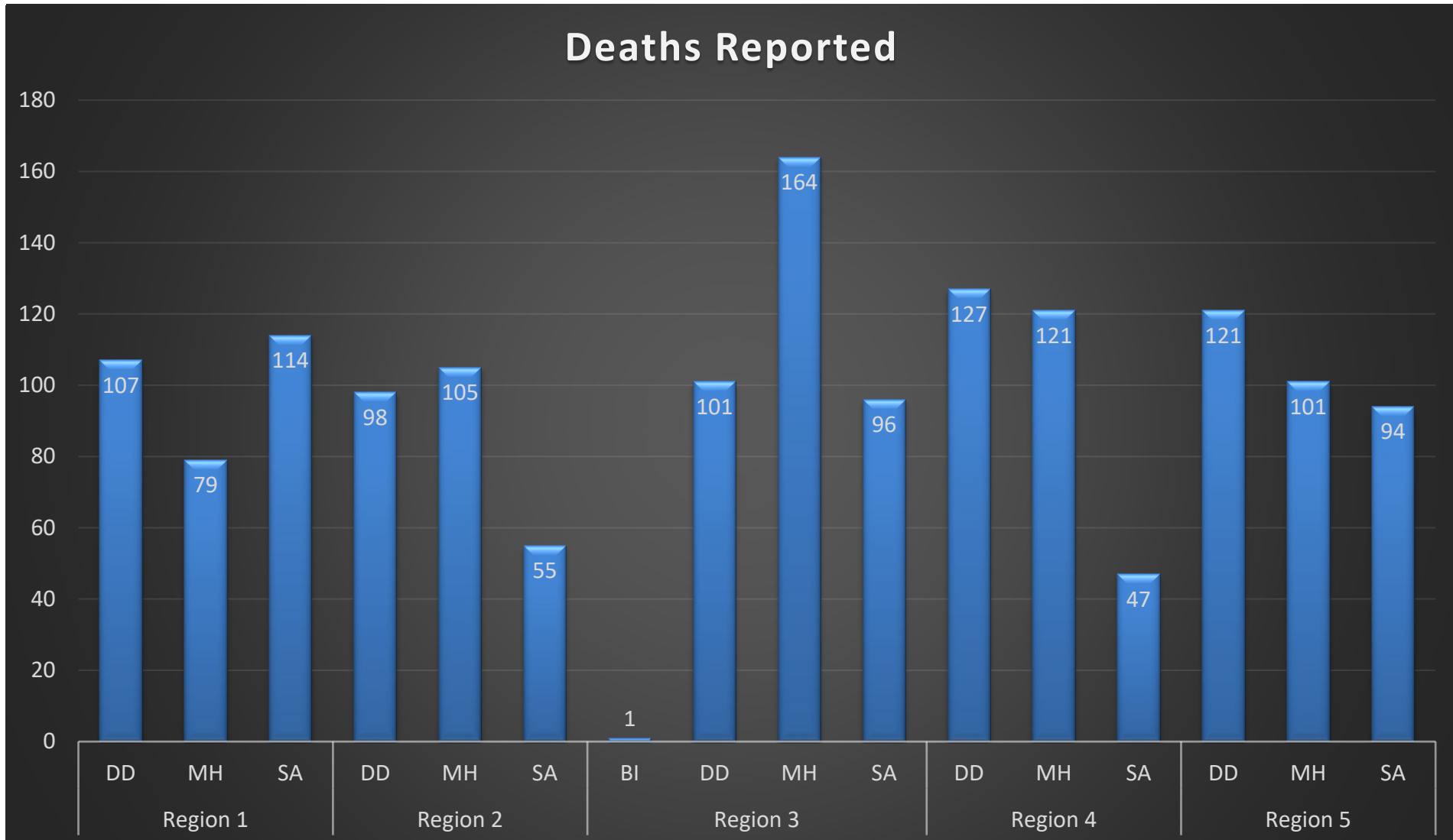
Total Incidents



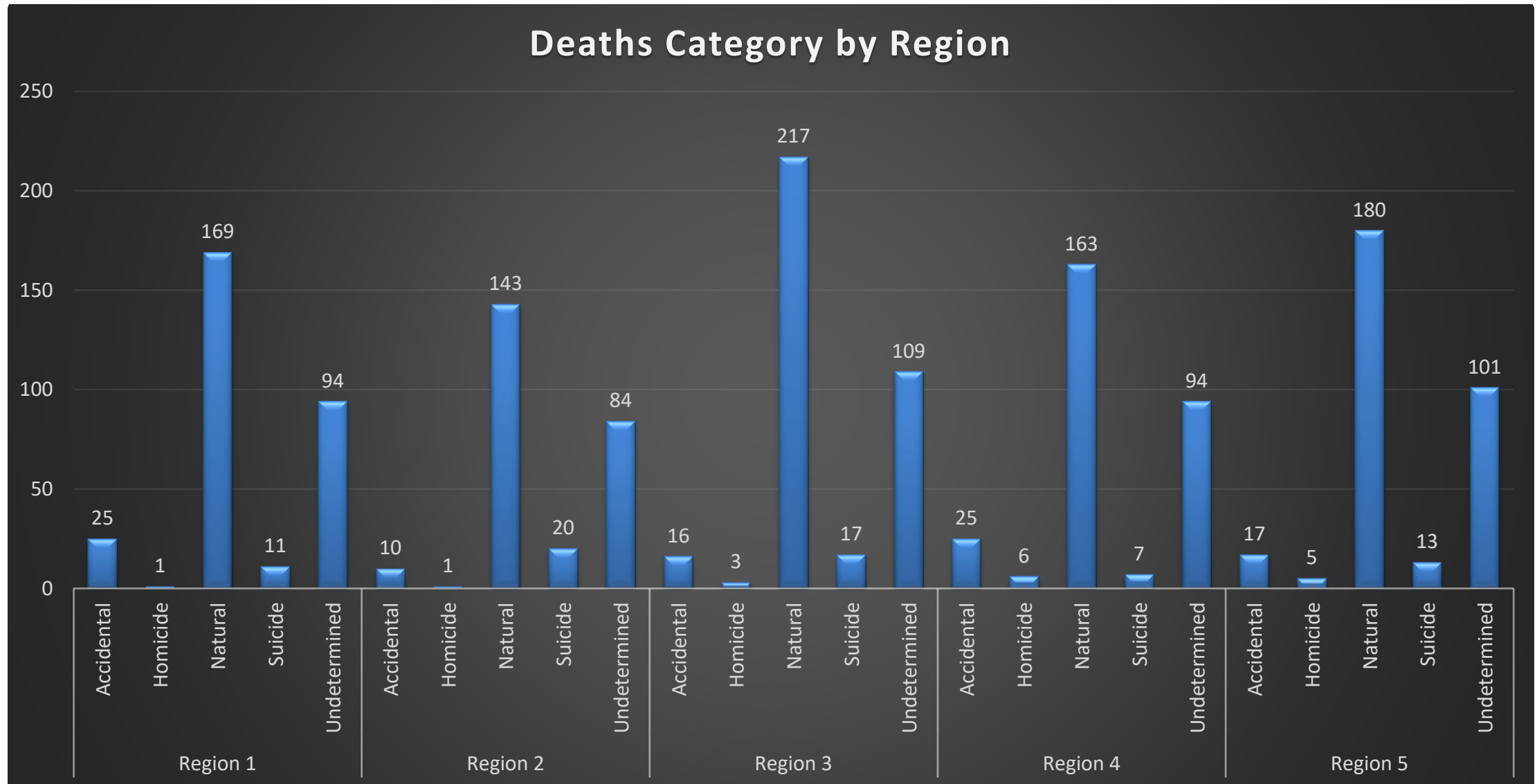
Incidents Reported



Deaths by Region by Individual Served

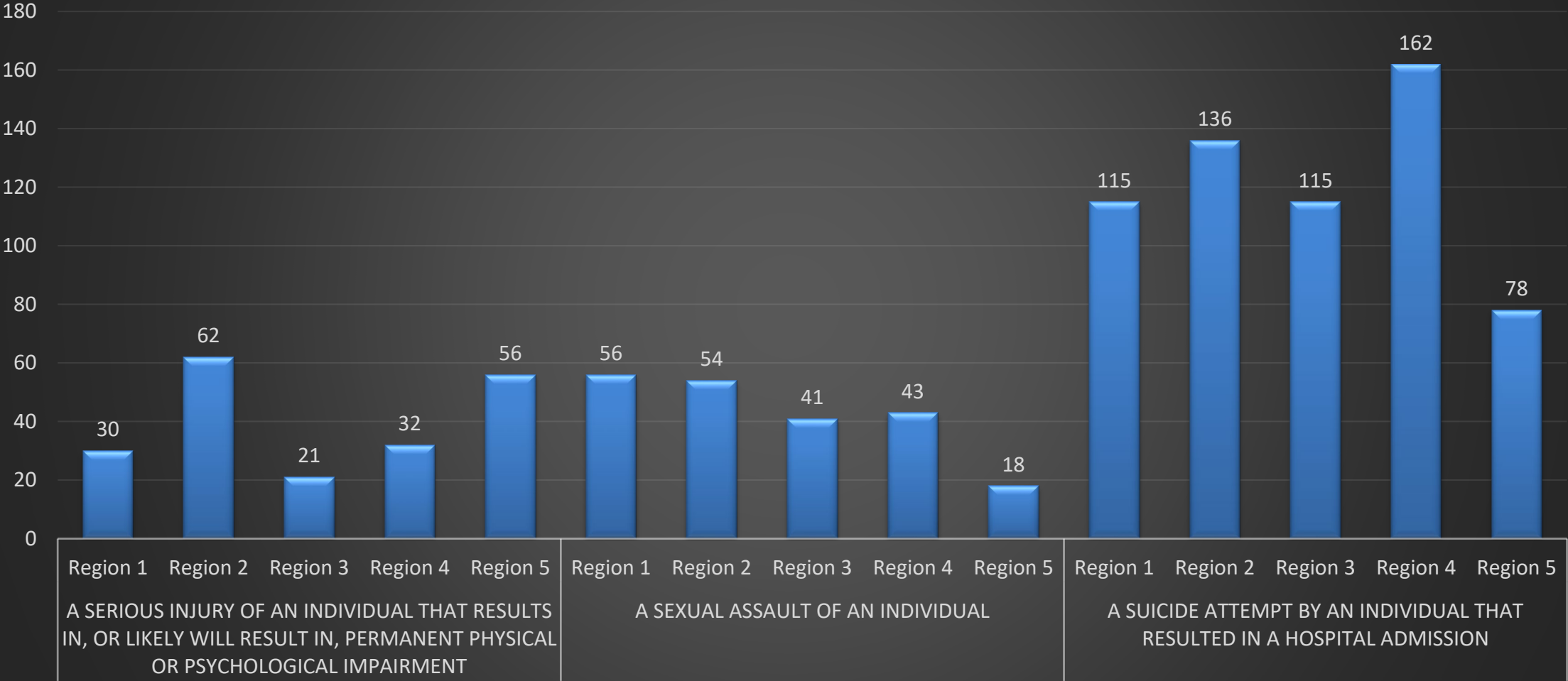


Deaths Category by Region



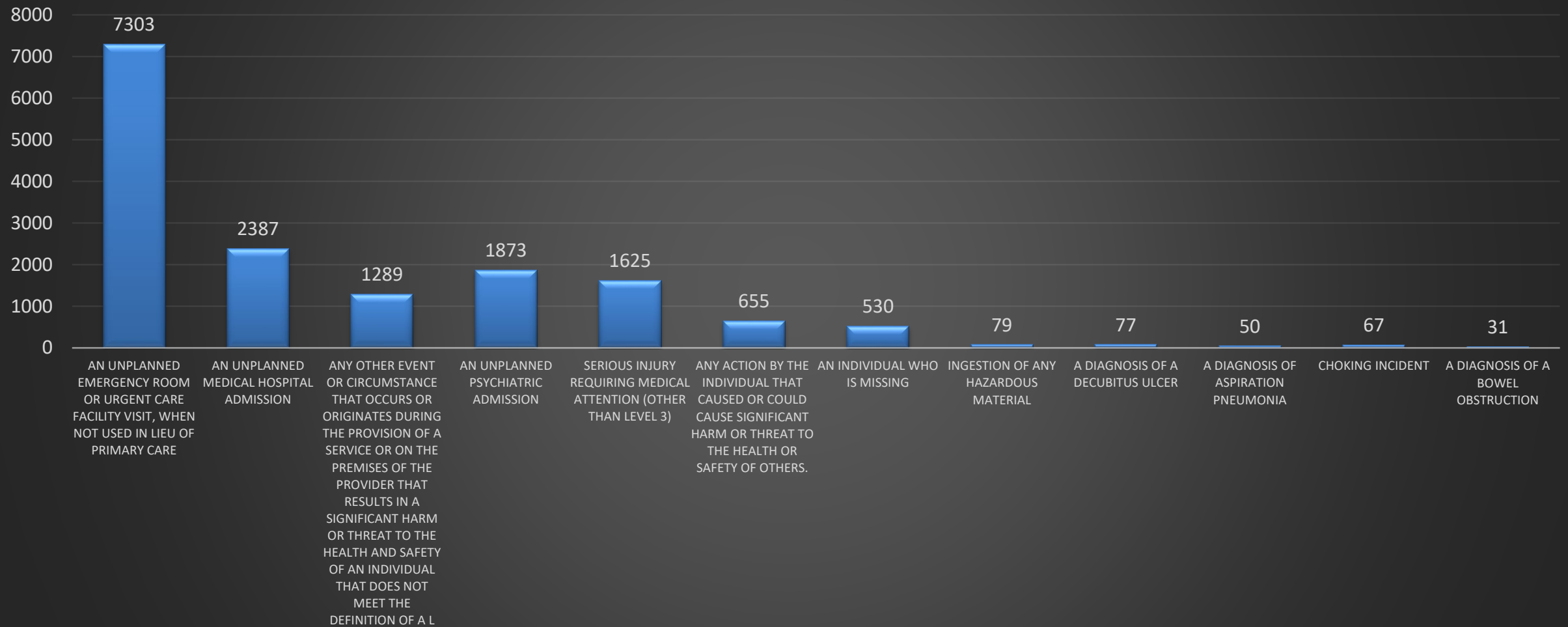
Level III Incidents

Level 3 Incidents by Region



Level II

Level 2 Incidents by Category



Questions



THANK YOU