

**Office of Licensing - DBHDS**  
**MORTALITY REVIEW SUBMISSION CHECKLIST FOR REQUIRED RECORDS**

(PLEASE READ PRIOR TO SENDING RECORDS)

<u>Provider Name:</u>	<u>Date of Death:</u>	<u>CHRIS #:</u>
_____	_____	_____
<u>Individual's Last Name:</u>	<u>First Name:</u>	<u>Admission Date:</u>
_____	_____	_____

Each individual's record should be scanned and saved using the below naming convention:

Provider name\_ Last name\_ First name\_ Title of document category

**Example:** ABCGroupHome\_Doe\_Jane\_MedicalRecords

- Each completed packet must include the **INDIVIDUAL RECORD SUBMISSION CHECKLIST** to verify the documents that are included in that scanned submission.
- To verify the number of scanned record sets for each individual (multiple scanned sets may be required due to size of the individual's record), complete Part \_\_\_\_ of \_\_\_\_\_. If an individual's complete record (all documents listed below as applicable) is included in one scanned submission; this section should indicate Part 1 of 1. If multiple scanned submissions are required for one individual's record, then this checklist should be completed with each submission and the section should indicate Part 1 of 2, Part 2 of 2 etc., to ensure that we have received the complete record submission.

Submit scanned records for all identified individuals via encrypted email to:

[MRC\\_Documents@dbhds.virginia.gov](mailto:MRC_Documents@dbhds.virginia.gov) **no later than 10 business days following a death.**

Document(s)	Included: Yes/No/Not Applicable(N/A)
<b>Most recent annual Individual Support Plan (ISP)</b> <ul style="list-style-type: none"> <li>• All sections of ISP (Parts I-V) and protocols as identified in the ISP</li> <li>• Updates made to the ISP during the planning year</li> <li>• Current Decision maker/Authorized Representative/POA if known</li> </ul>	
<b>Assessments:</b> <ul style="list-style-type: none"> <li>• Current Provider Specific Assessment (ex. Fall Risk Assessment, Comprehensive Assessment if separate from the ISP, etc.);</li> <li>• Current SIS and VIDES;</li> <li>• <b>(CASE MANAGEMENT ONLY):</b> Annual Risk Assessment, On-Site Visit Tool (last 3 months); Risk Awareness Tool; Crisis Risk Assessment Tool</li> </ul>	
<b>Quarterly Report:</b> Last quarterly report (Individual Support Plan review)	

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<p><b>Progress Notes:</b> Most recent <b>3 months</b> of progress notes for applicable service: case manager notes, residential progress notes, day support progress notes, etc.</p>	
<p><b>Medical records for past 3 months preceding death:</b></p> <ul style="list-style-type: none"> <li>• Provider medical visit summary forms;</li> <li>• Hospital discharge summaries (Please document the names of hospital(s));</li> <li>• Physician case notes and nurses notes if available;</li> <li>• MARs (Medication Administration Records);</li> <li>• Medication orders maintained onsite;</li> <li>• I/DD level (mild, moderate, severe, profound) documentation;</li> <li>• Any provider specific treatment forms (bowel movement forms, nutrition/fluid tracking sheets, repositioning forms, records of vitals, etc.); and</li> <li>• Task analysis/support logs</li> </ul>	
<p><b>Annual Physical Exam:</b> Most current physical exam</p>	
<p><b>Emergency Medical Information:</b> Emergency Medical Form and/or documentation inclusive of 12VAC35-105-750.A.1-9. Please submit the DNR/DDNR/DNI or other advanced directive document if available.</p>	
<p><b>Incident Reports:</b> All Level I, II, and III incident reports for the three months preceding the individual’s death, and documentation of any analyses into the circumstances of the incident and improvement actions taken.</p>	
<p><b>Agency Policies:</b> Please submit policies pursuant to:</p> <ul style="list-style-type: none"> <li>• 12VAC35-105-700 (Crisis or Emergency Interventions);</li> <li>• 12VAC35-105-720 (Health Care Policy);</li> <li>• 12VAC35-105-770 (Medication Management);</li> <li>• 12VAC35-105-780 (Medication Errors and Drug Reactions); and</li> <li>• 12VAC35-105-790 (Medication Administration and Storage or Pharmacy Operation)</li> </ul>	
<p>Please circle “yes” or “no” to indicate if an autopsy is planned/requested (if known).</p>	<p style="text-align: center;">Yes      No</p>
<p><b>The following items may be submitted within 30 days following the individual’s death. The provider is responsible for ensuring the documentation is submitted.</b></p>	
<p><b>Discharge Summary</b> from your agency</p>	
<p><b>Root Cause Analysis (RCA):</b> All RCAs completed for the three months preceding the individual’s death.</p>	