OPWDD Incident Management Updates and Questions and Answers

April 27, 2016
Mortality Review Update
OPWDD Mortality Review System

• 6 Regional Committees
  – Review an average of 2 cases per month
  – Review cases of potentially preventable deaths – ex. Death involving sepsis; bowel obstruction

• Central Mortality Review Committee
  – Review 2-3 cases per month
  – Most systemic, concerning, or preventable cases – ex. Deaths involving neglect / delay in care; choking
Recommendation Examples

• Ensure staff is empowered to contact 911 and/or alert the On-Call nurse of a sudden change in a resident’s status.

• Consider an ongoing procedure for re-training the support team in diet consistency and dining plans after a person is diagnosed with aspiration pneumonia.

• Ensure procedures identify people at risk for falls including those with prior history of falling and use of psychotropic medication.

• Consider setting vital signs parameters for which immediate emergency room referral would be appropriate.
## Recommendation Types

### Mortality Recommendations by Category

<table>
<thead>
<tr>
<th>Category</th>
<th>2014</th>
<th></th>
<th>2015*</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>#</td>
<td>%</td>
<td>#</td>
<td>%</td>
</tr>
<tr>
<td>Skill, Knowledge, or Training</td>
<td>43</td>
<td>24%</td>
<td>45</td>
<td>21%</td>
</tr>
<tr>
<td>Monitoring or Supervision</td>
<td>17</td>
<td>9%</td>
<td>18</td>
<td>9%</td>
</tr>
<tr>
<td>Timely or Appropriate Intervention</td>
<td>10</td>
<td>6%</td>
<td>13</td>
<td>6%</td>
</tr>
<tr>
<td>Coordination of Care</td>
<td>15</td>
<td>8%</td>
<td>19</td>
<td>9%</td>
</tr>
<tr>
<td>Policy, Procedure, or Protocol</td>
<td>48</td>
<td>27%</td>
<td>66</td>
<td>31%</td>
</tr>
<tr>
<td>Communication</td>
<td>14</td>
<td>8%</td>
<td>7</td>
<td>3%</td>
</tr>
<tr>
<td>Documentation</td>
<td>5</td>
<td>3%</td>
<td>2</td>
<td>1%</td>
</tr>
<tr>
<td>Advocacy</td>
<td>12</td>
<td>7%</td>
<td>13</td>
<td>6%</td>
</tr>
<tr>
<td>Concur with Investigator</td>
<td>16</td>
<td>9%</td>
<td>27</td>
<td>13%</td>
</tr>
</tbody>
</table>

**Total Recommendations for Year**

<table>
<thead>
<tr>
<th>2014</th>
<th>2015*</th>
</tr>
</thead>
<tbody>
<tr>
<td>180</td>
<td>210</td>
</tr>
</tbody>
</table>

**Cases Reviewed**

<table>
<thead>
<tr>
<th>2014</th>
<th>2015*</th>
</tr>
</thead>
<tbody>
<tr>
<td>82</td>
<td>103</td>
</tr>
</tbody>
</table>

*as of 11/2015
MRC Proposed Areas of Study Based on Case Reviews

- CPR
- Choking
- Drugs that affect swallowing
- Levels of supervision
- Website enhancement
- Psychotropic drug reduction/review
- Telephone Triage, additional information
- Medication Regimen Reviews
- Fluency /support for clinical specialties
- Vital Signs
- Post – anesthesia choking, aspiration
- Falls
- MOLST/DNR procedures
- OPWDD clinical consultation
- Investigation improvements
- Sleeping on the job
NYCRR Part 624
Changes in provisions effective on January 1, 2016:

• A requirement for agencies to establish a dedicated electronic mailbox to receive incident notifications from OPWDD in order to act on issues in a timely manner.

• This requirement is found in 624.5(w).
Changes in provisions effective on January 1, 2016:

Agencies who have not done so already must provide the dedicated electronic mailbox address to OPWDD IMU at incident.management@opwdd.ny.gov

Currently approximately 140 providers have not provided a dedicated mailbox to OPWDD IMU
Changes in provisions effective on January 1, 2016:

• A requirement for the electronic submission of the full investigative record to OPWDD for reports of abuse and neglect not under the authority of Justice Center. These records must be uploaded to the Incident Report and Management Application (IRMA) by provider agencies for incidents that occur or are reported on or after January 1, 2016.
Changes in provisions effective on January 1, 2016:

• This provision also requires all investigative records for deaths of any individual that occurs under the auspices of an agency be uploaded to IRMA

• Additional Categories of Significant Incidents were added effective January 1, 2016
OPWDD
Justice Center
Updates
Submissions of Reportable Abuse/Neglect Records to the Justice Center

There are currently 76 outstanding cases from June 30, 2013-December 2015 investigated by provider agencies
Closure of Significant Incidents

• OPWDD provides information to the Justice Center for all significant incidents.
• This information is provided to the Justice Center upon closure of significant incidents.
• OPWDD is currently contacting providers who have overdue open significant incidents.
Currently all 2013 Significant Incidents in IRMA are closed

There are 51 Significant Incidents from 2014 still open in IRMA. Letters were sent to agencies last week.

There are 631 Significant Incidents from 2015 still open in IRMA.
### Significant Incidents

#### Summary of Reportable Significant Incidents by Status

<table>
<thead>
<tr>
<th>Status</th>
<th>Total</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open (Incident age 60 days or more)</td>
<td>1,189</td>
<td>3.37%</td>
</tr>
<tr>
<td>Closed (Incident age 60 days or more)</td>
<td>34,067</td>
<td>96.63%</td>
</tr>
<tr>
<td>Total (Incident age 60 days or more)</td>
<td>35,256</td>
<td></td>
</tr>
</tbody>
</table>
Investigative Case Closure Initiative

Purpose: reduce cycle time of investigations

• Establishment of Clear Performance Expectations and Assessments
• Improved Initial Classification of Allegations
• Prompt Initiation of Investigation
• Targeted Resource Allocation
• Enhancements to VPCR, Business Intelligence Reporting and WSIR
OPWDD has sent to agencies dedicated mailboxes:

- A checklist implemented by the Justice Center for evidence needed for Justice Center led Reportable Abuse and Neglect investigations
- The Justice Center “What to Expect When Reporting an Incident” document to assist mandated reporters to know what information will be requested when reporting an incident to the VPCR
- Guidance on Willowbrook Incident Reporting Requirements
Conduct Between Persons Receiving Services
Assessment for Substantial Diminution
Part 624 Handbook
Questions