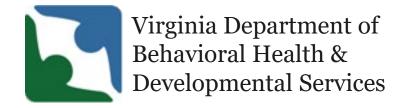
CHRIS Modifications

Changes to Serious Incident Reporting Side of CHRIS.



Training Overview



- Specialized Investigation Unit
- Mortality Review Committee
- Creating Users Form (demonstration)
- DELTA Roles (demonstration)
- Resetting Passwords (demonstration)
- Progression Citations
- Cap Dispute Resolution Process
- Care Concern Reports
- Changes in CHRIS
- IMU Survey
- IMU data

Specialized Investigation Unit: "SIU"





- As of January 1st 2020, the Specialized Investigation Unit or "SIU" began Phase 1 which consisted of completing investigations of all DD deaths reported to the department.
- As of September 14th, 2020, SIU began
 Phase 2 which consisted of completing investigations of all DD complaints reported to the department.
- Licensing Specialist are no longer assigned to complete any DD death investigations and/or DD complaint investigations.

DD Deaths-MRC Memo on DBHDS Websit

- Per Office of Licensing Memo dated July 12, 2019 titled Mortality Review Committee Required Documentation and Timeframe for Submission:
 - As of August 1, 2019, providers who are serving an individual with a developmental disability at the time of his/her death, <u>as well providers who were serving an individual with a developmental disability within 3 months prior to an individual's death must submit required documentation, via encrypted email, within 10 business days following a death to MRC Documents@dbhds.virginia.gov.</u>
 - The Memo along with the Mortality Review Committee "MRC" checklist can be found on the DBHDS website under More Information section:

MORE INFORMATION

- .
- Mortality Review Committee Document Submission Memorandum
- Mortality Review Committee Submission Checklist For Required Documents

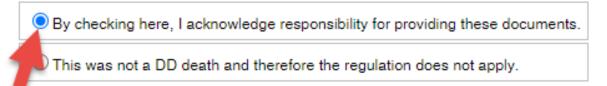
Reminders Regarding Level III DD Death Reporting



- When reporting a Level III DD Death, please remember to click on the links in CHRIS that go directly to the Mortality Review Record Submission Checklist and MRC Process memo that are on the OL website.
- Remember to select the button "By checking here, I acknowledge responsibility for providing these documents"

* For cases of DD death, providers are responsible for submitting the required documentation listed on the MortalityReview Record Submission

Checklist, within 10 business days following a death. By checking here, I acknowledge responsibility for providing these documents per the Process instituted by DBHDS for all cases of DD Death. I further acknowledge that any documentation containing the Protected Health Information of the deceased individual will be submitted in a secure fashion to ensure compliance with federal and state privacy laws.



 Submission of MRC docs is required for <u>ALL</u> deaths of individuals with developmental disabilities, regardless if the individual has a waiver or not.

DD-Deaths: Submission of MRC Docs





- Failure to submit required MRC docs can result in a violation of regulations:
 - General Regs: 12VAC35-105-160F: The provider shall make available and, when requested, submit reports and information that the department requires to establish compliance with these regulations and applicable statutes.
 - Children's Regs: 12VAC35-46-230A: The provider shall submit or make available to the department such reports and information as the department may require to establish compliance with these regulations and other applicable regulations and statutes.

DD-Deaths: Submission of MRC Docs



- Providers have 10 business days from date of discovery of the death to submit all required MRC documents to the MRC email address:
 - mrc documents@dbhds.virginia.gov (note there is an underscore "_" between mrc_documents)
 - No MRC documents should be sent directly to any licensing specialist and/or SIU investigator.
- SIU Investigators may reach out to providers to schedule interviews with staff and may ask for additional documents to be submitted as part of the investigation. In those cases providers can send those additional documents directly to the requesting investigator.

DD-Deaths: Submission of MRC Docs: Encrypted Emails Only



- Providers must ensure that all instructions are followed on the MRC checklist for submission of MRC documents.
- MRC checklist must be included with each scanned file submission.
- All emails sent to the MRC email address with documents MUST BE SENT VIA ENCRYPTED EMAIL.
 - If a provider does not have an encrypted email system, a provider may submit an email to the MRC email address requesting that an encrypted email be sent to them for submission of MRC docs.
 - Each individual file must be less than 25MB per file. If the files are larger than 25MB, the files may be resized to be 25MB and there is no way to determine what information may have been inadvertently removed.

DD Deaths-Submission of MRC Docs Cont.



It is **IMPERATIVE** that providers are following the file naming convention as listed on page 1 of the MRC checklist.

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

- MRC receives a high volume of MRC docs, thus it is important that each file submitted by providers follows the file naming convention.
 - Some files that may be larger in size, may have to be separated to ensure they are less than 25MB. For example progress notes may have to be split up into several files.
 - ABCGroupHome_Doe_Jane_JulyProgressNotesPart1of2
 - ABC GroupHome_Doe_Jane_JulyProgressNotesPart2of2

Specialized Investigation Unit "SIU" Contacts

Note: SIU staff are responsible for investigation of all DD Deaths reported and all DD complaints received by the Office of Licensing. SIU Contacts and Map will be posted on the OL website.

Region	SIU Investigator	Email	Contact	SIU Manager
			Number	
Region #1	Jessica Wright	jessica.wright@dbhds.virginia.gov	804-432-9645	Angelica Howard
Region #1	Rebekah Greenfield	rebekah.greenfield@dbhds.virginia.gov	804-382-1515	804-240-9875
Region #2	Kristina McCray	kristina.mccray@dbhds.virginia.gov	804-972-0577	
Region #3	Travis Nelson	travis.nelson@dbhds.virginia.gov	804-432-6470	MRC Email for Docs:
Region #3	Amanda Whorley	amanda.whorley@dbhds.virginia.gov	540-685-6875	mrc_documents@dbhds.virginia.gov
Region #4	Nanshill Wilson	nanshill.wilson@dbhds.virginia.gov	804-382-9061	
Region #4	Gregory Relaford	gregory.relaford@dbhds.virginia.gov	804-297-5107	MRC Doc Submission Memo
Region #5	Nerissa Rhodes	nerissa.rhodes@dbhds.virginia.gov	804-240-1104	
Region #5	John Turner	john.turner@dbhds.virginia.gov	804-709-4415	MRC Checklist

 Any questions regarding SIU can be sent to SIU Manager email: angelica.howard@dbhds.virginia.gov

Questions





Incident Management Unit (IMU)Training



- This is the last training IMU will be conducting this year.
- All trainings for the entire year of 2021 will be placed on Eventbrite in December 2020. An email notification will go out from Constant Contact when registration is available.
- All trainings are posted on the DBHDS Office of Licensing homepage under Serious Incidents.

DELTA- Access via Internet Explorer



The DELTA portal works best on the **Internet Explorer** browser.

When entering a serious incident on the Office of Licensing side of CHRIS, be sure to utilize the Internet Explorer browser.

**Other browsers (Chrome, Edge, Safari, Foxfire, etc.) will not always retrieve the necessary information about your agency (i.e. locations, FIPs, etc.). These browsers might prevent you from entering in an incident within the required time-frame.

DELTA Access and Roles



IMU has received phone calls and emails from providers

- not knowing which DELTA role they have,
- how to reset passwords,
- and how to request a new user to have access to CHRIS.

IMU will be going over and demonstrating;

- how to recognize which DELTA role you have and
- the authority and capability of each DELTA Role.

**Additional training covering DELTA roles can be found in

- "Help" on DELTA https://delta.dbhds.virginia.gov/DELTA/Help.aspx
- Office of Licensing homepage under Serious Incident training http://www.dbhds.virginia.gov/quality-management/Office-of-Licensing

DELTA Access and Roles



The two DELTA roles that can request and revoke DELTA accounts are:

- DELTA Supervisor
- DELTA Security Officer

The two DELTA roles that can reset passwords are:

- DELTA Security Officer
- DELTA Local Administrator

Requesting DELTA Roles



- Open the DELTA-Production Account Request Form. This is a Microsoft Word document (those agencies using MS Word 2003 will use the ".doc" version and those using Word 2007 or newer will use the ".docx" version).
- Fill in all required fields. To create a DELTA Supervisor account, select Supervisor for Location Role. All required fields are marked with an asterisk.
- Save the form. Send as an email attachment to DBHDS at the address at the top of the form.
- 4. Repeat these steps to create a DELTA Security
 Officer, selecting Security Officer for Location
 Role; and repeat again selecting Local Admin for
 the Location Role. You may select more than one application for the Location Role for your
 Local Admin. NOTE: If a single person is filling multiple DELTA roles, the form may be filled out
 once and all appropriate DELTA Location Roles should be checked.



DELTA-Production Account Request Form

Submit completed form via smail to: deltaprod@dbhds.virginia.pav

DELTA-PROD USER INFORMATION					
tocation" (Agency Name)	Frevider Δ				
NP(/API* (number)	9076				
Erreit*	Enithfairfac55@gmail.com				
First Name*	Jahn				
Middle Name	Club have to extentent.				
Lect Name*	Swith				
Position/Title	Click here to enter text.				
Mailing Address	Clab have to extentent.				
City, State, Zip	Olida here to enter text., Olida here to enter text. Olida here to enter				
Phone Number*	705-555-1235				
Fex Number	Click here to enter text.				
Location Role*	P Supervisor				

DELTA Menu



- The DELTA Roles in determined by the information contain in the menu.
- The DELTA Menu is located on the left corner of the DELTA screen and has the word "My Account".
- The DELTA Menu supplies you with all the information you need to request a role and grant access.



DELTA Roles: Users



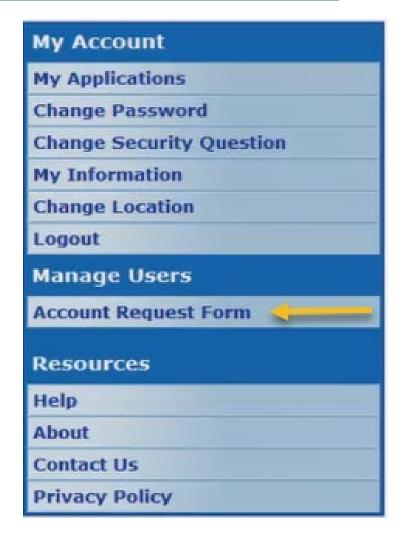
- The DELTA User Role does not have "Manage Users" in the menu.
- DELTA User can only submit incidents into CHRIS.

My Account				
My Applications				
Change Password				
Change Security Question				
My Information				
Change Location				
Logout				
Resources				
Help				
About				
Contact Us				
Privacy Policy				

DELTA Roles: Supervisor



- DELTA Supervisor's menu only has one item under "Manage Users"
 - Account Request Form
- To create a user's account, the DELTA Supervisor will click on Account Request
 Form under the "Manage Users" menu.
- DELTA Supervisor can
 - Request a user account and
 - Revoke a user's account.



DELTA Roles: Supervisor



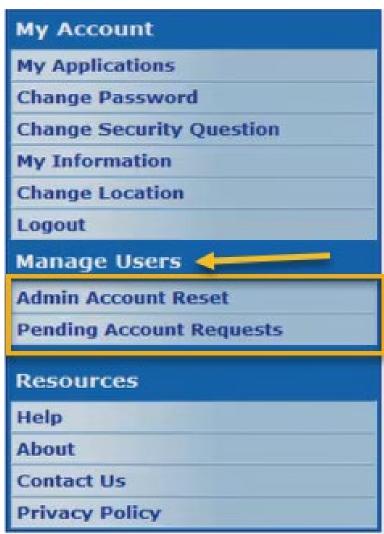
DELTA Supervisor Role Demonstration



DELTA Roles: Security Officer



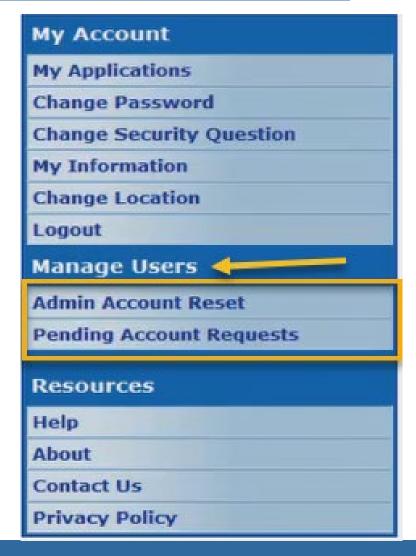
- DELTA Security Officer has two items under their "Manage Users"
 - Admin Account Reset
 - Pending Account Request
- The Security Officer will log in to DELTA and click **Pending Account Requests** under the **Manage Users** menu.
- DELTA Security Officer can
 - Request a user's account,
 - Approve a user's access to CHRIS,
 - Revoke a user's account, and
 - Reset a user's password



DELTA Roles: Security Officer



DELTA Security Officer Role Demonstration



DELTA Roles: Local Administrator



Delta Local Administrator is the last step to approve the request for a user's permission to a DBHDS application. Each provider must have a minimum of two Local Administrators.

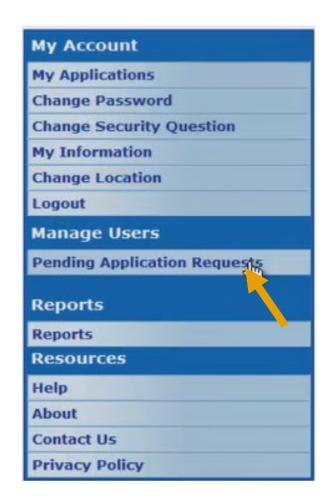
The DELTA Local Administrator has four functions:

- Process pending accounts application approval (They grant employees access to the application (CHRIS or ITOTS)).
- Reset password
- Request updates and changes to existing account at their location
- Approve or Deny access to the application

DELTA Roles: Local Administrator



- DELTA Local Administrator's Role only has one item under "Manage Users"
 - Pending Application Requests
- To approve a user's application account, the DELTA Local Administrator will click on **Pending** Application Request under the Manage Users menu.
- DELTA Local Administrator can
 - Reset passwords,
 - Process pending accounts and more



DELTA Roles: Local Administrator



DELTA Local Administrator's Role Demonstration



DELTA: Forgot Passwords



Users can reset their own password by using the Forgot Password button on the DELTA login screen.



- 1. Click Forgot Password
- 2. Enter your Username
- 3. Click Submit
- Your security question will be displayed on the screen.
- You must answer the question correctly for your password to be reset. Click Submit for a temporary password to be created.



As stated above, one of the tasks completed by the **DELTA Security Officer and Local Administrator** is to reset passwords when:

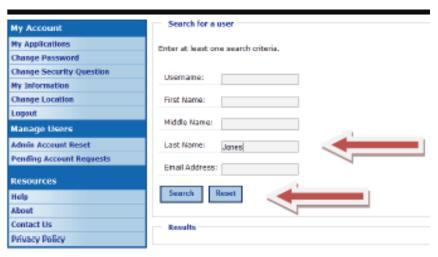
- a user has forgotten their username and/or password or,
- a user has incorrectly entered his or her password three times and has been locked out of his or her account.



To reset a password:

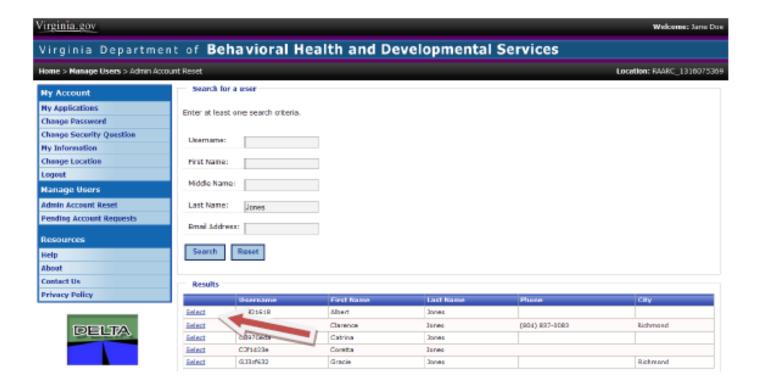
- 1. Log into DELTA
- Select Admin
 Account Reset from the Manage Users menu.
- 3. The **Search for a User** screen is displayed. Enter at least one search criteria. Select **Search.**







The results are displayed at the bottom of the screen. Click **Select** next to the Username to choose the correct account.





The **Administrative Account Reset** screen is displayed with the user's account information listed. Click **Reset Password** and a new password will be created. The user will receive an email notification of the new password.

•

My Account	Administrative Account Reset		
My Applications	User to reset: AJ521618		
Change Password	Name: Albert Jones		
Change Security Question	Email: AllonesFairfaxosb@gmail.com		
My Information	Position		
Change Location	Address:		
Logout	Phone Number:		
Manage Users			
Admin Account Reset	Fax Number:		
Pending Account Requests	Last Activity: 9/26/2012 5:08:40 PM GMT		
Resources	Reset Password Cancel Return to Search		
Help			
About			
Contact Us			
Privacy Policy			



Resetting Password Demonstration

My Account	Administrative Account Reset
My Applications	User to reset: AJ521518
Change Password	Name: Albert Jones
Change Security Question	Email: AJonesFairfaxcsb@gmail.com
My Information	Position:
Change Location	Address:
Logout	Phone Number:
Manage Users	
Admin Account Reset	Fact Number:
Pending Account Requests	Last Activity: 9/26/2012 5:08:40 PM GMT
Resources	Reset Password Cancel Return to Search
Help	
About	
Contact Us	
Priwacy Policy	



Any incident not submitted within the required time-frame beginning from October 1, 2020 going forward will be counted toward the progressive citation process.

First Citation: When issued to a licensed service related to the reporting of serious incidents, deaths, or allegations of abuse or neglect within a one-year period, the provider will be issued a licensing report citing:

 12VAC35-105-160.D.2. or 12VAC35-46-1070.C. (children's residential regulations), as applicable, for noncompliance with reporting requirements.



Second Citation: When issued to a licensed service for their second late reporting violation within a one-year period, the provider will be issued a licensing report

citing:

- 12VAC35-105-160.D.2. or 12VAC35-46-1070.C., as applicable, for systemic noncompliance with reporting requirements; AND
- 12VAC35-105-170.G. or 12VAC35-46-80.B., if it is determined that the repeat violation was due to the provider's failure to implement a previously pledged corrective action plan.



The provider will not receive a citation for 12VAC35-105-170.G. or 12VAC35-46-80.B. if it is determined that the repeat violation was not due to the provider's failure to implement previously pledged CAPs.

However, the department will verify that the provider is monitoring implementation and effectiveness of approved corrective actions as part of their quality improvement program per 12VAC35-105-170.H.



Third Citation: When issued to a licensed service for their third late reporting violation in a one-year period, the provider will be issued a licensing report citing:

- 12VAC35-105-160.D.2. or 12VAC35-46-1070.C., as applicable, for systemic noncompliance with reporting requirements; AND
- 12VAC35-105-170.G. or 12VAC35-46-80.B., if it is determined that the repeat violation was due to the provider's failure to implement a previously pledged corrective action plan.



The provider will not receive a citation for 12VAC35-105-170.G. or 12VAC35-46-80.B. if it is determined that the repeat violation was not due to the provider's failure to implement previously pledged corrective action plans.

However, the department will verify that the provider is monitoring implementation and effectiveness of approved corrective actions as part of their quality improvement program per 12VAC35-105-170.H.

Progressive Citations



In addition, the department may mandate serious incident reporting training for the provider's employees, with costs borne by the provider, when it is determined that a lack of training caused or contributed to the licensing or human rights violations pursuant to Code of Virginia § 37.2-419 and 12VAC35-105-100.A. or 12VAC35-46-60.G.;

or

require the provider to submit a signed attestation verifying that the regulations and guidance pertaining to serious incident reporting were reviewed.

Progressive Citations



Fourth Citation (and more):

When issued to a licensed service related to their fourth late reporting violation within a one-year period, in addition to the steps enumerated above for the third citation, the Office of Licensing may take additional steps as authorized by the Code of Virginia.

When determining whether additional steps are warranted, the Office of Licensing will consider the number of past violations, the severity of the regulatory infraction(s), the provider's size, number of locations, and service type, and the number of individuals that the provider serves.

Progressive Citations



Additional steps may include any of the following:

- Issue sanctions enumerated in § 37.2-419 of the Code of Virginia (Code of Virginia § 37.2-419 and 12VAC35-105-100 and 12VAC35-46-60.G.);
- Deny an application for a license or license renewal (Code of Virginia § 37.2-418 and 12VAC35-105-110 or 12VAC35-46-120);
- Issue a provisional license (Code of Virginia § 37.2-415 and 12VAC35-105-50A.2. or 12VAC35-46-90.B.); or
- Revoke or suspend a full, conditional, or provisional license, due to the provider's repeated failure to submit or implement an adequate CAP (Code of Virginia § 37.2-418 and 12VAC35-105-110 or 12VAC35-46-1630).

Non-Approved methods of reporting incidents

- Please note that these methods of reporting an incident in place of submitting an incident report into the CHRIS system will be deemed as non-compliant and the provider will be cited:
 - Reporting a serious incident to the provider's licensing specialist via e-mail or phone call;
 - Reporting a serious incident to the provider's human rights advocate via e-mail or phone call;
 - Reporting the incident to any other representative of DBHDS by any means other than the serious incident reporting function in CHRIS; and
 - Reporting an allegation of abuse or neglect that also meets the criteria for a Level II or Level III serious incident only on the DBHDS Office of Human Rights (OHR) side of CHRIS instead of reporting the incident on both the OHR and the DBHDS Office of Licensing sides of CHRIS.

Care Concern Report



Below is a snap shot of the Individual Care Concern Report.

 Each LSA action creates a new row in the report. As you can see below for CHRIS # 20209999 has three LSA actions.

State	Zip	Death Serious Injury Ctr ID	DOB	Gender	Medicaid Num	Death Incident Date	Discovery Date	Enter Date	LSA	Remarks	Waiver Type
VA	24343	20209999	5/25/1949	M	123456789121	9/16/2020	9/16/2020	9/17/2020	Individual Care Concern	IMS will refer to the LS and the	Community Living waiver
VA	24343	20209999	5/25/1949	M	123456789121	9/16/2020	9/16/2020	9/17/2020	Referred	IMS reviewed incident and	Community Living waiver
VA	24343	20209999	5/25/1949	M	123456789121	9/16/2020	9/16/2020	9/17/2020	Conducted independent	LS currently have an	Community Living waiver
VA	23103	20200514	9/26/2001	М	041000405017	9/17/2020	9/17/2020	9/18/2020		This incident is	Community
VA	23103	20200514	9/26/2001	М	041000405017	9/17/2020	9/17/2020	9/18/2020	Conducted	Per LS: The LS	Community
VA	23229	20200519	6/15/1998	М	975008215945	9/22/2020	9/22/2020	9/23/2020	Individual Care	This incident is	Community
VA	23229	20200519	6/15/1998	M	975008215945	9/22/2020	9/22/2020	9/23/2020		Per OHR: No	Community
VA	23229	20200519	6/15/1998	M	975008215945	9/22/2020	9/22/2020	9/23/2020		Per LS: The LS	Community
VA	23229	20200522	6/15/1998	М	975008215945	9/25/2020	9/25/2020	9/26/2020		This incident is	Community
	VA VA VA VA VA VA VA VA VA	VA 24343 VA 24343 VA 24343 VA 23103 VA 23103 VA 23229 VA 23229 VA 23229	Injury Ctr ID	Injury Ctr ID VA 24343 20209999 5/25/1949 VA 24343 20209999 5/25/1949 VA 24343 20209999 5/25/1949 VA 23103 20200514 9/26/2001 VA 23103 20200514 9/26/2001 VA 23229 20200519 6/15/1998 VA 23229 20200519 6/15/1998 VA 23229 20200519 6/15/1998	Injury Ctr ID	Injury Ctr ID	Injury Ctr ID	Injury Ctr ID	Injury Ctr ID	Injury Ctr ID	Injury Ctr ID

CHRIS Changes



OLD	NEW				
Level II Incident					
AN INDIVIDUAL WHO IS MISSING	An individual who is or was missing				
AN UNPLANNED EMERGENCY ROOM OR URGENT CARE FACILITY VISIT, WHEN NOT USED IN LIEU OF PRIMARY CARE	An emergency room visit				
AN UNPLANNED PSYCHIATRIC ADMISSION	An unplanned psychiatric or unplanned medical hospital admission of an individual receiving services other than licensed				
AN UNPLANNED MEDICAL HOSPITAL ADMISSION	emergency services, except that a psychiatric admission in accordance with the individual's Wellness Recovery Action Plan shall not constitute an unplanned admission for the purposes of this chapter;				

CHRIS Changes



OLD	NEW
Level III Inciden	t
A SERIOUS INJURY OF AN INDIVIDUAL THAT RESULTS IN, OR LIKELY WILL RESULT IN, PERMANENT PHYSICAL OR PSYCHOLOGICAL IMPAIRMENT - Serious Injury - Any injury resulting in bodily hurt, damage, harm, or loss that requires medical attention by a licensed physician, doctor of osteopathic medicine, physician assistant, or nurse practitioner. Permanent Physical or Psychological Impairment - A physical or mental impairment is a disability that substantially limits one or more major life	Removed
activity. Basically defined, impairment is when a person's physical or psychological health, structure, and/or function is changed or damaged.	

CHRIS Changes



OLD	NEW				
CHRIS Field					
*Describe the consequences and risk of harm:	Identify solutions to mitigate incident reoccurrence and future risk of harm.				

IMU Survey

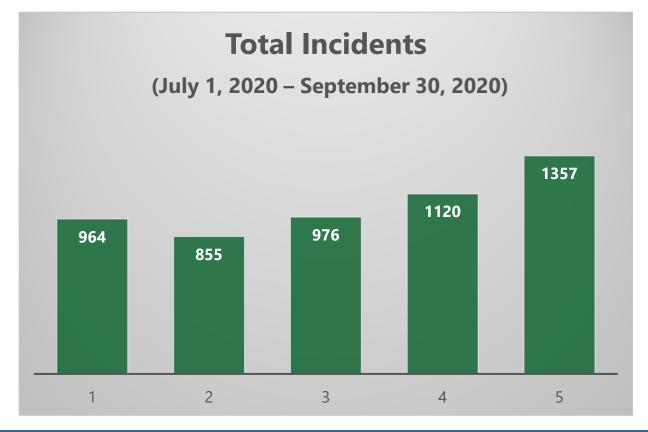


A survey will be sent out to all providers. The survey is to gain your thoughts on the incident management process. The survey should only take 5 minutes to complete.

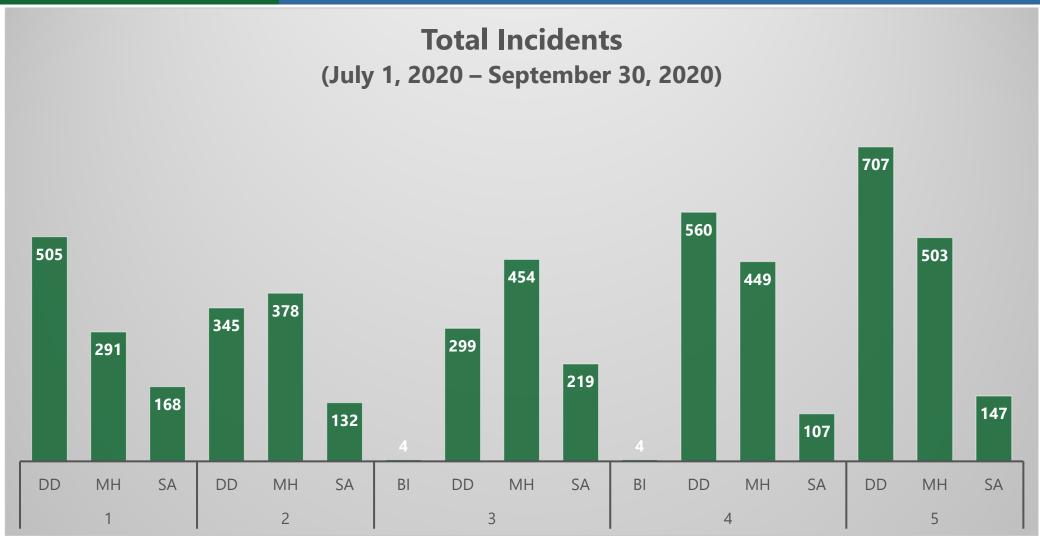
The results from the survey will be covered in IMU first training in 2021.



The data which is being displayed covers the time-frame of July 1, 2020 to September 30, 2020.

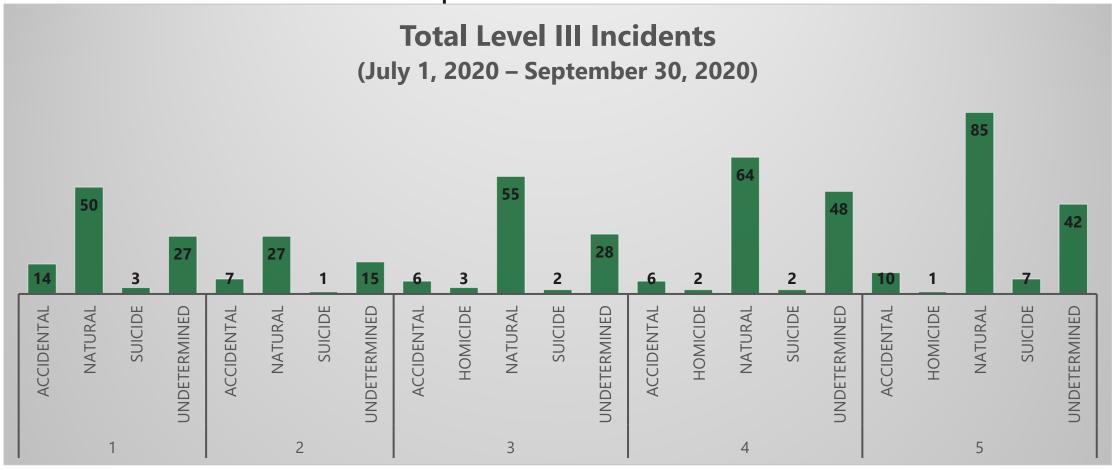






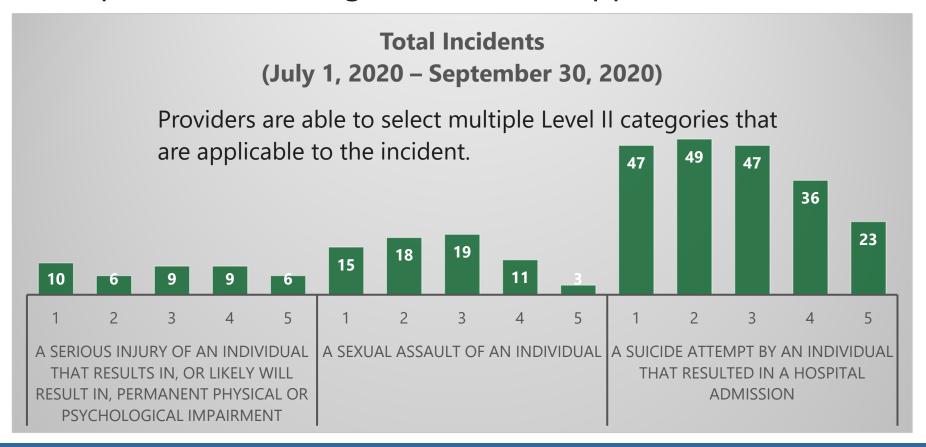


There was a total of 505 reported Deaths.



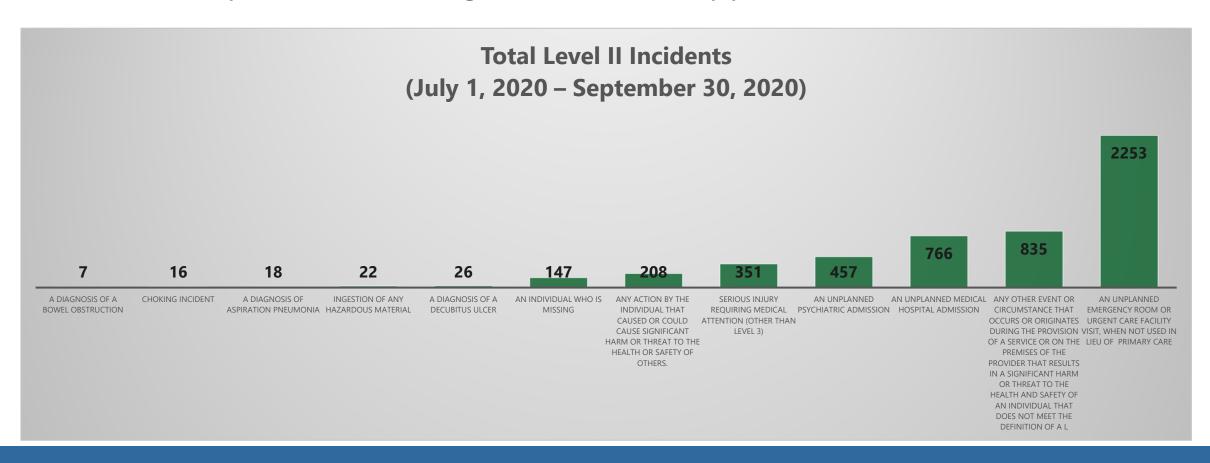


There was a total of 308 reported Level III Incidents. Providers are able to select multiple Level III categories that are applicable to the incident.





There was a total of 5,106 Level II incidents reported. Providers are able to select multiple Level II categories that are applicable to the incident.



Questions





Thank you