



NYS Office For People With Developmental Disabilities

Putting People First

OPWDD

Incident Management Updates

January 13, 2015

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Incident Management Unit



Please submit questions during the
presentation to
Debra.Whiting@opwdd.ny.gov



Incident Management Updates

- 14 NYCRR Part 624 requires immediate notification to Office for People With Developmental Disabilities (OPWDD) of Reportable Incidents and Serious Notable Occurrences
- Notification must be made to the OPWDD Incident Management Unit (IMU) by all providers



Incident Management Updates

- For Reportable Incidents reported to the NYS Justice Center, OPWDD must also be notified by the provider agency



Notification to OPWDD

- During regular business hours providers must contact their OPWDD IMU Incident Compliance Officer. If not available, providers should call the main OPWDD IMU phone number at (518) 473-7032 for assistance.
- For other than regular business hours providers must contact the OPWDD IMU off-hours notification line (toll free) at (888) 479-6763



Notification to OPWDD

- Entry of initial information into the OPWDD Incident Report and Management Application (IRMA) is not sufficient to satisfy this requirement.



Incident Management Updates

- Notification to local law enforcement is required for all Reportable Incidents of Physical and Sexual Abuse



Reporting to Law Enforcement

- 14 NYCRR Part 624.6(d)(2), requires all possible crimes against an individual by a custodian be reported to appropriate law enforcement.
- All allegations of physical and sexual abuse are considered possible crimes and must be reported to local law enforcement.



Reporting to Law Enforcement

- Reporting to law enforcement is not limited to physical and sexual abuse, other types of incidents may also be possible crimes against an individual by a custodian and therefore must be reported to law enforcement as well.



New Requirement for CAPs

- Effective for Reportable Incidents of Abuse and Neglect which occurred on or after January 1, 2015
- All programs certified or operated by OPWDD



New Requirement for CAPs

- OPWDD is implementing a process for the submission of CAPs which will simplify submissions and avoid problems with email, spam filters and other technology issues we have encountered in the past



New Requirement for CAPs

- For **all** corrective actions which have been identified by-
 - The agency investigator
 - OPWDD Office of Investigations and Internal Affairs
 - Agency Incident Review Committee
 - NYS Justice Center



Incident Management Updates

- OPWDD requires that the Corrective Action Plan (CAP) be submitted to OPWDD's Incident Management Unit (IMU) via the Incident Report Management Application (IRMA)
- OPWDD has added a file upload functionality to IRMA to automate submission of CAPs.
- This functionality will be available in IRMA on January 15, 2015



- OPWDD will be working to further automate the CAPs process in the near future to simplify the process while being responsive to the requirements of the NYS Justice Center.



IRMA File Upload

NYS Office for People With Developmental Disabilities

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Incident Details - View

Master Incident Number: 2015-000877 (0 documents) [VPCR Info](#)

Investigation delegated to: **OPWDD**

0235 - BROOKLYN DDSO
Brooklyn BDSO
[View Entire Incident](#)
[Summary of Incidents](#)

Details	Individual	Initial Findings	Physical Findings	Report of Death	Notifications	Investigation	Corrective Measures	SRC Minutes
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IRMA File Upload

NYS - Office for People With Developmental Disabilities

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Incident Documents - Upload

Master Incident Number: [2015-000877](#) [VPCR Info](#)

Investigation delegated to: OPWDD

0235 - BROOKLYN DDSO - Brooklyn BDSO

[View Entire Incident](#)

[Summary of Incidents](#)

Notifications

Investigation

Corrective Actions

Other

Please scan for viruses before uploading and downloading a document.

Document Name	Uploaded User/Date	Action
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No records found.



IRMA File Upload Tabs

- Notifications
- Investigations
- Corrective Actions
- Other

If an incorrect file is uploaded into an incident, the agencies IMU Incident Compliance Officer is able to remove the file for the agency



OPWDD Form 161

Corrective Action Plan Submission Form

For CAPs submitted for abuse/neglect, the record must contain BOTH of the following components:

- The fully completed OPWDD 161-Corrective Action Plan Submission Form (found on the OPWDD website); and
- Documentation which confirms each corrective action was implemented or addressed.



Examples of documentation of Corrective Actions

- Copies of revised plans
- Copies of training records
- Copies of new agency policies and procedures
- Copies of memorandums

- You must create a PDF to upload into IRMA



OPWDD Form 161

- The purpose of the form is to provide critical information for the Justice Center to carry out its statutory responsibilities and streamline the process by decreasing the number of follow-up communications and delays.



OPWDD Form 161

- One of the items required for completion of the OPWDD Form 161 is the selection of Areas of Improvement to correspond with corrective actions. For your convenience, the list of definitions for these areas is on the Form 161. All appropriate categories must be selected by the agency when submitting a corrective action plan.



Corrective Action Plans

- Development of the CAP must be completed within 60 days of the date of the Letter of Determination from the Justice Center
- Most corrective actions can be completed within 60 days
- If a corrective action continues beyond 60 days, provide documentation of the implementation and then completion of the action (example: increased supervision of staff for 3 months)



Corrective Action Plans

- If there is a change to a CAP, please contact your IMU Compliance Officer to make them aware you will be uploading an addendum to the corrective action plan



Form OPWDD 161



NYS Office for People with Developmental Disabilities
Corrective Action Plan (CAP) Submission Form

Form OPWDD 161
(12/3/2014)

Master Incident Number:	<input type="text"/>	JC Case Serial Number: (55#)	<input type="text"/>
VPCR Incident Serial Number: (101- or 301-)	<input type="text"/>	Date Prepared by Agency:	<input type="text"/>

*Date of Letter of Determination from the Justice Center

Please Note: CAPS are due to OPWDD within 60 days of this date*

All CAPs must be approved by the Agency Director/CEO or Designee prior to submission.

Agency Contact Information

Agency Name:

Agency Address:

Name:

Phone Number:

Email Address:

Was this a category 3/4 substantiated incident?

Yes No

Is this a State Operated Facility or Program?

Yes No



Form OPWDD 161

List All Corrective Actions Recommended This must include the Agency, OPWDD, and Justice Center Recommendations	Agency Response	Date Implemented
Documentation of implementation of each Corrective Action <u>must be attached</u> to this form when submitted to OPWDD and corresponding attachments must be labeled (example: CA-1, CA-2).		
1.		CA-1
		CA-

Use Form 161a for additional Corrective Actions

Check all appropriate boxes using the attached definitions of Areas of Concern .

- Program/Services/Treatment
- Policies/Procedures
- Incident Management
- Safety/Basic Needs/Individual Rights
- Physical Plant/Environmental
- Personnel/Training
- Documentation
- Other



Areas of Concern

Program/Services/Treatment	Action(s) recommended to establish additional services or treatment and/or to improve services to meet an individual receiving services needs/wishes Action(s) recommended to meet standards set by treatment/service plan, regulations and/or facility policies.
Policies/Procedures	Action(s) recommended to implement or improve policy/procedure in order to meet regulatory requirements.
Incident Management	Actions recommended to improve the agency/ies incident management practices. This may include internal and/or external reporting, investigation procedures or reports and/or incident review activities.



Areas of Concern

Safety/Basic Needs/Individual Rights	Action(s) recommended to make corrections to meet basic needs such as clothing, food, shelter, protection of individuals rights guaranteed by law/regulation.
Physical Plant/Environmental	Correction of identified physical plant/environmental issue(s) for improvement of sanitation and/or safety issues including (but not limited to) fire safety risks recommended.
Personnel/Training	Action(s) recommended to implement or improve administrative oversight of staff supervision, staffing patterns, and/or staff training to meet regulatory requirements and facility policies, and Awareness Training Feedback Process (state operations only).



Areas of Concern

Documentation	Action(s) recommended to address missing or incomplete documentation.
Other	To be selected for issues of concern which are not included in other categories.



Bureau of Program Certification

- Surveyors have access to IRMA
- Surveyors will review the effectiveness of corrective actions when completing survey activity



CAPs-Incidents prior to January 1, 2015

- For CAPs for all incidents prior to January 1, 2015 agencies are to maintain documentation of all corrective actions on site



NYS Office For People With Developmental Disabilities

Putting People First

NYS Justice Center Web Submission of Investigation Reports (WSIR) Application



- Submission of Reportable Abuse/Neglect investigative records for programs certified or operated by OPWDD
- All submissions of Investigative Records must be completed via the WSIR. No records will be accepted via email by OPWDD



Sign in to My NY.gov Online Services

- Username and Password are required.

A screenshot of the 'My NY.gov Online Services' sign-in page. The page has a dark blue header with a white outline of the state of New York and the text 'My NY.gov Online Services'. Below the header is a white box with a dark blue header containing the text 'NY.gov ID'. The sign-in form includes a 'Username:' field with the text 'investigator1', a 'Password:' field with masked characters, a 'Sign In' button, and links for 'Forgot your Username or Password?' and 'NY.gov ID - Terms of Service'.



OPWDD is also providing a link to the WSIR in IRMA

NYS Office for People with Developmental Disabilities

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Involved Persons - Edit

Master Incident Number: 2014-012345 (2 individuals) (0 documents)
Investigation delegated to: OPWDD

Statewide Incident Number(s):
147 148 Doe, Jane A. 2014-012345-01 (RA - Psychological
147 148 Jones, John B. 2014-012345-02 (RA - Obstruction of

Justice Center Links ✕

- [Justice Center Incident](#)
- [VPCR Info](#)
- [JC Web Submission Form](#)

DEVELOPMENTAL CENTER (DC)
Central New York DDSO
[View Entire Incident](#)
[Summary of Incidents](#)

[Details](#) | [Individual](#) | [Initial Findings](#) | [Date of Death](#) | [Notifications](#) | [Investigation](#) | [Corrective Measures](#) | [SRC Minutes](#)

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Please update Justice Center Sub type to IRMA Sub type.

VPCR Justice Center Web Submission Investigative Report

Type	Sub Type	Name	DOB	Address	Remove All
Target of Allegation of Abuse	Justice Center Type				Edit Remove
Target of Allegation of Abuse VPCR	Staff - contracted	Doe, Jane A.	01/05/2015	123 Main St NY, New York	Edit
Target of Allegation of Abuse VPCR	Staff - contracted	Jones, John B.	01/01/2015	123 Main St NY, New York	Edit
Target of Allegation of Abuse	Staff - contracted	Smith, Joe C.	01/06/2015	456 Broadway NY, New York	Edit Remove
Target of Allegation of Abuse	Staff - agency employee	Unknown, Unknown			Edit Remove

Required Fields

Type *Sub Type

Is there a staff member whose name is unknown? Yes

First Name M.I. *Last Name



Additional Information about the WSIR is available on the Justice Center Website

NYS JUSTICE CENTER For the Protection of People with Special Needs **Report Abuse 1-855-373-2122**

Home About Contact Us FAQs Forms Incident Reporting Resources Pre-Employment

Web Submission of Investigation Report (WSIR) Application

Starting on January 15, 2015, initially for service providers affiliated with the NYS Office for People with Developmental Disabilities (OPWDD) and the NYS Office of Mental Health (OMH), submitting investigation information is accomplished online. Investigation details are entered via the Web Submission of Investigation Report (WSIR) application, an internet-accessible easily navigable online form. The WSIR enables service provider staff to electronically submit investigation details and eliminate paper form submission. WSIR automatically transfers investigation information directly into the VPCR.

Account Requests - Information needed to set up a Personal NY.gov ID for accessing the WSIR application.
 NY.gov Account Instructions
 Affidavit of Identity - for non-NYS residents

Quick Reference - overview guides on using the WSIR application.
 WSIR Quick Reference
 WSIR 18MA Quick Reference Card - for OPWDD Provider Investigators

Training Videos - Step by step instructions on completing each section of the WSIR application.
 WSIR Case Authorization Login
 WSIR Section 1 Case Summary
 WSIR Section 2 Contacts
 WSIR Section 3 Offenses
 WSIR Section 4 Attachments
 WSIR Section 5 Review and Submit

User Manuals - detailed guide on using the WSIR application
 WSIR Provider Investigator Reference Manual
 WSIR Provider Investigators Reference Guide

Communications
 News

NYS Justice Center for the Protection of People with Special Needs
 181 Delaware Avenue
 Solon, New York 12056
 1-518-549-0200

Justice Center
 Contact Us FAQs Freedom of Information Act (FOIA) Language Access Read E-News

Information & Referral
 Call 1-800-624-4143
 TTY Dial 7-1-1 for the WSIR Policy and give the operator 1-800-624-4143
 8:30am - 4:30pm
 - Learn More -

About the Site
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 Disclaimer
 Privacy Information
 Sitemap



- Additional Information about the WSIR is available on the Justice Center Website

<http://www.justicecenter.ny.gov/wsir-documentation>



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[WSIR Section 3 Offenses](#)

[WSIR Section 4 Attachments](#)

[WSIR Section 5 Review and Submit](#)

User Manuals - detailed guide on using the WSIR application

[WSIR Provider Investigator Reference Manual](#)

[WSIR Provider Investigators Reference Guide](#)

Communications

[Memo](#)



Please remember that

- Investigative records for abuse/neglect must be completed timely and sent to the Justice Center via the WSIR
- Cases of abuse/neglect in programs certified and operated by OPWDD are not to be closed until the Letter of Determination is received from the Office of General Counsel at the Justice Center



Reportable Significant Incidents

- Investigative records are not submitted to the Justice Center
- Agencies must complete and review significant incidents and close in a timely manner.
- Closure of significant incidents in IRMA sends information to the Justice Center. This is an automated process



Questions?