



December 15, 2014

Dear Colleagues:

The purpose of this letter is to provide you with updated information regarding OMH incident management resources and an upcoming NYS Justice Center initiative. As a follow-up to the Fall 2014 regional “CAPS and REGS” trainings, the OMH website has been updated to include videos of these presentations as well as the OMH Incident Management Guide and other related materials.

PART 524 UPDATES

- The list of “Significant Incidents” reportable to both OMH and the Justice Center has been updated to include only incidents that ***occur on program premises or when a vulnerable person is under the actual or intended supervision of the program.*** As a result of this change, some incidents that previously had to be reported are no longer reportable to OMH and the Justice Center ***if they occur in the community when a vulnerable person is not under the actual or intended supervision of the program.***
- The list of incidents that are reportable **ONLY** to OMH pursuant to New York State Mental Hygiene Law Section 29.29 was refined and now includes Serious Crimes in the Community; Missing Subject of AOT Order; and Off-Premises Suicide Attempts (See Link Below).
The current Part 524 regulations can also be found on the OMH website at the following link
http://www.omh.ny.gov/omhweb/policy_and_regulations/emergency/part-501-524-550.pdf

CAP IMPLEMENTATION

OMH has developed a process for documenting Corrective Action Plans (CAPS) for **allegations of abuse and neglect**, which meets the requirements of the NYS Justice Center. The main points of the CAP process are:

- Potential corrective actions should be evaluated during the course of an investigation and then discussed further at IRC meetings. Any identified corrective actions and implementation information should be documented in the Follow-Up Details I and II section of NIMRS.
- Upon receipt of the “Notice to Provider of Determination” letter from the NYS Justice Center, the original corrective action plan should be reviewed to ensure that the corrective actions were adequate and implemented.
- Within 90 days of the date of the “Notice to Provider of Determination” letter, providers must submit a CAP E-Form to OMH Central Office. OMH Central Office will review the form, the CAP in NIMRS and ultimately close the CAP in the NYS Justice Center’s system.
- OMH Central Office will be e-mailing all providers with a list of cases that have been closed and a determination provided by the Justice Center (2013-present). These cases will have to be assessed and a CAP documented in NIMRS if needed.





All resources distributed during the Fall trainings, including how to complete a CAP using a CAP E-Form, as well as videos of those presentations, are now available on the OMH web-site. They can be found under "Training Aids" at following link:

<http://www.omh.ny.gov/omhweb/dqm/jc/index.html>

WSIR IMPLEMENTATION

Effective January 15th 2015, the NYS Justice Center will require that all investigative material relating to **allegations of abuse and neglect** be submitted electronically, using a new internet-accessible Web Submission of Investigation Report (WSIR) application. With the introduction of this application, it is important to note the following:

- NIMRS will continue to be OMH'S primary incident management system. The WSIR is not replacing any existing functionality in NIMRS.
- The WSIR will be used to submit all investigation materials, including evidentiary documentation, directly to OMH and the NYS Justice Center.
- The "OMH Abuse/Neglect Investigation Cover Page" will no longer be accepted, as all required demographic information and investigative material must be entered into the WSIR directly.
- The WSIR will only function for the initial submission of investigation material. Any materials that need to be submitted following the initial WSIR submission must be sent to OMH via the current encrypted e-mail process.
- A NY.GOV ID will be required to submit investigations using the WSIR Application. NIMRS users will soon be able to set up their NY.GOV ID when logging into NIMRS.

Additional information regarding WSIR implementation will be distributed by the Justice Center in the coming weeks.

Thank you for your attention to this information. Please contact the Bureau of Quality Improvement at (518) 474-3619 and ask to speak to your regional Clinical Risk Manager if you have any questions related to the content of this letter.

Sincerely,

Marcia L. Fazio

Deputy Commissioner

NYS OMH Division of Quality Management

