



NORTH CAROLINA INCIDENT RESPONSE IMPROVEMENT SYSTEM

Department of Health and Human Services
Division of Mental Health, Developmental Disabilities, and Substance Abuse Services

PROVIDER INFORMATION

Corporation: _____

NAME

Name and Title of Person completing this form: _____

TITLE

Local Facility/Unit/Group Home

NPI Number: _____

Name: _____

License Number: _____

Director: _____

Physical Address: _____

Mailing Address: _____

City: _____

Zip Code: _____

Phone Number: () - _____

Fax Number: () - _____

E mail address: _____

County where services provided: _____

Host LME: _____

County of Residence: _____

Home LME: _____

 **INCIDENT INFORMATION**

Date and Location

Date of Incident: _____ Unable to determine at this time

Time of Incident: _____

Date Provider Learned of Incident: _____

Was the consumer under the care of the reporting provider? Yes No N/A

Was a Licensed Residential Service being provided? Yes No N/A

Location of the Incident:

- Consumer's Home
- Friend's home
- Group home/Supported living facility
- Home of Family Member
- Hospital
- School
- Service facility
- State Facility
- Work
- Unknown
- Other
- Community

Explain 'Other' in Comments _____

Other People Involved:

Address where Incident Occurred:	<input type="radio"/> Address Unknown		
Address1:	_____		
Address2:	_____		
City:	_____		
State:	_____	Zip:	_____
Location:	_____		

LME Client Record Number: _____

Consumer's Date of Birth: _____ Date of Birth unknown

Gender: Male Female

Height: _____ ft _____ in Unknown

Weight: _____ lbs Unknown

Dates of Last 2 Medical Exams: _____ None _____ None

Diagnoses: Enter up to 5 different diagnoses starting with the primary diagnosis.

Current Medications:

Medical Diagnosis:

Does consumer have TBI (Traumatic Brain Injury)? Yes No Unknown

Is consumer receiving ICF-MR/DD services? Yes No Unknown

Does consumer receive CAP-MR/DD funding? Yes No Unknown

Did the consumer receive mental health services? If so, make the appropriate selections from those available below.

Yes No

Licensed Residential Services

- .4300 - Therapeutic Community
- H0019 (.1700) - Child and Adolescent Residential Treatment - Levels III [Behavioral Health - Long Term Residential
- H0019 (.1800) - Child and Adolescent Residential Treatment - Levels IV [Behavioral Health - Long Term Residential
- H2020 (.1300) - Child & Adolescent Residential Treatment - Level II Group - Program Type
- S5145 - Child and Adolescent Residential Treatment - Level II - Family Type (Licensed by DSS- 131D)
- Y 2347/ H0046 - Therapeutic Foster Care (licensed by DSS)
- YA230 (.1900) - Psychiatric Residential Treatment Facility [PRTF]
- YA241 (.5200) - Wilderness Camp
- YM725,811-816,YP710, - IPRS Only Licensed Supervised Living (.5600)
- YM725,811-816,YP710,YP720 - Supervised Living Alternative Family Living (.5600F)
- YM725,811-816,YP710,YP720 - Supervised Living Adult MH (.5600A)
- YM755, 740, 750 - IPRS Only Licensed Family Living (.5600)
- YP485 (.5000) - Facility Based Crisis Program - Non-Medicaid
- YP760, 770, 780 - IPRS Only Licensed Group Living (.5600)
- YP820 (.6000) - Inpatient Hospitalization

Licensed Services

- H0035 (.1100) - Partial Hospitalization - Children and Adults
- H0035 (.5000) - Professional Treatment Services In Facility-Based Crisis Program
- H2012 (.1400) - Child and Adolescent Day Treatment
- H2017 (.1200) - Psychosocial Rehabilitation [PSR]
- YA125 (.5100) - Hourly Respite [CMSED]- Licensed
- YA213 (.5100) - Community Respite [CMSED]
- YP630, YP640 - Supported Employment
- YP660 (.5400) - Day/Evening Activity
- YP690 (.5401) - Drop-In Center - Attendance
- YP692 (.5401) - Drop-In Center - Coverage Hours
- YP730 (.5100) - Community Respite

Non-Licensed Services

- Peer Support Service: B-3 Service
- .5600 Unlic - Supervised Living Unlicensed

- 0.5700 - Assertive Community Treatment Team [ACTT]
- 90772 - Medication Management
- 90801 - Clinical Evaluation/ Intake
- 90805- 90809 - Individual Therapy
- 90862 - Medication Checks- Individual
- 96101 - Psychological Testing
- H0001 - Behavioral Health Assessment
- H0031 - Mental Health Assessment
- H0032 - Targeted Case Management- MH
- H0036 HA - Community Support: Children/Adolescents
- H0036 HB - Community Support: Adults
- H0036 HQ - Community Support: Group
- H2011 (.6100) - Mobile Crisis Management
- H2015HT - Community Support Team [CST]
- H2022 - Intensive In-Home Services
- H2033 - Multisystemic Therapy
- T1023 - Diagnostic Assessment
- T1023:GT - Diagnostic Assessment- Telemedicine
- Y2345 - Criterion V
- YA125 (.5100) - Hourly Respite [CMSED]-Unlicensed
- YA213 (.5100) - Community Respite [CMSED]
- YM050 - Personal Care Services
- YM580 - Day Supports
- YM600 - Financial Support Services
- YM645 (.5801) - Long-Term Vocational Support- MH/SA
- YM686 - Guardianship
- YM716 - Individual Supports
- YM755, 740, 750 - IPRS Only-Unlicensed Group Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Supervised Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Family Living (.5600)
- YM850 - Residential Supports
- YP010 (.6301) - Hourly Respite - Individual
- YP011 (.6301) - Hourly Respite - Group
- YP020 - Personal Assistance - Individual
- YP230 - Assertive Outreach

- YP630, YP640 - Supported Employment
- YP730 (.5100) - Community Respite
- YP831-834, H0004, HQ, HR, HS - Behavioral Health Counseling & Therapy and Outpatient Treatment
- YP836 - Mental Health Assessment - Non-Licensed Provider

When did the consumer last receive a mental health service? _____ N/A

Did the consumer express any suicidal ideation during the last mental health service? m Yes m No

Did the consumer express any homicidal ideation during the last mental health service? m Yes m No

Developmental Disability Services

Did the consumer receive developmental disability treatment/habilitation services? If so, make the appropriate selections from those available below. m Yes m No

Licensed Residential Services

- .2100 - Specialized Community Residential Center for Individuals with DD
- .2101 - Intermediate Care Facility for Persons with MR
- H0045 - CAP-MR/DD- Respite Care - Institutional
- H2016 - Innovations Residential Supports Level 1 and Level 1 AFL
- H2016H1 - Innovations Residential Supports Level 4 and Level 4 AFL
- S5150US - Innovations Respite- Facility
- T2014 - Innovations Residential Supports Level 2 and Level 2 AFL
- T2020 - Innovations Residential Supports Level 3 and Level 3 AFL
- Y 2347/ H0046 - Therapeutic Foster Care (licensed by DSS)
- YM725,811-816,YP710, - IPRS Only Licensed Supervised Living (.5600)
- YM725,811-816,YP710,YP720 - Supervised Living DD Adult (.5600C)
- YM725,811-816,YP710,YP720 - Supervised Living Alternative Family Living (.5600F)
- YM725,811-816,YP710,YP720 - Supervised Living Minor DD (.5600B)
- YM755, 740, 750 - IPRS Only Licensed Family Living (.5600)
- YP760, 770, 780 - IPRS Only Licensed Group Living (.5600)

Licensed Services

- H0045HI - CAP-MR/DD- Crisis Respite
- S5102 - CAP-MR/DD- Adult Day Health Care Services
- T2021 - CAP-MR/DD- Day Support - Individual
- T2021 - Innovations Day Supports- Individual
- T2021HQ - CAP-MR/DD- Day Support - Group - 2 or More Clients,
- T2027 - Innovations Day Supports Developmental Day
- T202HQ - Innovations Day Supports- Group
- YA213 (.5100) - Community Respite [CMSED]
- YP610 (.2400) - Developmental Day Services
- YP620 (.2300) - Adult Developmental Vocational Program [ADVP]
- YP630, YP640 - Supported Employment
- YP650 (.5500) - Community Rehabilitation Program [Sheltered Workshop]
- YP730 (.5100) - Community Respite

Non-Licensed Services

- .5600 Unlic - Supervised Living Unlicensed
- 90772 - Medication Management
- 90801 - Clinical Evaluation/ Intake
- 90862 - Medication Checks- Individual
- 96101 - Psychological Testing
- H2011 - Innovations Crisis Services Primary Response
- H2011 - CAP-MR/DD- Crisis Services
- H2011 (.6100) - Mobile Crisis Management
- H2014 - Developmental Therapy - Professional - Individual
- H2014HM - Developmental Therapy - Paraprofessional - Individual
- H2014HQ - Developmental Therapy -Professional - Group
- H2014U1 - Developmental Therapy - Paraprofessional - Group
- H2015 - Innovations Community Networking Service
- H2015 - Home and Community Support - Individual
- H2015HQ - CAP-MR/DD- Home and Community Support - Group of 2 or More Clients
- H2015U1 - Innovations Community Networking Class and Conference
- H2015U2 - Innovations Community Networking Transportation
- H2023 - CAP-MR/DD- Long Term Vocational Supports - Individual
- H2023HQ - CAP-MR/DD- Long Term Vocational Supports - Group [2-3 clients]
- H2025 - CAP-MR/DD- Supported Employment - Individual
- H2025 - Innovations Supported Employment Services- Individual

- H2025HQ - Innovations Supported Employment Services-Group
- H2025HQ - CAP-MR/DD- Supported Employment - Group
- NL ADVP - Non-licensed ADVP
- S5110 - CAP-MR/DD- Individual Caregiver Training and Education
- S5110 - Innovations Natural Supports Education- Individual
- S5111 - Innovations Natural Supports Education Conference
- S5125 - CAP-MR/DD- Personal Care Services
- S5125 - Innovations Personal Care Services
- S5150 - Innovations Respite- Individual
- S5150 - CAP-MR/DD- Respite - Non Institutional - Individual
- S5150HQ - CAP-MR/DD- Respite - Non Institutional Nursing - Group [2-3 Clients]
- S5161 - CAP-MR/DD- Personal Emergency Response System
- S5165 - Innovations Home Modifications
- S5165 - Home Modifications
- T 1017 (.5900) - Targeted Case Management [TCM]-DD
- T1005 - CAP-MR/DD- Enhanced Respite Care
- T1005TD - CAP-MR/DD- Respite Care - Nursing - RN
- T1005TD - Innovations Respite Nursing Respite: RN
- T1005TE - CAP-MR/DD- Respite Care - Nursing - LPN
- T1005TE - Innovations Respite Nursing Respite: LPN
- T1015 - Innovations In-Home Intensive Supports
- T1019 - CAP-MR/DD- Enhanced Personal Care
- T1023:GT - Diagnostic Assessment- Telemedicine
- T1999 - CAP-MR/DD- Specialized Equipment and Supplies
- T1999 - Innovations Individual Goods and Services
- T2001 - CAP-MR/DD- Transportation
- T2013 - Innovations In-Home Skill Building- Individual
- T2013HQ - Innovations In-Home Skill Building- Group
- T2014HI - CAP-MR/DD- Home Support - Level 2
- T2016 - CAP-MR/DD- Home Support - Level 5
- T2020HI - CAP-MR/DD- Home Support - Level 3
- T2025 - Innovations Specialized Consultation Services
- T2025 - CAP-MR/DD- Specialized Consultative Services
- T2025-U1 - Innovations Financial Support Services
- T2025U2 - Innovations Employer Supplies

- T2025-U3 - Innovations Crisis Services Behavioral Consultation
- T2028 - CAP-MR/DD- Augmentative Communication - Purchases
- T2029 - Innovations Assistive Technology Equipment and Supplies
- T2033 - CAP-MR/DD- Home Support - Level 1
- T2033HI - CAP-MR/DD- Home Support - Level 4
- T2034 - Innovations Crisis Services Out of Home
- T2038 - Innovations Community Transition
- T2039 - CAP-MR/DD- Vehicle Adaptations
- T2039 - Innovations Vehicle Modifications
- T2041 - Innovations Community Guide- Monthly
- T2041 U1 - Innovations Community Guide- Periodic
- V5336 - CAP-MR/DD- Augmentative Communication - Repairs
- YA213 (.5100) - Community Respite [CMSED]
- YM050 - Personal Care Services
- YM580 - Day Supports
- YM600 - Financial Support Services
- YM686 - Guardianship
- YM700 - Independent Living - MR/MI
- YM716 - Individual Supports
- YM755, 740, 750 - IPRS Only-Unlicensed Group Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Family Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Supervised Living (.5600)
- YM850 - Residential Supports
- YP010 (.6301) - Hourly Respite - Individual
- YP011 (.6301) - Hourly Respite - Group
- YP020 - Personal Assistance - Individual
- YP230 - Assertive Outreach
- YP630, YP640 - Supported Employment
- YP730 (.5100) - Community Respite

When did the consumer last receive a development disability service?

N/A

Did the consumer express any suicidal ideation during the last development disability service?

Yes No

Did the consumer express any homicidal ideation during the last development disability service?

Yes No

Substance Abuse Services

Did the consumer receive substance abuse services? If so, make the appropriate selections from those available below.

Yes No

Licensed Residential Services

- .4300 - Therapeutic Community
- H0012HB (.3400) - Substance Abuse Non-Medical Community Residential Treatment - Adult
- H2034 (.3400) - Substance Abuse Medically Monitored Community Residential Treatment
- H2034 (.5600) - Substance Abuse Halfway House- Licensed
- H2036 - Medically Supervised or ADATC Detoxification/Crisis Stabilization
- Y 2347/ H0046 - Therapeutic Foster Care (licensed by DSS)
- YM725,811-816,YP710, - IPRS Only Licensed Supervised Living (.5600)
- YM725,811-816,YP710,YP720 - Supervised Living SA Adult (.5600E)
- YM725,811-816,YP710,YP720 - Supervised Living SA Minor (.5600D)
- YM755, 740, 750 - IPRS Only Licensed Family Living (.5600)
- YP760, 770, 780 - IPRS Only Licensed Group Living (.5600)
- YP790 (.3200) - Social Setting Detoxification
- YP820 (.6000) - Inpatient Hospitalization

Licensed Services

- H0010 (.3100) - Non-Hospital Medical Detoxification
- H0014 (.3300) - Ambulatory Detoxification
- H0015 (.4400) - Substance Abuse Intensive Outpatient Program [SAIOP]
- H0020 (.3600) - Opioid Treatment
- H2012 (.1400) - Child and Adolescent Day Treatment
- H2035 (.4500) - Substance Abuse Comprehensive Outpatient Treatment [SACOT]
- YA213 (.5100) - Community Respite [CMSED]
- YP630, YP640 - Supported Employment
- YP730 (.5100) - Community Respite

Non-Licensed Services

- Peer Support Service: B-3 Service
- .5600 Unlic - Supervised Living Unlicensed
- 0.3800 - Substance Abuse Services for DWI Offenders
- 0.3900 - Drug Education Schools
- 0.4000 - Treatment Alternatives for Safer Communities (TASC)
- 90772 - Medication Management
- 90801 - Clinical Evaluation/ Intake
- 90805- 90809 - Individual Therapy
- 90862 - Medication Checks- Individual
- 96101 - Psychological Testing
- H0005 (.3500) - Alcohol and/or Drug Services; Group Counseling by Clinician
- H2011 (.6100) - Mobile Crisis Management
- T1023:GT - Diagnostic Assessment- Telemedicine
- YA213 (.5100) - Community Respite [CMSED]
- YM050 - Personal Care Services
- YM580 - Day Supports
- YM600 - Financial Support Services
- YM645 (.5801) - Long-Term Vocational Support- MH/SA
- YM686 - Guardianship
- YM716 - Individual Supports
- YM755, 740, 750 - IPRS Only-Unlicensed Group Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Supervised Living (.5600)
- YM755, 740, 750 - IPRS Only Unlicensed Family Living (.5600)
- YM850 - Residential Supports
- YP010 (.6301) - Hourly Respite - Individual
- YP011 (.6301) - Hourly Respite - Group
- YP020 - Personal Assistance - Individual
- YP230 - Assertive Outreach
- YP630, YP640 - Supported Employment
- YP730 (.5100) - Community Respite
- YP830 - Alcohol and/or Drug Assessment - Non-Licensed Provider
- YP831-834, H0004, HQ, HR, HS - Behavioral Health Counseling & Therapy and Outpatient Treatment
- YP835 - Alcohol and/or Drug Services; Group Counseling by Non-Licensed Provider

When did the consumer last receive a substance abuse service? _____ N/A

Associated Incident Reports

Have other Incident Reports been submitted for this incident because more than one consumer was involved / affected by this incident? Yes No

How many other consumers required, or will require, incident reports for this same incident? _____

Enter the LME Client Record Number or the Consumer's Initials in the spaces below.

 **ALLEGATION OF ABUSE, NEGLECT OR EXPLOITATION** 

As required by law, report any allegation of, or suspected abuse, neglect, or exploitation of a child or disabled adult to the county Department of Social Services. In addition, report any allegation of, or suspected abuse, neglect, or exploitation of any consumer by a staff to the Health Care Personnel Registry.

Check All that apply:

- Verbal Abuse
- Physical Abuse
- Emotional Abuse
- Sexual Abuse/Assault/Rape
- Neglect
- Exploitation
- Fraud Committed Against Consumer
- Diversion of Consumer Drugs
- Misappropriation of Consumer Property
- Mental Anguish

Explain Abuse in Comments:

Estimated Value of Diverted Drugs:

Estimated Value of Misappropriated Property:

Allegation Made Against (Select only one)

- Friend
- Friend of Family
- Other Consumer
- Staff *
- Family Member
- Stranger
- Other

Explain Abuse in Comments:

* If the allegation is made against a Staff member, the Supervisor must complete the HCPR section of this Incident Report prior to submitting to the LME.

 **AUTHORITIES AND OTHERS CONTACTED**

Authorities or persons you have notified of this incident:

	Contact Name	Phone	Date Notified
<input type="radio"/> County DSS County: _____	_____	_____	_____
<input type="radio"/> Law Enforcement Agency Agency Name: _____	_____	_____	_____
<input type="radio"/> Parent/Guardian	_____	_____	_____
<input type="radio"/> Clinical Home/Treatment Plan Team	_____	_____	_____
<input type="radio"/> _____	_____	_____	_____
<input type="radio"/> _____	_____	_____	_____

 **SUPERVISOR ACTIONS**

Level of Incident:

IRIS will determine the level based on the information contained in the incident report.

Describe the cause of this incident:

Describe the cause of this incident, (the details of what led to this incident).

Incident Prevention:

Describe how this type of incident may have been prevented or may be prevented in the future as well as any corrective measures that have been or will be put in place as a result of the incident.

Incident Submission:

Name of Supervisor Authorizing Report: _____

Title of Supervisor Authorizing Report: _____

Phone #: _____ Email Address: _____

The following checked agencies were notified by providers:

- Local Management Entity Where Services Provided
- State Methadone Authority
- Local Management Entity Where Consumer Resides
- DMH/DD/SAS Quality Management
- DMH/DD/SAS Advocacy
- State Operated Services
- DHSR Complaint Intake Unit
- DHSR Healthcare Personnel Registry

When re-submitting the Incident Report, please enter your explanation here.

-
- By checking this box, I attest that the information contained in this Incident Report is true and an accurate representation of the incident.



Allegations

Report to Health Care Personnel Registry Investigations Branch

Name and Title of person completing this form: _____

Title

Actual Incident Location:	
Address1:	_____
Address2:	_____
City:	Zip: _____

Type of Facility: _____

Type of Care and Setting: _____

Choose the Type(s) of Allegation Being Made:

- Resident Abuse
- Resident Neglect
- Diversion of Resident Drugs
- Diversion of Facility Drugs
- Fraud Against Resident
- Fraud Against Facility
- Misappropriation of Facility Property
- Misappropriation of Resident Property
- Injury of Unknown Source

Diversion of Resident Drugs Est. Value: _____

Diversion of Facility Drugs Est. Value: _____

Misappropriation of Facility Property Est. Value: _____

Misappropriation of Resident Property Est. Value: _____

Injury of Unknown Source:

--

Allegation Description:

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Additional Resident Information

Did this incident result in physical injury/harm?	m Yes	m No
Physical Injury/Harm:	<input type="text"/>	
Did this incident result in mental anguish lasting 5 days or more?	m Yes	m No
Diagnoses:	<input type="text"/>	
Is the resident interviewable?	m Yes	m No
Mental Anguish:	<input type="text"/>	
Memory & Orientation:	<input type="text"/>	

When submitting this Facility Allegation to HCPR, you must enter an explanation here:

Accused Staff

This allegation is being made against how many Staff Members? _____

Staff 1

	First	MI	Last
Staff Full Name:	_____	_____	_____
Staff Social Security #:	_____		
Staff Title:	_____		
Staff Date of Birth:	_____		_____
Staff Home Phone:	_____		_____
Staff Last Known Address:	_____		
City:	_____		
State:	_____	Zip:	_____
Other Information:	_____		

Staff 2

First MI Last

Staff Full Name: _____

Staff Social Security #: _____

Staff Title: _____

Staff Date of Birth: _____

Staff Home Phone: _____

Staff Last Known Address: _____

City: _____

State: _____ **Zip:** _____

Other Information:

Staff 3

First MI Last

Staff Full Name: _____

Staff Social Security #: _____

Staff Title: _____

Staff Date of Birth: _____

Staff Home Phone: _____

Staff Last Known Address: _____

City: _____

State: _____ **Zip:** _____

Other Information:

Witnesses

How many Witnesses are there to this incident? _____

Witnesses 1

First MI Last

Staff Full Name: _____

Title/Relationship: _____

Last Known Address: _____

City: _____

State: _____ ZIP: _____

Witness Home Phone: _____ Witness Other Phone: _____

Witnesses 2

First MI Last

Staff Full Name: _____

Title/Relationship: _____

Last Known Address: _____

City: _____

State: _____ ZIP: _____

Witness Home Phone: _____ Witness Other Phone: _____

Witnesses 3

First MI Last

Staff Full Name: _____

Title/Relationship: _____

Last Known Address: _____

City: _____

State: _____ ZIP: _____

Witness Home Phone: _____ Witness Other Phone: _____