



NC DEPARTMENT OF  
**HEALTH AND  
HUMAN SERVICES**  
Division of Mental Health,  
Developmental Disabilities and  
Substance Abuse Services

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## LME-MCO Communication Bulletin J287

Date: May, 11, 2018

To: Local Management Entities/ Managed Care Organizations (LME-MCOs)  
Providers providing publicly-funded Category A and Category B Services under  
NC General Statutes 122C  
NC Division of State Operated Healthcare Facilities

From: Lisa Haire, Associate Director, Quality Management and Operations,  
DMH/DD/SAS  
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Division of Medical Assistance

Subject: Clarifying the Reporting standards for Psychiatric Residential Treatment Facilities

This Communication Bulletin provides clarification regarding the use of Restraint & Seclusion for Psychiatric Residential Treatment Facilities (PRTFs) and serves as a reminder for the reporting of Serious Occurrences.

In general, all facilities identified as PRTFs are expected to comply with federally mandated Conditions of Participation (CoP) located in 42 Code of Federal Regulation (CFR) 483 Subpart G. The purpose of this bulletin is to clarify the interpretation of 10A NCAC 27E .0104(f) as it relates to planned interventions being included in treatment plans. No language contained in 10A NCAC 27E .0104 should be construed in a manner that contradicts the general principle contained in 42 CFR § 483.356(a)(2), which states that an “order for restraint or seclusion must not be written as a standing order or on an as-needed basis.” PRTFs are prohibited from using any standing, “as-needed”, or “PRN” order for restraint or seclusion.

As a reminder, Serious Occurrences are any event that result in Restraint or Seclusion, Resident’s Death, Any Serious Injury to a Resident, and a Resident’s Suicide Attempt. NC § 483.374 specifies that facilities **must** report each Serious Occurrence to both the State Medicaid agency (Division of Medical Assistance - DMA) and, unless prohibited by State law, the State-designated Protection and Advocacy system (Disability Rights North Carolina – DRNC).

The following provides guidelines on the reporting of Serious Occurrences:

### For in-State PRTFs

#### NC DEPARTMENT OF HEALTH AND HUMAN SERVICES

##### DIVISION OF MEDICAL ASSISTANCE

LOCATION: 1985 Umstead Drive, Kirby Building, Raleigh, NC 27603  
MAILING ADDRESS: 2501 Mail Service Center, Raleigh, NC 27699-2001  
www.ncdhhs.gov • TEL: 919-855-4297 • FAX: 919-715-9451

##### DIVISION OF MENTAL HEALTH, DEVELOPMENTAL DISABILITIES AND SUBSTANCE ABUSE SERVICES

MAILING ADDRESS: 3001 Mail Service Center, Raleigh, NC 27699-2001  
www.ncdhhs.gov • TEL: 919-715-1294 • FAX: 919-508-0976

- DMA receives reports of Serious Occurrences via the Incident Response and Improvement System (IRIS) managed by the Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS).
- Send an email to DMA to notify that a serious occurrence has been reported. [DMA.PRTFS@lists.ncmail.net](mailto:DMA.PRTFS@lists.ncmail.net) Do Not include the name, address of facility, or date of incident within email.
- DRNC reports are to be faxed to (919) 856-2244.

#### For out-of-State PRTFs

- Complete IRIS incident reporting form and fax to applicable host LME/MCO.
- Fax to DMA, attention LeJay Parker, at (919) 715-9451.
- Report to state designated Advocacy and Protection system in your state.

#### PRTFs within Hospitals and IRIS

All PRTF providers in North Carolina are considered to be a Category A provider according to 10A NCAC 27G .0602 and are required to submit incident reports through IRIS. In addition, each PRTF provider signs an Attestation Letter with the Division of Medical Assistance (DMA) certifying to submit serious occurrence reports to DMA through the IRIS system. Therefore, **PRTFs who are licensed as hospitals and billing PRTF services are still required to submit incident reports through the IRIS system.**

PRTFs determined out of compliance with reporting Serious Occurrences, may be at risk of having their provider agreement with Medicaid terminated.

See link to webinar, that covers the standards of reporting for PRTFs and summarizes bulletin.

<https://dsohf.webex.com/dsohf/onstage/playback.php?RCID=bf024bb60e53e0b0dfa0cb82dc2577>

If you have any questions regarding this, please e-mail LeJay Parker at [LeJay.Parker@dhhs.nc.gov](mailto:LeJay.Parker@dhhs.nc.gov) or contact him at 919-855-4293.

Previous bulletins can be accessed at: <https://www.ncdhhs.gov/divisions/mhddsas/joint-communication-bulletins>

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