

<b>Topic:</b> Serious Notable Occurrences	<b>Department:</b> All programs and services
<b>Original effective date:</b> 7/2013	<b>Last revision date:</b> 3/14/25
<b>Owner:</b> Incident Manager	<b>Frequency of reviews:</b> As needed
<b>Internal/Regulatory Reference(s) (all that apply):</b> OPWDD Regulation-Part 624	
<b>Related documents/Links:</b> OPWDD Form 147, Instructions for completing form OPWDD 147, Event Report, Preliminary Assessment, Supplemental Notification Form, Notification Form	

**Policy**

People are free from abuse and neglect.

**Additional Information**

As mandated by OPWDD Regulation-Part 624, the following situations shall be filed as 147-Serious Notable Occurrences per the procedure below:

- **Death:** Any death. Report to the Justice Center via 1-855-373-2122. Includes an IRMA entry (within 24 hours) AND Report of Death entry in IRMA (Report of Death entry must be completed by an RN within 5 business days – Includes 90 day review and narrative). If death results from neglect or abuse, a separate call to the Justice Center is also required to report the abuse / neglect.
- **Sensitive Situation:** filing under this category is at the discretion of the provider but should include Possible Criminal Acts by an individual supported.

**\*Serious Notable Occurrences require entry into IRMA / Telephone contact with OPWDD required\***

Procedure	
Task:	Responsible party:
Must step in to ensure the safety of people supported and evaluate the need to contact emergency personnel.	Staff person who becomes aware of the event
Contacts supervisor, manager, program director/designee, or if unavailable, the Incident Management department immediately.	Staff person who becomes aware of the event
Documents the incident immediately: <ul style="list-style-type: none"> <li>- Via an Event Report form (for all programs except ArcWorks and Health Homes; for these programs, a progress note must be completed)</li> <li>- Via the chart of the person supported or within a progress note that a 147 incident has occurred.</li> </ul>	Staff person who becomes aware of the event
Submits completed event report to supervisor, program director, or designee.	Staff person who becomes aware of the event

Ensure that the people supported are safe and that any medical and/or emotional support has been provided to the individual as needed.	Supervisor / Site Manager
Secures any possible evidence therein at least until the preliminary assessment can be conducted.	Site Manager / Designee
Conducts preliminary assessment and documents this on the Preliminary Assessment form (see related policy).	Site Manager / Designee
Request of any staff member involved that they not discuss the event in question among themselves or with anyone except their supervisor or the investigator.	Site Manager / Designee
<p>Completes the 147.</p> <ul style="list-style-type: none"> <li>- Enters the incident into the IRMA system.</li> <li>- If more than one person supported is involved, the 147 is completed on behalf of the person whose last name is alphabetically first with “et al” written after his/her name.</li> <li>- The notification form must be completed. If more than one person is involved, separate notification forms must be done for each person (see related policy).</li> <li>- Puts the event report (or progress note, for ArcWorks), 147, preliminary assessment form, supplemental notification form and the notification form together and submits them to supervisor for review and sign-off.</li> </ul>	Site Manager / Designee
<p>Reviews and approves the 147 packet and IRMA entry.</p> <ul style="list-style-type: none"> <li>- Reviews the event report, 147, preliminary assessment, supplemental notification form and the notification form for accuracy and thorough completion.</li> <li>- Signs the 147 form as the person/party completing the review.</li> <li>- Submits to Incident Management department within 24 hours of incident discovery, or by the end of the next business day.</li> </ul>	Director / Designee
<p>Processes the 147 packet.</p> <ul style="list-style-type: none"> <li>- Reviews all forms and IRMA entry for accuracy, thorough completion, and appropriateness.</li> <li>- Assigns the incident a number and enters it into the database.</li> <li>- Informs programs (or confirms with them) of the necessary follow-up information needed in response to the incident.</li> <li>- Provides a copy of the incident paperwork to the assigned investigator.</li> </ul>	Incident Coordinator / Manager
Obtains, reviews, and submits (via scan/e-mail) all requested/required follow-up information in response to the incident to the Incident Coordinator.	Director / Designee
<p>Receives, reviews and processes all follow-up information.</p> <ul style="list-style-type: none"> <li>- Requests any clarification or additional follow-up information, as necessary.</li> <li>- Attaches the follow-up information to the incident packet.</li> </ul>	Incident Coordinator / Manager

**How To Make Contact**

**OPWDD:**

Phone – normal business hours (7:30 am – 4 pm M-F): 518-388-3816 (Gina Winkler).

Speak to them directly for Reportable Incidents and Serious Notable Occurrences.

Phone – after hours/weekends: 1-888-479-6763 (IMU = Incident Management Unit)

Justice Center:

Vulnerable Persons' Central Registry (VPCR)

- 1-855-373-2122
  - Select #1 to report an incident
  - Select #2 to report a death
- 1-855-373-2123 (TTY)

**Mandated Reporting**

- All employees, volunteers, and consultants with regular and substantial contact with individuals of the Arc are mandated reporters.
- Who calls the Justice Center: Every mandated reporter who witnessed or has a reasonable cause to suspect abuse, neglect, or a significant event may have occurred (in a certified program). This report can also be made via the web site, using the reporting form. <https://vpcr.justicecenter.ny.gov/WI/>
- When to call: Immediately upon discovery
  - Reporting may be delayed only to prevent harm (e.g. provided needed supervision and/or emergency care)
  - End of shift or going off duty does not justify a reporting delay
  - Under all circumstances the report must be made within 24 hours
- Required information:
  - Details regarding the victim, involved employee, and witnesses
  - Details of the incident, including the date, time, location, event description, and injury/impact to the victim
  - State agency responsible for oversight (OPWDD)
  - Name and address of the agency and/or program
  - Confirmation that immediate protections are in place for the victim
  - Any other information that may assist with the investigation and/or review of the event
- Mandated reporters are required to report to the hotline even if they may not know all of the information listed above.
- Failure to report is a serious matter and possible consequences include administrative discipline, termination, civil liability, and criminal prosecution

**Document revision record:**

Revision Date	Release Date	Reason for change	Approver
2/10/2020	2/10/2020	Clarified timeline for completion and submission of paperwork.	Deanna Crosser
7/21/2022	7/21/2022	Updated OPWDD contact information.	Deanna Crosser
12/5/2022	12/5/2022	Updated OPWDD contact information.	Deanna Crosser
5/9/2023	5/9/2023	Updated OPWDD contact information.	Deanna Crosser

5/6/2024	5/6/2024	Updated JC death reporting information.	Deanna Crosser
3/14/25	3/17/25	Revised the how to make contact section.	Danielle Migliore