



## Network Communication Bulletin 015

To: All Providers  
From: Cindy Ehlers, MS, LPC Vice President of Clinical Operations  
Date: November 17, 2017  
Subject: Changes in Network reporting requirements for Abuse, Neglect and Exploitation of an individual by a staff member

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Allegations of abuse, neglect and exploitation by a staff member are currently leveled at either Level II or Level III in the Incident Response and Improvement System (IRIS) based upon the severity of the impact of the action by staff.

Due to concerns about the safety of individuals and the need for review of safety plans for individuals who are receiving services, the Department of Health and Human Services has determined that **all allegations of abuse, neglect and exploitation by a staff member will become Level III incidents effective December 4, 2017.**

In IRIS, providers must ensure that the following information is completed:

- Information regarding how the agency became aware of the incident, the cause of the incident, triggers of behavior/incident, etc. must be detailed in the 'Cause of Incident' Section of Supervisor Actions.
- Information regarding how the agency is ensuring the safety of individuals served and plans for prevention/ re-occurrence must be detailed in the 'Incident Prevention' Section of Supervisor Actions. Information regarding the status of the employee (suspended, leave, investigation, termination, etc.) must also be detailed.
- Information regarding the names of individuals/agencies (such as Parent(s)/Legal Guardians, Division of Social Services (DSS), Division of Health Service Regulation (DHSR), law enforcement, care coordinators, etc.) that are contacted must be detailed in the 'Authorities Contacted' tab.
- If the staff member is unlicensed, the Health Care Personnel Registry (HCPR) section in IRIS must be completed for the initial allegation within 24 hours and for the results of investigations of these allegations within 5 working days of the initial notification as defined in North Carolina General Statute 131E-256(b) and 10A NCAC 130.
- If the staff member is licensed, agency staff must notify the appropriate licensing agency for the staff member and document this notification in IRIS.
- If the agency is a Psychiatric residential Treatment Facility (PRTF), the agency must also follow the submission process for serious occurrence reporting as specified in the PRTF Attestation letter.

- Updated information (including information for HCPR) must be submitted into IRIS as the provider learns of additional information.

All allegations of abuse, neglect and exploitation by a staff member are to be reported to the local DSS office. A listing of local DSS offices is available at:

<https://files.nc.gov/ncdhhs/directory.pdf>

All allegations of abuse, neglect and exploitation by a staff member are to be entered into IRIS at the time of the allegation- not following an investigation by the agency. If the allegation is not substantiated by the provider or other regulatory agency, provider staff may indicate this information under Incident Comments and under HCPR section.

Any questions about this Communication Bulletin may be sent to the following email: [NetworkManagement@TrilliumNC.org](mailto:NetworkManagement@TrilliumNC.org). These questions will be answered in a Q&A format and published on Trillium's website.