



**Division of Developmental Disabilities (DDD)  
District East Independent Oversight Committee (IOC)  
Public Meeting Minutes  
Wednesday, January 13<sup>th</sup>, 2021 – 5:00 PM to 7:00 PM**

**Call to Order**

**This meeting is being held virtually due to the Coronavirus (COVID-19) concerns.**

Meeting called to order by Suzanne Hessman. The date was Jan 13<sup>th</sup>, 2020 at 5:04 pm. The address of the meeting was Virtual, no physical address.

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**Welcome and Introductions**

- Attendance in Person: **None This meeting was virtual only due to COVID-19 concerns**
  - Attendance by Google Meets: **Sarah McGovern, Susan Kingsbury, Elizabeth Bird, Sheri Reed, Suzanne Hessman, Kin Counts, Karla Houghtalin, Cathryn Whalen, Tonia Schultz**
  - Absent: **Jennifer Horton, Amanda Godek**
  - Public in Attendance: **None**
  - Arizona Department of Administration (ADOA): **Larry Allen, ADOA IOC Liaison**
  - Healthcare Plan Liaison (UHCCP): **Sophie Stevenson, UHCCP Liaison**
  - DDD staff: **Jeffrey Yamamoto, DDD IOC Liaison, Richard Kautz, Mary DeCarlo, Barb Picone, Leah Gibbs, Whitney Burdett, Berenice Sanchez**
  - **The Committee, DDD, UHCCP, and ADOA Employees** introduced themselves.
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**Call to Public**

**Suzanne Hessman:** Called for public to announce themselves. **There was no public in this session.**

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**ADOA Update**

**Larry Allen:** He stated that he had three announcements. First is that he wanted to find out if there were any questions about the flow of incident reporting chart for the members. That it was clear and understandable. He mentioned the formal process for the request for more information with this topic and how the IOC members could escalate the process. The second announcement was that the last Abuse and Neglect Task force meeting invitations will be sent out in the next 30 days for the last meeting. Finally, that the DDD annual IOC report is due and the committee needs to send out their annual report ASAP. This is already due. Suzanne mentioned earlier that she was working on it.

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**Health Plans Updates**



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**Sophie Stevenson** (United Healthcare Community Plan (UHCCP)) stated she did not have much of an update except that the integrated health plans have officially taken over the Augmentative and Alternate Communication (AAC) device plans from DDD. She reports that she is unaware of any problems with the transition of this project.

**Mercy Care** was not present for the call.

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**DDD Staff Updates**

**Jeffrey Yamamoto** introduce Leah Gibbs and Barb Picone to update the committee. Leah Gibbs started the updates from DDD.

**Leah Gibbs** began by thanking the committee for allowing her to update them. She began by stating that DDD is extending the flexibilities to member and providers due to COVID-19 until April 1<sup>st</sup>, 2021. Some of these include the Respite hours for the year increased to 720 hours & Home delivered meals. Please visit the DDD COVID-19 site for the COVID-19 flexibilities extensions. She informed the committee of the monthly “Town Halls Meetings” occurring on the first Thursday of the month from 6pm-8pm and the agenda found on the DDD website. She also informed the committee about the COVID-19 vaccination efforts and priorities listing for the public. That the Long-Term Care facilities and Intermediate Care facilities are mentioned in the Phase 1-B of the priorities listing. She will keep the IOCs informed of any priority’s changes for DDD members. She then asked for any questions from the IOC.

**Suzanne Hessman** asked about the public comment for the passing of Prop 207 (legalization of recreational marijuana) and the DDD possible policies surrounding the new law. She read the proposal and was asking about the lumping together CBD oil and Marijuana being treated the same way per policy. **Leah Gibbs** Responded that she heard the medical director said due to the possible THC levels in differing CBD’s it would hard to differentiate which CBD is being used by the member, so unfortunately the CBD and Marijuana will be in policy treated the same. She did mention that there are two FDA approved CBD products which are Federally approved to be given out. There is a need for the Federal Government and State Governments to resolve the legality of marijuana.

The committee did not pose any further questions.

**Barb Picone** was happy to see the District East members, having had history in District East as well with the IOC. She did not have any updates to add from Leah. She also asked if there were any questions. The committee did not.

**Mary DeCarlo** and **Whitney Burdett** thanked the committee for allowing them to visit to see the new Google Shared Drive and did not have any updates. They asked the committee if they had any questions. The committee did not.



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**Action Items:** Jeffrey recapped to send out to Sarah a total number of IR per category to her so she can assign each one a person. To add a Google Sheet (Excel Spreadsheet) to the Questions/comment box.

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**Demonstration and training of IR electronic platform**

**Jeffrey Yamamoto** began by explaining that he appreciated the efforts from District East on piloting and beta testing of the shared drive account for Incident Reporting (IR). He started off by asking if the committee had received the email invitation and the desk top guidebook for the new sight? The committee agreed that they had. He further went to ask what they thought of the beta testing environment? There were comments from the committee that they thought I was good and also how the committee will know when new files are available. Also, how to record the comments that they have. These will be answered during the presentation. He went over the desk top guidebook with the committee. (Below is the Guidebook and Jeffrey went over it page by page)

**Desktop Guide**

**Using the shared drive to review Incident Reports (IRs)**

**Overview:** This guide will help you to navigate how to log into the shared drive and how to view and comment on any of the Incident Reports (IRs) in your district. The IRs are already redacted so that all HIPAA information is removed. **The IRs you will review are confidential and ONLY current IOC Members are invited to view.** Confidentiality is still in place from your signed volunteer form to become a member.

The shared drive will allow you to view and comment on the IRs at any time. The loading of new IRs will be determined by the DDD staff, IOC Chairs, and available redacted IRs. DDD staff envision that this will be a continuous process so that there will always be current IRs to view and comment on.

**The Invitation:**

You will be invited to join the group in a shared drive via an email sent to you. The content of the email will look similar to the one below.

[???????@azdes.gov](mailto:???????@azdes.gov) has added you to DDD IOC D? shared drive.  
You can comment on files in this drive.

Shared drives is a space where teams can easily store, collaborate on, and access their files anywhere,  
from any device.



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[Open shared drive](#)

**PLEASE** click on the [Open shared drive](#) to have the shared drive loaded to your computer/device.

*Requirements: you will need to have either Google Chrome loaded on your device or another compatible platform to access the shared drive*

The system will typically ask which platform you wish to use. The best option is Google Chrome. If you have had Google Drive in the past it will load into your “Shared Drives” in your personal Google Drive. If you haven’t the link will show you what you need to do to load it.



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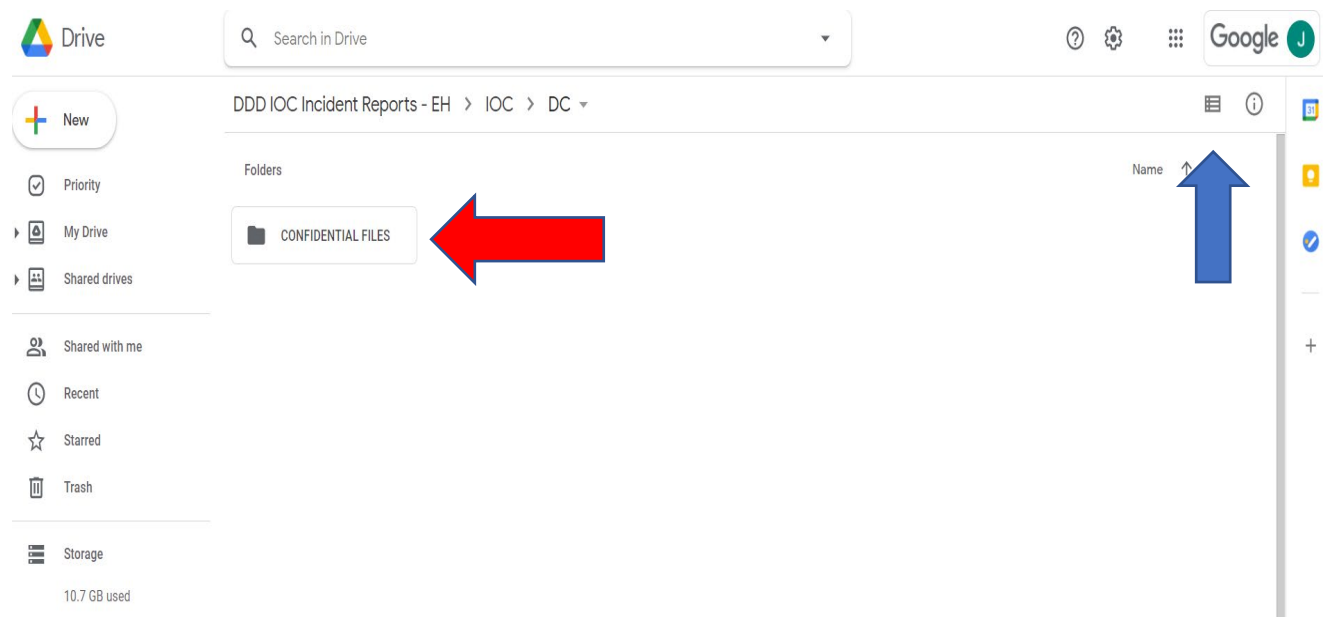
**Navigating the Shared Drive:**

Once logged into the shared drive, you will see your District area and a folder “Confidential Files”.

*The example below is for District Central (DC)*

If your screen is not set up in tiles you may click on the tile icon in the upper right-hand corner of the screen. (Blue Arrow) to view in the same configuration as this desktop guide.

**Double Click on the “Confidential Files” box to open the next screen. (Red Arrow)**



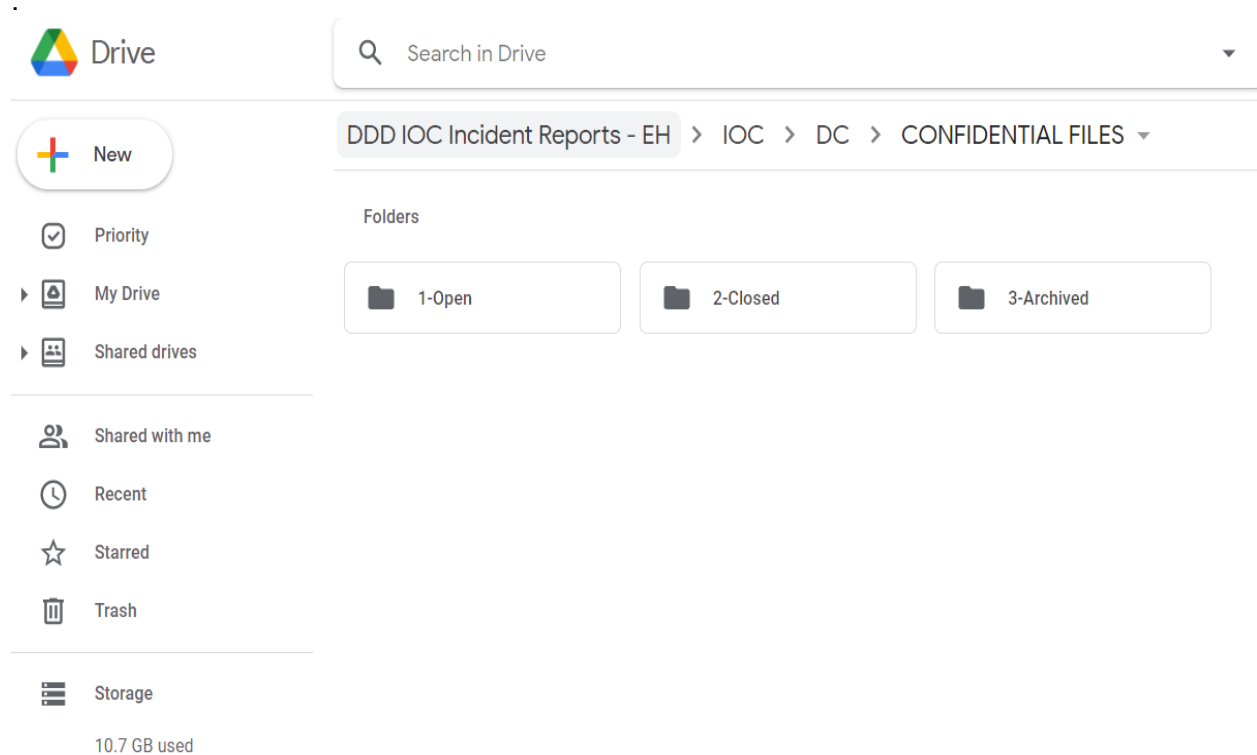


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The next screen will be the screen which shows the “Open”, “Closed”, or “Archived” folders.

*District Central is still being used for example. District East will have the additional folders for District A (ATPC)*

**Double Click on the “Open” folder categories, “Closed” folder categories, or previously viewed or older “Archived” folder categories.**





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The next screen will contain the 14 Categories boxes and a “Question/comment” box when you choose either the “Open” or “Closed” box.

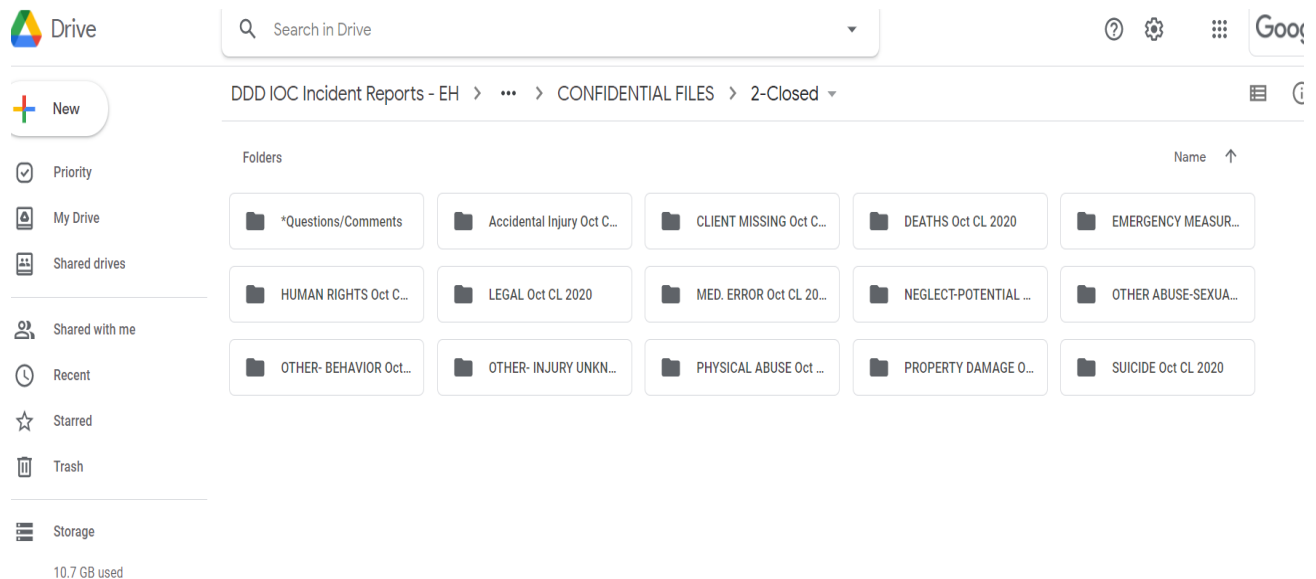
The “Archived” box will only show the folders and IRs from past categories, labeled by the month/year of the older IRs.

*Below is an example screen for “Closed” reports.*

The first box you will see is the “Question/Comment” box which will contain any IRs where there is a comment made by an IOC member. *(This box will be maintained by the DDD staff. You will not have the rights to move any files or folders in this shared drive environment.)*

The categories will be in alphabetical order and be labeled (Category, Month, Op/CL, and Year) see below the example for “Legal Oct CL 2020”

**Double Click on the category box you wish to review IRs.**





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The next screen will be the screen with all the available IRs in pdf format.

*Requirement: You will need a pdf viewer downloaded to your device to see the actual IR.*

*In this case, “Legal Oct CL 2020” has 4 IRs listed.*

**Double Click on the pdf box of the IR you wish to view.**

The screenshot shows the Google Drive interface. At the top, there is a search bar with the text "Search in Drive" and a search icon. To the right of the search bar are help and settings icons. Below the search bar, the breadcrumb navigation path is "DDD IOC Incident Reports - EH > ... > 2-Closed > LEGAL Oct CL 2020". The main content area is titled "Files" and displays four PDF thumbnails. Each thumbnail is a page from a document with a red "PDF" icon in the bottom left corner and the text "Fact Finding Summary ..." below it. The thumbnails show various tables and text, but they are mostly obscured by a large, diagonal watermark that reads "CONFIDENTIAL - PENDING REVIEW". On the left side of the interface, there is a sidebar with navigation options: "New", "Priority", "My Drive", "Shared drives", "Shared with me", "Recent", "Starred", "Trash", and "Storage" (with a sub-item "10.7 GB used").





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The viewing and commenting of the IR will be the next screen.

You only need to view the IR in this manner to complete your task. There is no need to download or open with Google Docs. (just read/review with the black background)

You can review and scroll down the pages to read the entire report.

**IF there is No Concern** with the report then you will click on the “Comment” button (Bubble with plus sign) or (Red Arrow) and highlight the IR Fact Finding Summary Id #(Blue Arrow) with the mouse and “+” icon which will appear.

You will type “NC” (No Concern/Comment) in the text/comment box.

**IF there is a Comment or Concern** you will do the same as above except you will type your comment or concern in the text/comment box on the right side of the IR.

**Fact Finding Summary Id 21211582**  
 Report Date and Time: 12/3/2020 9:42:59 AM

**AT TIME OF INCIDENT**

Type: Single Consumer		Author: ROBIN GLAU	
Incident Date:	02/05/2020	Incident Status:	Closed
Due Date Extension:	Y	Provider:	National Mentor Healthcare Inc dba Arizona Mentor
Incident Type:	Legal	Provider Notified DDD of Incident:	N
Incident Category:	Client Exploitation	Date Notified of Incident:	05/18/2020
Responsible District:	District North	District Review Start Date:	05/18/2020
Office:	DDD N SC AREA 2 PRESCOTT	Finalize Date:	06/05/2020
Incident District:	District North	Fact Finder Notified Date:	06/05/2020
Incident Location:	Contracted Provider Group Home	Fact Finder Complete Date:	10/17/2020
Incident Level:	Level 2	Closed Date:	10/19/2020
Staff Involved 1:		Due Date:	01/31/2021
Staff Involved 2:		Incident Entry Date:	06/05/2020

**Incident Description:** IR 21209632 deactivated due to a change in the type and category system. As reported by Support Coordinator: Residential agency has not provided the receipts nor ledgers for Member for funds received beginning April 2019. Guardian was trying to handle this with agency, but it has not yet been resolved. Member moved out of this agency's group home Jan. 31.

**Provider Information**

ASSISTS Provider ID:	042893910	Name:	National Mentor Healthcare Inc dba Arizona Mentor
Site Code:	AA	Address:	
		City, State Zip:	850121997 ARIZONA.

**Consumer Information**

ASSISTS ID	AHCCCS ID	District	Name	DOB	Support Coordinator
		DN	NANCY S	1948	SUSAN NIKIFORAKIS

Address: 863051852  
 Note:

**Summary Notes**

Author: YVONNE POLEHEPTEWA  
 Received the Closed APS report #438510  
 Author: YVONNE POLEHEPTEWA

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**Fact Finding Summary 21211582.pdf**

Highlight an area to comment on CANCEL

Fact Finding Summary Id 21211582 Page 1 of 5  
Report Date and Time: 12/3/2020 9:42:59 AM

**AT TIME OF INCIDENT**

**Type: Single Consumer** **Author: ROBIN GLAU**

Incident Date:	02/05/2020	Incident Status:	Closed
Due Date Extension:	Y	Provider:	National Mentor Healthcare Inc dba Arizona Mentor
Incident Type:	Legal	Provider Notified DDD of Incident:	N
Incident Category:	Client Exploitation	Date Notified of Incident:	05/18/2020
Responsible District:	District North	District Review Start Date:	05/18/2020
Office:	DDD N SC AREA 2 PRESCOTT	Finalize Date:	06/05/2020
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Site Code:	AA	Address:	
		City, State Zip:	850121997 ARIZONA,

**Consumer Information**

ASSISTS ID	AHCCCS ID	District	Name	DOB	Support Coordinator
		DN	NANCY S	1948	SUSAN NIKIFORAKIS

Address: 863051852  
Note:

**Summary Notes**

Author: YVONNE POLEHEPTEWA  
Received the Closed APS report #438510  
Author: YVONNE POLEHEPTEWA

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Jeffrey Yamamoto  
NC  
Viewers of this file can see comments and suggestions.  
Comment Cancel

**If there is a Comment or Concern with a particular IR, you will need to write down the Id number for the Incident Report. (the area you highlighted) (Blue Arrow)**

**To save the comment while viewing the pdf, you must click on the Comment Button (Red Arrow) and then you will see just the comment appear (without the blue comment button)**

**Fact Finding Summary 21222189.pdf**

Highlight an area to comment on CANCEL

Fact Finding Summary Id 21222189 Page 1 of 3  
Report Date and Time: 02/28/2020 10:18:28 AM

**AT TIME OF INCIDENT**

**Type: Single Consumer** **Author: ANDREW SABORI**

Incident Date:	09/03/2020	Incident Status:	Fact Finding Pending
Due Date Extension:	Y	Provider:	Alexander's Abilities, Inc.
Incident Type:	Accidental Injury	Provider Notified DDD of Incident:	Y
Incident Category:	No Medical Intervention	Date Notified of Incident:	09/04/2020
Responsible District:	District East	District Review Start Date:	09/04/2020
Office:	DDD E SC APACHE JUNCTION	Finalize Date:	09/06/2020
Incident District:	District East	Fact Finder Notified Date:	09/09/2020
Incident Location:	Community	Fact Finder Complete Date:	
Incident Level:	Level 3	Closed Date:	
Staff Involved 1:		Due Date:	05/20/2021
Staff Involved 2:		Incident Entry Date:	09/04/2020

Incident Description: As reported by DTA on 9/4; on 9/3 during transport, member slid out of his seat in the van and got on the floor. Staff 1 (driver) took the next available off the freeway and when it was safe, staff 1 pulled over. Staff 2 assisted member back into his seat. Transport resumed without further incident.

**Provider Information**

ASSISTS Provider ID:	860683493	Name:	Alexander's Abilities, Inc.
Site Code:	BD	Address:	
		City, State Zip:	852078333 ARIZONA,

**Consumer Information**

ASSISTS ID	AHCCCS ID	District	Name	DOB	Support Coordinator
		DE	KEVIN C	/1988	ANNE HOFFMANN

Address: AZ 851197756  
Note:

**Summary Notes**

Author: AWILDA JONES  
IR received from SC and forward to factfinder  
Author: LEANN REILLY  
Assignment acknowledged by RN

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Jeffrey Yamamoto  
Did the staff member get retrained on the the safety protocol of wheelchair safety belts?  
Viewers of this file can see comments and suggestions.  
Comment Cancel



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**To Exit You** will need to verify that there is no longer the blue comment box under your comment, like the example below and then **click on the left pointing arrow at the top left corner of the screen (Green Arrow)**. This will bring you back to the pdf versions of the IRs for that category.

The screenshot shows a document titled "Fact Finding Summary Id 21222189" with a report date of 10/28/2020. A green arrow points to a navigation icon in the top left corner of the document viewer. The document content includes:

**AT TIME OF INCIDENT**

<b>Type: Single Consumer</b>		<b>Author: ANDREW SABORI</b>	
Incident Date:	09/03/2020	Incident Status:	Fact Finding Pending
Due Date Extension:	Y	Provider:	Alexander's Abilities, Inc.
Incident Type:	Accidental Injury	Provider Notified DDD of Incident:	Y
Incident Category:	No Medical Intervention	Date Notified of Incident:	09/04/2020
Responsible District:	District East	District Review Start Date:	09/04/2020
Office:	DDD E SC APACHE JUNCTION	Finalize Date:	09/08/2020
Incident District:	District East	Fact Finder Notified Date:	09/09/2020
Incident Location:	Community	Fact Finder Complete Date:	
Incident Level:	Level 3	Closed Date:	
Staff Involved 1:		Due Date:	05/20/2021
Staff Involved 2:		Incident Entry Date:	09/04/2020

**Incident Description:** As reported by DTA on 9/4 on 9/3 during transport, member slid out of his seat in the van and got on the floor. Staff 1 (driver) took the next available off the freeway and when it was safe, staff 1 pulled over. Staff 2 assisted member back into his seat. Transport resumed without further incident.

**Provider Information**

ASSISTS Provider ID:	860683493	Name:	Alexander's Abilities, Inc.
Site Code:	BD	Address:	
		City, State Zip:	852078333 ARIZONA,

**Consumer Information**

ASSISTS ID	AHCCCS ID	District	Name	DOB	Support Coordinator
		DE	KEVIN C	/1988	ANNE HOFFMANN

**Address:** AZ 851197756

**Summary Notes**

Author: AWILDA JONES Entered: 09/30/2020  
IR received from SC and forward to factfinder

Author: LEANN REILLY  
Assignment acknowledged by RN

**PLEASE ONLY** send a list of the IR numbers you wrote Comments/Concerns to your assigned liaison or DDD staff person. Please do not send those IR numbers with "NC" in the comments.

Once the IR number is received by DDD, the comments or concerns will be copied from the IR and pasted into a spreadsheet and sent to Quality Improvement for their responses.

The Commented IR will be moved from the individual Category box to the "Questions/Comments" box until informed by the committee it has been resolved to their approval.

All finished and reviewed category folders along with all their individual "N/C" IRs will be placed into the "Archived" box. The folders and IRs in the "Archived" box can be accessed by the IOC member at any time.

The committee chair can also inform their DDD IOC liaison in writing on those categories which will not be reviewed and ask to move those folders into the "Archived" box to be reviewed at any time by their members.



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Unreviewed or uncompleted category folders and their IRs will be left in the Shared Drive until they are either completed, or the committee chair ask to have them moved to the “Archived” folder in writing.

Jeffrey Yamamoto answered the following questions during the training:

**Will the archived folders always be available:** Yes, they will be available at any time.

**How will the comments be conveyed to the liaison:** A Google sheet will be downloaded into the Question/comment box and the IR number and Question needs to be placed there. They will be sent to Quality for their response before the next meeting date.

**How will the committee member know if there is new files to review:** unable to answer this question at this time, but ideally there will be a constant feed of new IRs coming in so the member will always have some reviewing.

**Can the larger categories be broken up to be assign so one person doesn’t have to review a whole category:** It is quite possible to break up the folder when the liaison has the assignment listing.

**Some members need the link resent to them:** He said he would ask IT to resend them.

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**Discussion of Membership for the IOC**

**Suzanne Hessman** announced that due to her new family responsibilities and more work commitments **Jennifer Horton** tendered her resignation earlier in the week. She said she would send her an email with the IOC blessing, thanking her for her many years of service.

**Jeffrey Yamamoto** added that he had a potential new member “Mary” which may join the IOC later. He will make contact again with her later this week.

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**Discussion of Incident Reports (IR) & Behavior Plans (BP)**

For Oct IRs, the Committee members should be given 664 incident reports. This included 169 open and 495 closed reports. ATPC had 60 totals with 22 open and 38 closed.

Type	Open	Closed
Accidental Injury	14	88
Consumer Missing	5	8
Deaths	2	2
Emergency Measures	6	17



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Human Rights	4	7
Legal	2	1
Medication Errors	24	58
Neglect	34	30
Other Abuse	1	1
Other Behavior	10	117
Other Hospitalization, Unknown injury	48	148
Physical Abuse	8	12
Property Damage	1	1
Suicide	10	5
<b>TOTALS</b>	<b>169</b>	<b>495</b>

The desired IRs will be divided among the members and assigned by the chair.

Number of Questions for QIM: members of the committee will comment on incident reports directly and the liaison will send to QIM.

Number of Behavior Plans turned in by IOC Members: 0

The Program Review Committee (PRC): None.

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### **Adjournment**

**Suzanne Hessman** adjourned the meeting at 6:32 pm. The next District East IOC meeting will be held on Wednesday February 10<sup>th</sup>, 2021 at 5:00 pm. Will be virtual meeting should COVID-19 concerns still be in effect.