



**Division of Developmental Disabilities  
District South (Sierra Vista) Independent Oversight Committee  
Meeting Minutes & Action Items  
Thursday, January 14<sup>th</sup>, 2021 – 9:30 AM to 10:30 AM**

**Call to Order**

Meeting called to order by Committee Chairperson, **Chere Solorzano**. The date is January 14, 2021 at 9:30 am. **The meeting took place Virtually due to COVID-19**. Physical location when meetings resume in person will be at 2981 E Tacoma St, Sierra Vista, AZ 85635.

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**Welcome and Introductions**

Attendance Virtually:

- **Amy Schroeder**
- **Keith Jansen**
- **Margarita Fate**
- **Chere Solorzano**

Absent:

- **Michelle Talley**
- **Patsy Sartain**
- **Gloria Brunell**

Public in Attendance: **None**

Health Plan Liaisons:

- **Sophie Stevenson** (United Healthcare)
- **Vera Kramarchuk** (Mercy Care)

ADOA:

- **Larry Allen** (ADOA liaison)

DDD:

- **Jeffrey Yamamoto** (IOC Liaison)
- **Octavia Lamb** (IOC Liaison)
- **Barbara Picone** (OIFA Program Manager)
- **Michelle Pollard** (National Core Indicator (NCI))
- **Mike Valdez** (DDD Quality Improvement volunteer)

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**Call to Public**



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**There were no members of the public on the call**

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**ADOA Updates**

**ADOA –Larry Allen:** Informed the committee about an email that was sent out to the committee explaining the process if the committee would like a tracking process that would follow the IOC manual that will track all questions, concerns and outcomes that the committee may have about the agency policy and would like the committees to vote on this. Second, he received the end of year reports. He would also like the chairs to keep communication amongst the committees. He closed with asking if there were any questions.

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**Health Care Liaisons Update**

**Sophie Stevenson:** Informed the committee that the new Aug. Comm. Procedures went into effect on January 1, 2020. Sophie asked the committee if they have heard any feedback from the community on the new procedure. If there are any feedback to email the IOC liaison and the IOC liaison will email to Sophie the feedback.

**Vera Kramarchuk:** She had no updates for the committee at this time.

**IOC liaison Question:** Are there any updates on which phase would the DDD members fit in on receiving vaccinations?

**Vera Kramarchuk Answer:** She does not have an answer at this time but will follow up with her team and will provide an answer if one is provided to her.

**Chere Solorzano Question:** Do direct healthcare workers in a Group Home setting qualify to be vaccinated if they are not on the priority list.

**Sophie Stevenson Answer:** Sophie was not able to provide an answer, but will follow up with her team to see if there is an answer and will follow up with IOC liaison if an answer is provided.

**Michelle Pollard:** While not with the Health Plans she informed the committee that she received an email from Zane Garcia Ramadan on the update on COVID-19 vaccinations and a link with phase prioritization schedule and some counties have moved to phase 1B and the IOC Liaison will email to the committee and to the healthcare liaisons

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**Training and Rollout of the Google Shared Drive**

**Jeffrey Yamamoto:** He started off by discussing the original process of receiving incident reports and the difficulties with the paper format of how the committees were receiving the incidents reports.



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There was a beta testing done with the Google shared drive and it is ready to be rolled out to all the committees. Jeff asked if the committee had received the email with the desk top guidebook for the new sight? The committee agreed that they had. Jeff informed the committee when new files are available and 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.

**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*



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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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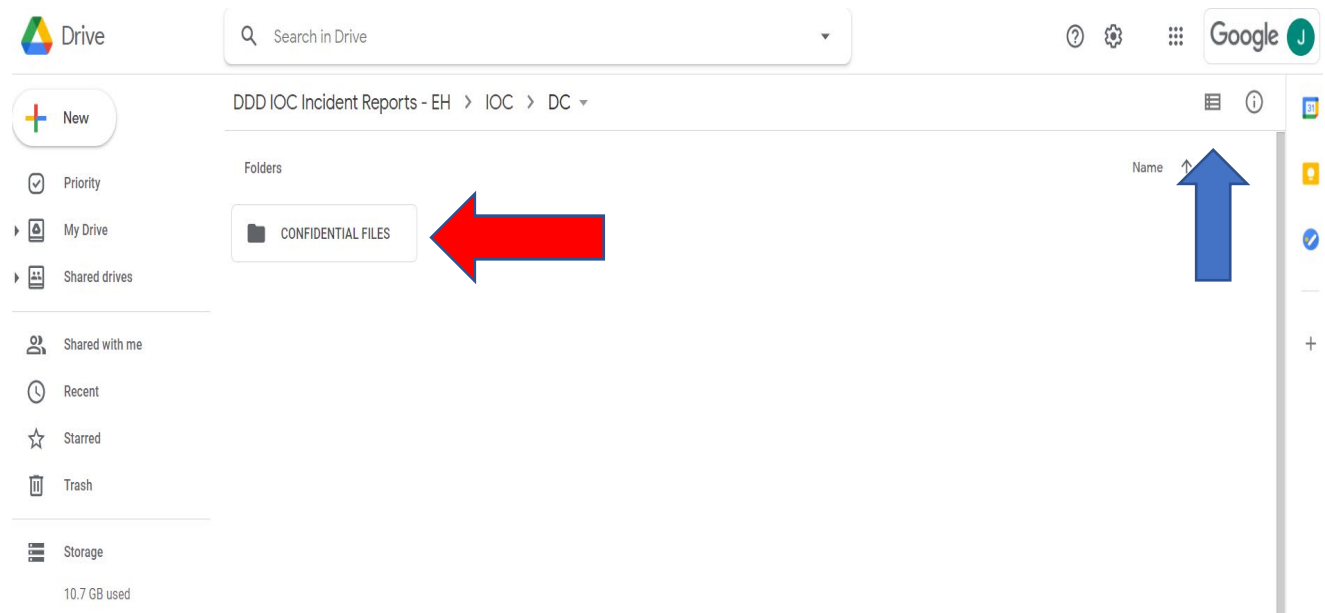
**Navigating the Shared Drive:**

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.**

The screenshot shows the Google Drive interface. At the top left is the Drive logo. A search bar contains the text "Search in Drive". Below the search bar is a breadcrumb trail: "DDD IOC Incident Reports - EH > IOC > DC > CONFIDENTIAL FILES". Underneath, a section labeled "Folders" contains three folder icons with labels: "1-Open", "2-Closed", and "3-Archived". On the left sidebar, there are navigation options: "New", "Priority", "My Drive", "Shared drives", "Shared with me", "Recent", "Starred", "Trash", and "Storage". At the bottom of the sidebar, it indicates "10.7 GB used".



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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.**

The screenshot shows a Google Drive interface. At the top, there is a search bar and navigation icons. The breadcrumb path is "DDD IOC Incident Reports - EH > ... > CONFIDENTIAL FILES > 2-Closed". The main content area is titled "Folders" and displays 14 folders in a grid. The folders are: \*Questions/Comments, Accidental Injury Oct C..., CLIENT MISSING Oct C..., DEATHS Oct CL 2020, EMERGENCY MEASUR..., HUMAN RIGHTS Oct C..., LEGAL Oct CL 2020, MED. ERROR Oct CL 20..., NEGLECT-POTENTIAL ..., OTHER ABUSE-SEXUA..., OTHER- BEHAVIOR Oct..., OTHER- INJURY UNKN..., PHYSICAL ABUSE Oct ..., PROPERTY DAMAGE O..., and SUICIDE Oct CL 2020. The left sidebar contains navigation options: New, Priority, My Drive, Shared drives, Shared with me, Recent, Starred, Trash, and Storage (10.7 GB used).



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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 displays the Google Drive interface. At the top, there is a search bar and navigation icons. Below the search bar, the breadcrumb path reads: 'DDD IOC Incident Reports - EH > ... > 2-Closed > LEGAL Oct CL 2020'. The main content area shows a list of files under the heading 'Files'. There are four PDF files visible, each with a red 'pdf' icon and the title 'Fact Finding Summary ...'. The files are arranged in a grid. On the left side, there is a sidebar with navigation options: 'New', 'Priority', 'My Drive', 'Shared drives', 'Shared with me', 'Recent', 'Starred', 'Trash', and 'Storage' (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

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**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 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

**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

**Summary Notes**

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

**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**

**Fact Finding Summary Id 21222189**  
 Report Date and Time: 01/28/2020 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:	09/08/2020
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

**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 G	/1968	ANNE HOFFMANN

**Summary Notes**

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



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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.

**Fact Finding Summary Id 21222189**  
Report Date and Time: 10/28/2020 10:18:28 AM

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**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  
Note:

**Summary Notes**

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

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**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:

**Q:** Will incident titles that are assigned to the committee member be labeled with committee member name?

**A:** Yes, Committee chair will email IOC liaison a list with committee members names assigned to which incident title and will be alphabetized by first name.

**Q:** If the committee had a comment, how will this be communicated to the IOC liaison?

**A:** There will be a Google excel spreadsheet labeled questions and comments. Members will copy and past comment or question on the spreadsheet along with the fact-finding id# and the IOC liaison will check this spreadsheet weekly.

**Q:** When reviewing an incident report, will the fact-finding id# always be highlighted?

**A:** If the incident has been reviewed then, Yes, that is the indication that that the incident report has been reviewed and highlight in red.

**Q:** If the committee members wanted to talk to each other about an incident report how will they contact each other to review an incident?

**A:** Committee members can call, email, or create a google meets to review the incident in question.

**Q:** When new incident reports are loaded in the Drive will they be uploaded in a separate folder or in the same Open folder?

**A:** New incidents will be uploaded in the same open folder, but it will but in by month.

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**DDD IOC Liaison**

**DDD – Jeffrey Yamamoto:** Reminded that the IOC liaison will email the Chair the breakdown of the categories and the Chair will respond back on how she would like them to be split and IOC will retile them and they will be ready for review, IOC liaison will be working with the volunteer coordinator and Octavia for recruiting new memberships, send all questions on the shared drive platform by email to the IOC liaisons, Octavia Lamb will send an email to committee members contact information and IOC will email committee members the prioritized vaccination link.

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**Discussion and Review of Incident Reports and Behavioral Plans**



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The committee members reviewed 96 open incident reports. The District South (Tucson) IOC will review all of the closed reports pursuant to an agreement with members of leadership on both committees. There were no Behavioral Plans given at this time.

Type	Open
Accidental Injury	24
Deaths	2
Emergency Measures	0
Human Rights	6
Legal	2
Medication Errors	21
Missing	1
Neglect	10
Other Abuse	3
Other-Behavior	12
Other -Injury unknown	12
Physical Abuse	3
Property Damage	0
Suicide	0
<b>TOTALS</b>	<b>96</b>

The desired IRs will be divided by the chair and equally distributed amongst the members.

Number of Questions for QIM: **None**. members of the committee will send the incident reports questions to the DDD Liaison **Jeffrey Yamamoto** and directly with the Quality Improvement Manager (via email) and QI Volunteer, **Mike Valdez**.

Number of Behavior Plans turned in by IOC Members: **None**. The Behavior Plans were reviewed by IOC members in Program Review Committee. There is a plan being worked on that would allow the committee to review plans and submit inquires directly to the IOC member(s) attending the Program Review Committee.

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### **Adjournment**

The meeting was adjourned by Chere Solórzano. The public meeting ended at 10:50 am.

The next District South – Sierra Vista IOC meeting will be held on February 11, 2021 at 9:30 am.

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