



## North Carolina Department of Health and Human Services

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### LME-MCO Communication Bulletin #J273

Date: November 29, 2017

To: Local Management Entities/Managed Care Organizations (LME-MCOs)

From: Lisa Haire, Assistant Director, Quality Management and Operations, DMH/DD/SAS  
Deb Goda, Behavioral Health Unit Manager, DMA

Subject: Waivers for Quarterly Incident Reports – QM 11

This Communication Bulletin provides information regarding waiving incident reporting requirements.

In recent months, DHHS, LME-MCOs and the provider community have collaborated to streamline processes that continue to advance our enhanced outcome based focus. Through this process, DMHDDSAS reviewed the steps taken in 2014 specific to Joint Communication Bulletin(s) #J100 and #J109, as the waivers that were granted will expire on December 31, 2017.

As a result, the Division of Mental Health/Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) will accept requests from LME-MCOs, on behalf of their provider network, to waive Subsection (e) of Rule 10A NCAC 27G. 0604 Incident Reporting Requirements for Category A and B Providers to report a summary of incidents to the LME-MCO each quarter on the QM-11 Form.

- It remains the responsibility of the LME-MCO to maintain an active and current knowledge of providers to which this waiver applies, and will make it available, upon request, to DMH/DD/SAS.
- The LME-MCO is not required to submit a list of the providers with the waiver request.
- Waiver requests must be in accordance with 10A NCAC 27G .0802.

Approval of a waiver request does not diminish, reduce or eliminate the LME-MCO's responsibility/authority for oversight and monitoring of incidents in their provider networks. For providers not required to submit Level 1 reporting on a quarterly basis, it remains imperative that they ensure for any Level 1 incident that occurs:

1. there was no significant threat to the health and safety of the individual that would warrant submission as a Level 2 or Level 3 occurrence;
2. the incident is not systemic in nature due to past frequency of similar events; and
3. as warranted, there is review of the agency's clinical care and practices to include supervision and training.

**The LME-MCO should address the waiver requests to Jason Vogler, Ph.D., Senior Director, DMHDDSAS and submit electronically to the assigned DMHDDSAS liaison:**

- **Janet Breeding** – [janet.breeding@dhhs.nc.gov](mailto:janet.breeding@dhhs.nc.gov) (Cardinal);
- **Yvonne French** – [yvonne.french@dhhs.nc.gov](mailto:yvonne.french@dhhs.nc.gov) (Alliance, Partners, Vaya), or
- **Lisa Jackson** – [lisa.jackson@dhhs.nc.gov](mailto:lisa.jackson@dhhs.nc.gov) (Eastpointe, Sandhills, Trillium)

**by the close of business on December 15, 2017.**

If an LME-MCO does not opt to submit a waiver request, individual provider agencies may request a waiver directly from DMH/DD/SAS.

Please contact Lisa Haire at 919-715-2100 or e-mail at [lisa.haire@dhhs.nc.gov](mailto:lisa.haire@dhhs.nc.gov) or contact Deb Goda at 919-855-4297 or e-mail at [deborah.goda@dhhs.nc.gov](mailto:deborah.goda@dhhs.nc.gov) if you have questions.

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

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