

 **STATE OF NEW YORK**  
**DEPARTMENT OF HEALTH**

433 River Street, Suite 303

Troy, New York 12180-2299

Antonia C. Novello, M.D., M.P.H.  
*Commissioner*

Dennis P. Whalen  
*Executive Deputy Commissioner*

Dear Administrator:

March 9, 2006

This letter is to inform you that the Department has revised the incident reporting (New York Patient Occurrence Reporting Tracking System/NYPORTS) process for all Free Standing, Article 28 Diagnostic and Treatment Centers, including any part-time service or extension clinic listed under its operating certificate. The changes involve elimination of the 5-day and 45-day paper incident reporting process and implementation of electronic incident reporting to NYPORTS.

Multiple Statewide educational sessions are being developed and will be conducted through the months of April and May 2006. These sessions will provide specificity, clarity and will standardize the process with that of hospital reporting requirements; enhancing the ease of reporting.

Sessions will include education on the culture of patient safety, clinical reporting requirements, investigations and system navigation. The sessions will be 3 hours long and there will be no cost, other than a nominal parking fee depending on the site chosen. Educational handouts will be provided to attendees. Dates and specific registration information are provided within.

With the adoption of the Health Providers Network (HPN) Access Regulation, all Article 28 Diagnostic and Treatment Centers (D&TC's) must initiate and maintain Internet access to the HPN. The HPN account allows Centers to electronically link to the NYPORTS program. The only change to existing reporting requirements has been the addition of a new occurrence code to capture "external disasters" such as bioterrorism or natural disasters such as a hurricane or a blackout.

A NYPORTS D&TC manual has been developed and will be distributed at the training sessions. This manual will also be available on the bulletin board page of the electronic NYPORTS system. The manual provides clinical examples to assist Centers in the determination of occurrence reportability, as well as use of the system. An electronic form, entitled the "shortform" will be used to report all occurrences. Of the seven specific incidents required to be reported by D&TC's, three require the additional completion of an "Investigation" due to severity. Investigation data must be entered on an electronic form called the Root Cause Analysis form (RCA). The RCA form is easily accessed through a link at the bottom of the electronic shortform. However, only a portion of the RCA form is required to be completed for D&TC investigations.

As in the past, submitted information is linked to specific reporting timeframes. The electronic system automatically measures reports for timeliness of submission. Late reports or failure to report mandated occurrences can result in citation. However, the same allowances for time to determine reportability and completion of a thorough and credible investigation will be given to Centers, as is for Hospitals.

The electronic NYPORTS system recognizes that reporting is expected within regular Monday- Friday Business Hours. In the event of electronic problems or system failure, the shortform and any related investigation may be faxed to the DOH Regional office to meet reporting timeframes and avoid citation. However, shortform and investigation information must be electronically submitted by the Center as soon as the issues are resolved.

Centers should begin electronic reporting on June 1, 2006 but no later than August 31, 2006. Attached is a breakdown of the adverse occurrence categories, session dates and times and the DOH Regional NYPORTS Coordinators.

Thank you for your attention to these important reporting process changes. We look forward to seeing you at one of the training sessions.

Sincerely,

Martin Conroy  
Director  
New York State Department of Health  
Hospital and Primary Care Services  
433 River Street  
Troy, New York 12180-2299

## Adverse Occurrence Categories:

### Category One:

**NYPORTS codes 931, 932, 933, 935** represent *less serious* events, which are statutorily required to be reported. These occurrences require the submission of a shortform within 24 hours of the date of awareness. An investigation is not warranted unless specifically requested by the DOH Regional office.

<b>931-</b> Strike by Center staff	<b>933-</b> Termination of services vital to the continued safe operation of the Center or to the health and safety of its patients and personnel.
<b>932-</b> External disaster outside the control of the Center which affects Center operations.	<b>935-</b> Center fire or other internal disaster disrupting patient care or causing harm to patients or staff.

### Category Two:

**NYPORTS codes 902, 915, and 938**, represent *most serious* events or those that are statutorily required to be reported. These occurrences require the submission of a shortform within 24 hours of the date of awareness. In addition these occurrences require submission of an investigation within 30 days of the date of awareness. If a Center requires additional time to produce and submit their investigation, they may take advantage of the extension process. This process allows 30 additional days, up to a total of 60 days, to complete an investigation.

<b>902-</b> Specific Ambulance Transfers to the Hospital, from an Article 28 D&TC, part time service or extension clinic under its operating certificate.	<b>915-</b> Unexpected death- (i.e. brain death) In circumstance other than those related to the natural course of illness, disease or proper treatment in accordance with generally accepted medical standards (i.e. delay in treatment, diagnosis or omission of care; iatrogenic event)
<b>938-</b> Malfunction of equipment during treatment or diagnosis, or a defective product resulting in death or serious injury.	

### Voluntary:

#### **Code 901 Other Serious Occurrence warranting DOH notification:**

- One 900 code is voluntary (code 901), **unless otherwise directed by the DOH**
- The department may request an investigation for a code 901 submission depending on severity.

When accessing the Short Form in NYPORTS, a page similar to the following will appear. This replaces the 5-day paper report.

The screenshot shows a web browser window titled "NYPORTS-ShortForm - Microsoft Internet Explorer". The page is titled "Short Form" and contains a form with various input fields and buttons. At the top right, there are "Home" and "Help" buttons. The form fields include:

- Area Office (with a left-pointing arrow)
- Incident ID #
- Facility (with a left-pointing arrow)
- Status
- Occurrence Date
- I/PRO Case (checkbox)
- Dx ICD 9
- Date of Birth
- Date of Awareness
- Proc ICD 9
- Sex (dropdown)
- Includes/Excludes (button)
- Occurrence Upcode (checkbox)
- Facility MR#
- Admission Date
- Primary Occurrence (dropdown)
- SPARCS Linking
- Discharge Date
- Secondary Occurrence (dropdown)
- Location (dropdown)
- Readmission Date
- Detail Code (dropdown)
- Service (dropdown)
- Readmit/Discharge Date
- Patient Outcome (dropdown)

At the bottom right, there is a box containing the following information:

- Created By: FourthUser
- Submission Date: 3/2/2005
- Date Closed:

At the bottom of the form, there is a "Summary of Occurrence" section with a large empty text area. Below the form, there are several buttons: "New", "Clear", "Save", "Print", "BCA", "Browser", "Delete", and "Fac Use". The browser's status bar at the bottom shows "Done" and "Local intranet".

## **Registration**

Associations, including the ESRD Network, NYS Association of Ambulatory Surgical Centers and Health and Hospital Corporation, are collaborating with the Department in this endeavor. Centers affiliated with one of these Associations should contact that Association directly to register for their training. All Centers not affiliated with one of the associations noted above must register with the Department for a training session. The sessions are intended to be "train the trainer". It is the expectation that each Center send at least one representative who is responsible for submitting NYPORTS occurrences to one of the training sessions. If a Center has more than 3 extension clinics or services covered under its operating certificate, it is recommended that a representative from the additional extension clinics or service attend one of the training's.

## Statewide Educational Sessions

To register with the Department please call the Bureau Of Hospital and Primary Care Services @ 518- 402-1003.

<b>Date of session</b>	<b>Time(s) of session</b>	<b>Address</b>	<b>Room number</b>
Tuesday April 4, 2006	9 AM- 12:30 PM	Health and Hospital Corp-HHC 125 Worth Street, Room 427, 4 <sup>nd</sup> floor N.Y., N.Y. 10013	2 <sup>nd</sup> Floor Conference Room
Wednesday April 5, 2006	9 AM- 12 :30 PM or 1PM- 4:00 PM	MARO Dept. of Health 90 Church Street N.Y., N.Y. 10007	4th Floor Room 4E04
Monday April 24, 2006 <b>NYS Assoc. of Amb. Surg. Centers Only</b>	10 AM –1:00 PM	Gideon Putnam Conference Center Saratoga Spa State Park Saratoga Springs N.Y. 12866 Saratoga, N.Y. <b>Contact Marcia Roberts 315-472-4424</b>	Orenda Room
Tuesday April 25, 2006	9 AM- 12 Noon or 1 PM- 4 PM	New Rochelle DOH Area Office 145 Huguenot Street New Rochelle, N.Y. 10801	6th Floor Room 612
Thursday April 13, 2006	9AM-12 Noon	School of Public Health One University Place Rensselaer, N.Y. 12144	Room 110
Monday May 1, 2006	9 AM- 12 Noon or 1 PM- 4 PM	Nassau Suffolk Hospital Council 1383 Veterans Memorial Highway Hauppauge, N.Y. 11788 (Long Island)	Suite 26
Tuesday May 2, 2006	9 AM- 12 Noon or 1 PM- 4 PM	MARO Dept. of Health 90 Church Street N.Y., N.Y. 10007	4th Floor Room 4E04
Thursday May 4, 2006 <b>ESRD Network Only</b>	9AM –12 Noon	National Kidney Foundation 99 Troy Road East Greenbush N.Y. 12061	Suite 200
Tuesday May 16, 2006	9 AM- 12 Noon or 1 PM- 4 PM	Western NY Healthcare Association 1876 Niagara Falls Blvd. Tonawanda, N.Y. 14150	Main Conference Room
Wednesday May 17, 2006	9 AM- 12 Noon or 1 PM- 4 PM	Rochester Regional DOH Office Triangle Building, 335 East Main St. Rochester N.Y. 14604-2127	2 <sup>nd</sup> floor Video conference room
Thursday May 18, 2006	9 AM- 12 Noon or 1 PM- 4 PM	Central NY Regional Office 217 South Salina Street Syracuse, N.Y. 13202	3 <sup>rd</sup> Floor check in, 4 <sup>th</sup> Floor
Wednesday May 24, 2006	9 AM- 12 Noon or 1 PM- 4 PM	MARO Dept. of Health 90 Church Street N.Y., N.Y. 10007	4th Floor Room 4E04

## **Regional NYPORTS Coordinator Contact Information**

### **BUFFALO (Western Region): LYNNE DEY- (585) 423-8045**

E-mail Lynne at [imd06@health.state.ny.us](mailto:imd06@health.state.ny.us)

INCLUDES COUNTIES: Niagara, Orleans, Genesee, Erie, Wyoming, Allegany, Chautauqua, Cattaraugus.

### **ROCHESTER (Western Region): LYNNE DEY- (585) 423-8045**

E-mail Lynne at [imd06@health.state.ny.us](mailto:imd06@health.state.ny.us)

INCLUDES COUNTIES: Monroe, Wayne, Ontario, Livingston, Seneca, Yates, Schuyler, Steuben, Chemung.

### **SYRACUSE (Central Field Office): SANDRA ROTUNNO AND SHARON AUSTIN (315) 477-8561**

E-Mail Sandra at [sjr01@health.state.ny.us](mailto:sjr01@health.state.ny.us)

E-Mail Sharon at [sma05@health.state.ny.us](mailto:sma05@health.state.ny.us)

INCLUDES COUNTIES: St Lawrence, Jefferson, Lewis, Herkimer, Oswego, Oneida, Onondaga, Madison, Cayuga, Cortland, Chenango, Tioga, Broome, Tompkins

### **CAPITAL DISTRICT (Northeast Region): COLLEEN KEWLEY AND RITA CEDAR (518) 408-5329**

E-Mail Colleen at [cmk03@health.state.ny.us](mailto:cmk03@health.state.ny.us)

E-Mail Rita at [rgc01@health.state.ny.us](mailto:rgc01@health.state.ny.us)

INCLUDES COUNTIES: Clinton, Franklin, Essex, Hamilton, Warren, Fulton, Saratoga, Washington, Rensselaer, Albany, Schoharie, Otsego, Delaware, Greene, Columbia, Schenectady, Montgomery.

### **HUDSON VALLEY (New York Metropolitan): RHONDA ASKINAZI AND YVONNE HUNTER-TULLOCH (914) 654-7011**

E-Mail Rhonda at [rla02@health.state.ny.us](mailto:rla02@health.state.ny.us)

E-Mail Yvonne at [ymh01@health.state.ny.us](mailto:ymh01@health.state.ny.us)

INCLUDES COUNTIES: Ulster, Dutchess, Sullivan, Orange, Putnam, Westchester, Rockland.

### **NEW YORK CITY (New York Metropolitan): JUDY FOSTER-STUART (212) 417- 5990**

E-Mail Judy at [jaf23@health.state.ny.us](mailto:jaf23@health.state.ny.us)

INCLUDES COUNTIES: Bronx, New York, Queens, Kings, Richmond

### **LONG ISLAND (New York Metropolitan): MARY WALTERS-FRANCO AND TONI SCIARRO- HARDI (631) 851-4300**

E-Mail Mary at [mwx05@health.state.ny.us](mailto:mwx05@health.state.ny.us)

Toni at [tsh04@health.state.ny.us](mailto:tsh04@health.state.ny.us)

INCLUDES COUNTIES: Nassau, Suffolk.

