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**TO:** OMH Licensed Providers

**FROM:** Tricia Hartnett  
Director, Office of Quality Improvement

**DATE:** October 6, 2017

**SUBJECT:** New requirement for submission of administrative actions for category 1-3 substantiated findings of reportable abuse/neglect under the authority of the NYS Justice Center for the Protection of People with Special Needs (Justice Center).

OMH currently requires submission of corrective actions taken in response to investigations of incidents of abuse or neglect. This requirement is set forth in 14 NYCRR Section 524.9(d)(4)(ii), which requires that final reports and investigative findings for reportable incidents must be submitted in the manner, form, and format specified by the Justice Center and OMH. This response should also include information about subject-specific administrative actions.

To ensure consistent monitoring and tracking of actions taken by both state-operated and voluntary providers, effective October 13, 2017, providers will be required to report all administrative actions taken against subjects (including employees, volunteers, contractors, consultants and all others covered by section 488[12] of the Social Services Law) with a substantiated finding of reportable abuse or neglect. This data will be collected prospectively for any subject who is substantiated for abuse or neglect on or after the implementation date. For OMH, this requirement applies to all facilities and provider agencies which are licensed by OMH, including but not limited to psychiatric centers, inpatient psychiatric units of general hospitals, community residences and family care homes.

To comply with this reporting requirement, providers must now submit information to the Justice Center's Administrative Actions Reporting Mechanism (AARM) for all category 1, 2 and 3 substantiated findings against a subject. The AARM is a web application that can only be accessed by the provider agency's Authorized Person(s). The Authorized Person(s) are the persons the agency has identified to conduct the Staff Exclusion List (SEL) checks. The AARM will provide a simple interface to relay the required information to the Justice Center.

Included with this memorandum is a "Quick Reference Guide" explaining how the new web application will work. Prior to the implementation date, more detailed information and training will be made available on the Justice Center's and OMH's websites.

When a determination is made to substantiate abuse or neglect against a subject, the agency's Authorized Person(s) will receive an email from the Justice Center informing them they must go to the AARM web application to enter information regarding any administrative actions that were taken against the subject. The log-in process for the AARM web application will be the same as the Authorized Person log-in for Staff Exclusion List (SEL) checks.

The information being collected is highly confidential and will be kept securely in the Vulnerable Persons' Central Register (VPCR), the Justice Center's database. Only a limited number of



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people will be able to view this information after it is entered into the VPCR. The information will not be made publicly available.

Thank you for your continued cooperation in implementing this new reporting requirement. If you have any questions, please find additional information at [justicecenter.ny.gov](https://justicecenter.ny.gov) or contact the Justice Center VPCR Resource Group at [vpcrresourcegroup@justicecenter.ny.gov](mailto:vpcrresourcegroup@justicecenter.ny.gov).