

Select originating cluster

Cathy Cooper  
Authorized Signature

Number: SPD-IM-05-069  
Issue Date: 09/14/05

Topic: Protective Services

Subject: Corrected Fax Number for Nursing Facility Complaint Referrals to the Client  
Care Monitoring Unit (CCMU)

**Applies to (check all that apply):**

- |                                                            |                                                                          |
|------------------------------------------------------------|--------------------------------------------------------------------------|
| <input type="checkbox"/> All DHS employees                 | <input type="checkbox"/> County Mental Health Directors                  |
| <input checked="" type="checkbox"/> Area Agencies on Aging | <input type="checkbox"/> Health Services                                 |
| <input type="checkbox"/> Children, Adults and Families     | <input checked="" type="checkbox"/> Seniors and People with Disabilities |
| <input type="checkbox"/> County DD Program Managers        | <input type="checkbox"/> Other (please specify):                         |

**Message:**

*If you have any questions about this information, contact:*

<b>Contact(s):</b>	Elaine Young		
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<b>E-mail:</b>	Elaine.Young@state.or.us		

The SPD Policy Transmittal Number SPD-PT-05-021 contained the incorrect fax number for local APS to send certain Nursing Facility Complaints to the Client Care Monitoring Units. The correct fax number is 1-888-550-6788. Please change all your documents to reflect the correct fax number.

**SUBJECT:** Procedures for Referral of Certain Nursing Facility Complaints to the Client Care Monitoring Units (CCMU) for Complaint Surveys

**EFFECTIVE DATE:** 10/01/2005. Replaces procedures established 2002 per SPD-EL-02-001.

**OBJECTIVE:** Maintain compliance with state and federal expectations for the investigation of Nursing Facility complaints and self-reported incidents.

- I. Types of Protective Services Intakes, except as specified at section II A of this document, to be referred to CCMU include all complaints from any source and facility self-reported incidents that allege any of the following outcomes to a resident:
  - All falls, whether or not there is an injury;
  - All bone fractures;
  - All pressure ulcers on any part of the body. Pressure ulcers are also known as bed sores, pressure sores, decubitus ulcers;
  - All hospitalizations, emergency room visits, urgent care visits;
  - All deaths;
  - Any concern related to the use of a restraint or restraining device, these include, but are not limited to, bed rails, lap buddy, tray table, seat belt, reclining chair, geri-chair.

CCMU, not APS, will complete the screening, triage, assign a response priority (in accordance with Oregon statute) and complete the investigation as appropriate. CCMU, not APS, will frame the allegation.

APS will not create an Initial Status Report (ISR); statute exempts CCMU referrals from the ISR process.

For complaints involving multiple allegations, if one or more of the allegations meets the referral criteria, all allegations of the complaint will be referred to CCMU (including those that do not meet the referral criteria).

II. Types of Protective Services Intakes to be investigated by the local APS and **not** referred to CCMU:

A. Complaints from any source and facility self-reported incidents, regardless of outcome, that allege any of the following:

- Financial abuse
- Verbal/Mental abuse
- Sexual abuse
- Involuntary Seclusion

B. Physical Abuse or Neglect of Care, including injuries of unknown cause or resident to resident altercations, with outcomes to a resident **not listed in the six criteria for referral to CCMU.**

If in the course of the local office investigation it is revealed that the complaint **did** meet the referral criteria, the local office will complete the investigation rather than stop and refer to CCMU.

III. Local Office Process Before Referral to CCMU

- Use the state approved Licensed Facility Complaint Intake Form, DHS Form # 0817, for all facility complaint intakes. This form is available at <http://www.dhs.state.or.us/admin.forms/>;
- Public complaints: The complainant is to be told that the concern is being referred to the state's Client Care Monitoring Unit. Describe that CCMU staff are healthcare professionals trained specifically for investigations in nursing facilities. The complainant should be told that they will receive a follow-up phone call from CCMU. The complainant should be given the toll-free phone number for CCMU, 1-877-280-4555.
- Facility Self-Reported Incidents: If the local office has received a completed Nursing Facility Incident Self-Report Form that reveals a resident outcome that meets any of the CCMU referral criteria; that form will be immediately sent to CCMU with no further action on the part of the local office. **Do not inform a nursing facility that the self-reported incident has been referred to CCMU.**

#### IV. Referral of Intake to CCMU

- Fax the completed Licensed Facility Complaint Intake Form, DHS Form # 0817, and/or Nursing Facility Incident Self-Report Form, DHS Form # 0819 to the Tualatin CCMU office at 1-888-550-6788.
- Local office will maintain a log of faxed referrals to CCMU.

#### V. Closing the loop between CCMU and APS

- CCMU will maintain a log of faxed referrals received from local offices.
- CCMU will provide each local APS office with a monthly report about the disposition or status of complaints referred to CCMU.
- CCMU management will attend the quarterly APS managers' meetings to review data and discuss the referral process.

#### VI. CCMU and APS Collaboration

- If CCMU prioritizes a referral as needing a same day onsite presence to assure resident protection and CCMU, due to travel distance, is unable make a timely response, the local unit will be the first responder for the purpose of protection. If the local unit is the first responder, CCMU will travel to the facility to initiate and complete the investigation. The local unit does not initiate a 723 investigation report.
- If, in the course of a CCMU investigation, it is determined that a crime may have occurred, CCMU will contact the local APS agency and request a referral to law enforcement. The local APS agency will assign a staff person to liaison with law enforcement and CCMU as necessary. CCMU will complete the complaint investigation.
- If, in the course of a local APS investigation, it is determined that the facility may have systemic problems in their delivery of care such that there is a potential risk to more than an isolated number of residents, the local office will contact the local CCMU manager to discuss the need for a complaint survey referral. Systemic problems include, but are not limited to infection control, medication administration, food safety.
- CCMU will communicate ongoing issues, such as problematic communication dynamics between the facility and family, to the case manager or ombudsman.

