

Appendices

Appendix A

SERT User Password Request Form *(Requires Management approval)*

SERT Login and Password:

To obtain your SERT logon ID and password, fill out form and attach as an e-mail addressed to the [SERT Technical Coordinator](#). Your password and logon ID will be sent via e-mail.

First Name		County	
Last Name:			
E-mail:			
Phone Number:	Include area code	Other Info	
Address		City	
Zip		Job Title:	
<input type="checkbox"/> Check if you will be entering SERTs		<input type="checkbox"/> Check if you are a county investigator	
<input type="checkbox"/> Check if you are replacing an individual whose SERT password is no longer required and must be revoked. Name of individual: _____		Date you are replacing this person:	
Name & phone # of Supervisor or Manager Name:		Phone:	

Appendix B:

SPD SERT Contacts

For Login passwords, SERT process, definitions, determining what is an event, other data entry questions; or reports and data:

Dana Messman (SERT Coordinator)
Phone: (503) 945-5810
E-mail: dana.messman@state.or.us

For technical difficulties with SERT or password problems or reports and data:

Margie Bibby (SERT Web Administrator)
Phone: (503) 945-6836
E-mail: margie.bibby@state.or.us

For problem-solving local strategies for issues identified in the SERT process, contact the SPD-DD Regional Coordinator for your region.

Appendix C: Monthly CDDP SERT – Review EXAMPLE

Monthly CDDP SERT Review EXAMPLE

CDDP/Program: County A Date of Review: July 11, 2008 Period reviewed: From 6/1/08 To 6/30/08

SERT Team Present: Laurie Manager, DDPM; Tom Sert, SERT Coordinator; Arthur Trend, QA Coordinator; Martha Super, SC Supervisor; Lana Curious, Protective Service Investigator

⊕ I. Summary of Information Reviewed

Type of Information	Total in Period	# Rev'd this Meeting	Type of Information	Total in Period	# Rev'd this Meeting
Serious Events	25	8	Deaths	1	1
Serious Events Not Requiring PSI	20	3	Overdue County Reviews	6	6
Serious Events Requiring PSI	5	5	Overdue PSI's	2	2
Licensing/Certification Notices	2	2	Current status of serious events referred to Child Welfare, Law Enforcement, SPD Medical Director, Other Agencies	2	2

SERT Data-Based Reports Reviewed (Including reports of data beyond current period)

Type of Report (e.g. Top 10 Individuals)	Period Covered (e.g. past 30 days, previous 12 months, etc.)	Frequency of report (e.g. annual, monthly, quarterly, one-time)
Top 10 individuals w/physical abuse	1/2001 through 6/2008	annual
Top 10 provider sites w/unauthorized restriction	1/2007 through 12/2007	annual

List Other Sources of Information Reviewed (e.g. Service Coordination Meeting Notes, Service Monitoring records):

Service coordinator meeting re service monitoring in Provider A sites.

II. Summary of SERT Issues, Actions, Outcomes. Do not remove item from list until outcome has been recorded. Add rows to each table as required.

A. Individual Issues: Summarize issues, trends, actions and outcomes related to individuals involved in serious events.

1. **Individual cases SERT team wants to follow due to significance of issues.** Identify individuals only by case number and do not include other information from which individuals might be easily personally identified, e.g. gender, date of birth, family name, etc.

Individual Number	Trend/Issue	Action	Outcome
14333	Increasing # of hospitalizations last 6 months; 5 times this month. Most appear related to degenerative osteoporosis	Provider scheduled appointment July 14 with Dr. to review meds. Provider also reviewing living environment 7/15 to see if there are ways to reduce risk of injury.	
841	Has been calling police w/various complaints. Data indicates calls on Monday and Wednesday from group home, almost never any other days.	Service Coordinator to work w/provider re possible staffing issues Mon. and Wed. Will also review ISP for new approach by 8/1/08.	
1144444	Pattern 8/07 to 4/08 of increasing events apparently related to psychiatric issues.	Service Coordinator reviewed w/provider 5/5. Psychiatrist reviewed 5/14; new prescription for anxiety prescribed.	Significant decrease in serious events after 5/14.

2. **Trends and issues Team notes re collective individual information**, e.g. increasing numbers of serious events involve incomplete health care protocols regardless of provider, increasing numbers of cases on overdue PSI list involve referral to local police, decreasing use of emergency room in foster care, etc.

Trend/Issue	Action	Outcome
Overdue PSI's connected to police referrals—at least 3 months delay	Arthur Trend to discuss with police chief by 8/1.	

B. Provider Issues: Summarize issues, trends, actions and outcomes related to providers, including licensing or certification issues as well as those related to serious events.

1. **Provider circumstances SERT team will follow.** MUST follow licensing/certification issues; choose other circumstances based on significance of issue, e.g. number of events, seriousness of events, etc.

Provider and Site(s)	Trend/Issue	Action	Outcome
Group Home A	Reports no serious events last 4 months other than hospitalizations. Odd as this home is know to have incidents in general. May be non-reporting OR something is working well right now.	Laurie Manager will contact provider, discuss lack of incidents, assess reason for no reports. Call to be made by July 20.	
Voc Provider A	Last month noted lack of incident reports. Research reveals large staff turnover, need for training new staff re incident reports required.	Arthur Trend called Voc Provider 8/14/05 and discussed lack of reports. Training scheduled for July 3, 2005	Training occurred as scheduled for 15 employees (8 new). Continue monitoring incident reporting.
Program 1	Did not pass licensing review in June.	Program Director to present Plan of Improvement by 8/1.	
Program 2	Did not pass licensing review in April	Plan of Improvement received 5/14; Service Coordinator conducted follow-up 5/18 and 5/27; Licensing conducted another review 6/12	Passed licensing review 6/12 after implementing Plan of Improvement

2. **Trends and issues Team notes re collective provider information** (e.g. increasing number of employment providers having difficulty with implementing individual health care protocols, decreasing number of financial exploitation events in foster care, etc.)

Trend/Issue	Action	Outcome
Increasing number of employment providers having difficulty with implementing individual health care protocols.	Schedule ISP training and orientation to health care protocols by 8/15/08.	

C. CDDP Issues: Summarize issues, trends, actions and outcomes the Team notes throughout local system.

Should be used to note positive trends and outcomes as well as concerns.

Trend/Issue	Action	Outcome
Increase in hospitalizations and police calls Dec-Feb. Also seems to correlate to heavy staff turnover and understaffing in these periods. May represent seasonal fluctuation.	Worked w/all providers on recruitment and training of staff. Discussed at monthly provider meetings. Monitored for further change.	Number of hospitalizations and police calls has dropped steadily for the last three months.

Appendix D: SERT Reporting and Review: CDDP/SOCP/OIT

An incident occurs or a complaint is received at a SOCP site and.....

Process	State-Operated Community Program (SOCP)	Office of Investigation and Training (OIT)	Community Developmental Disability Program (CDDP)
Stage 1: Response and Notification	<p>Ensures safety of individual Calls Service Coordinator Consults with OIT re abuse Writes incident report (IR) Enters data in internal incident tracking system</p> <p>Sends IRs of unusual incidents to CDDP</p> <p>Based on OIT decision, Prog. Admin. gives summary form and IR to OIT, sends CDDP copy of summary form</p>	<p>Evaluates need for investigation per consultation or IR and e-mails SOCP and CDDP with decision</p> <p>If decision is not to investigate, sends follow-up notice to CDDP with reasons</p>	<p>Evaluates incident, entering serious events in SERT and assigning follow-up on others as needed</p> <p>Checks on safety of individual if abuse is alleged</p>
Stage 2: Investigation or Review	<p>Invites Service Coordinator to case review meeting</p> <p>Participates in case review meeting, reviewing draft report with CDDP and OIT</p>	<p>Conducts investigation and drafts report of investigation Notifies SOCP and CDDP when investigation is complete, scheduling case review meeting Reviews draft report with CDDP and SOCP Finalizes Report and distributes it to CDDP and SOCP</p>	<p>Completes review of serious events that do not require protective services investigation, entering data in SERT</p>
Stage 3: Follow-up	<p>Completes actions required as result of investigation</p>		<p>Enters information from PSI report into SERT Completes follow-up on action taken as result of county review or PSI, tracking in monthly SERT reviews as needed Maintains record of unusual incidents</p>

SERT ENTRIES FOR EVENTS REFERRED TO DHS CHILD WELFARE

When the CDDP receives a report that appears to involve child abuse as defined in section 2.0 of the SERT manual:

1. Report incident to DHS Child Welfare;
2. Enter incident in SERT as PSI; and
3. Indicate referral to DHS Child Welfare (CW).

Subsequent SERT entries for the event depend on several factors, among them whether Child Welfare assigns the case for assessment, whether the child resides in a DD setting and whether Child Welfare requests CDDP consultation or help (e.g. with safety planning or other follow-up). For example, when a report does not involve a child in a DD residential setting:

- If CW screener indicates case will not be assigned for assessment, the SERT entry may be closed without outcome after a few days without further word from CW. Indicate reason for closure in the **Investigation Summary** field and insert **Date Investigation Completed**. Be prepared to update the entry if contacted by CW.
- If CW screener indicates case will be assigned for assessment, leave the SERT entry open, periodically checking with CW for status updates.
 - If CW requests DD involvement, continue to check status of case regularly until CW indicates either that the case is closed or that DD assistance is no longer needed. Record CDDP actions and whatever is known of CW investigation outcomes and actions and then indicate investigation is complete.
 - If CW does not request DD involvement but does provide some level of information about outcomes and actions taken as a result, record that information and indicate investigation is complete.
 - If CW neither requests DD involvement nor provides information about outcomes and actions, the SERT entry may be closed without outcome 60 days after referral to CW. Indicate reason for closure in **Investigation Summary** field. Be prepared to update the entry if contacted by CW.

Appendix F:

SERT Monthly Reports – the easy way

1. Open up a blank WORD document and minimize it.
2. Open up Internet Explorer and login to SERT.
3. Go to the SERT “Home Page” for the county.
4. Look under SERT Quick Picks – Online Forms County Monthly SERT Review Report template **Word**. Click on **Word**. This will pull up the template in Microsoft-Word.
5. Fill out the information. Save the document with a new file name to a directory of your choice, then minimize the document. This will be the document you upload. (File name example: Lincoln-2003-0402 saved to C:).
6. Return to the “Home Page” for the county and click **Submit County Monthly SERT Review**. Click the **Browse** button and locate the file you saved to upload. Double click the file-name. You will see it appear in the **Form to upload** space. Click **Upload File** button.

You are done!