

Lilia Teninty

Authorized Signature

Number: APD-PT-17-025

Issue date: 7/21/2017

Topic: Developmental Disabilities

Transmitting (check the box that best applies):

- New policy
 Policy change
 Policy clarification
 Executive letter
 Administrative Rule
 Manual update
 Other: _____

Applies to (check all that apply):

- | | |
|--|--|
| <input type="checkbox"/> All DHS employees | <input type="checkbox"/> County Mental Health Directors |
| <input type="checkbox"/> Area Agencies on Aging | <input checked="" type="checkbox"/> Health Services |
| <input type="checkbox"/> Aging and People with Disabilities | <input checked="" type="checkbox"/> Office of Developmental Disabilities Services(ODDS) |
| <input type="checkbox"/> Self Sufficiency Programs | <input checked="" type="checkbox"/> ODDS Children’s Intensive In Home Services |
| <input checked="" type="checkbox"/> County DD Program Managers | <input checked="" type="checkbox"/> Stabilization and Crisis Unit (SACU) |
| <input checked="" type="checkbox"/> ODDS Children’s Residential Services | <input checked="" type="checkbox"/> Other (<i>please specify</i>): DD Licensing; Service Coordinators, Brokerage Directors; Personal Agents; OAAPI |
| <input type="checkbox"/> Child Welfare Programs | |

Policy/rule title:	Serious Event Review Team (SERT) Reporting		
Policy/rule number(s):		Release no:	
Effective date:	August 14, 2017	Expiration:	when replaced
References:			
Web address:			

Discussion/interpretation: *This transmittal replaces SPD-AR-10-087*

Reporting of serious events in the Serious Event Review Team (SERT) database is a requirement of Community Developmental Disabilities Programs (CDDPs) and Office of Developmental Disabilities Services (ODDS) staff providing case management support to individuals receiving services funded by the ODDS, per [OAR 411-415-0050](#). It is also a requirement documented in the Centers for Medicare and Medicaid

Services (CMS)-approved 1915(c) Home and Community-Based Services waivers operated by ODDS.

The SERT database provides information about, and documentation of, response to health and safety issues and concerns and assures compliance with federal waiver requirements. It allows confidential communication of serious events, tracking of actions taken regarding those events, and reporting for review and follow-up by ODDS, CDDPs and Brokerages. Reports from the database allow assessment for concerns or trends which inform decision making and remediation activity. The SERT database is also the mechanism through which complaints of allegations of abuse are sent from the CDDPs to the Office of Adult Abuse Prevention and Investigations (OAAPI).

The ODDS and the Oregon Health Authority (OHA) use the SERT database to monitor the health and safety of individuals receiving services under authorization of the Office of Developmental Disabilities Services. The CMS requires ODDS to meet Federally-mandated assurances of health and safety and the SERT database provides records and reports for monitoring serious events by ODDS, OHA, and the CDDPs. Consistent data entry and review of reports across the state is necessary to assure the health and safety of individuals receiving developmental disabilities services.

Implementation/transition instructions:

All allegations of abuse must be entered into SERT regardless of whether the allegation was screened out or screened in for an investigation.

Case management entities must review incident reports received from providers and assess the information for screening and entry into the SERT database (brokerages send to CDDPs for entry into SERT), as well as for follow-up activities.

Reporting of all serious events, in addition to incidents of abuse or neglect, must now be entered for children receiving services. Events referred to Child Protective Services (CPS), as well as any known CPS follow-up, or attempts to obtain information from CPS, must be entered into SERT.

Reporting:

Brokerages and the state Stabilization and Crisis Unit (SACU) staff must report all serious events to the local CDDP for entry of the data into the SERT database. CDDPs must enter all required serious events directly into the SERT database.

For allegations involving children served through ODDS' Children's Intensive In-Home Services and Children's Residential Units, ODDS staff must enter the data into SERT.

All serious events listed below must be entered into the DD SERT Database:

- **All allegations of abuse** -Abandonment, Physical Abuse, Sexual Abuse, Neglect, Verbal Abuse, Restraints/Involuntary Seclusion, Financial Exploitation as defined in [OAR 407-045-0260](#). All allegations of abuse made to Child Welfare must be reported into the SERT system, including when CIIS or the CDDP make a referral to Child Welfare. This also includes when CIIS or the CDDP become aware of a referral made to Child Welfare;
- **All deaths** (under any circumstances);
- **Admission for psychiatric treatment at a facility or hospital** for any length of time; and
- **Medical Hospitalizations due to individual injury or illness.**
Does **NOT** include:
 - emergency room visits without subsequent admission
 - stay for dental treatment under sedation
 - planned treatments or procedures (unless admitted to hospital for unplanned complications).

Since 2010, data entry is not to be made for police or fire department involvement, emergency room visits, ambulance transport, or criminal referral.

Data must be entered using the process and procedures identified in the SERT Manual and [SPD-AR-10-033](#), including only those events as identified above.

All case management entities are responsible for conducting follow-up actions to assure health and safety. CDDPs are responsible for reviewing SERT data and trends per [OAR 411-320-0045](#). CDDP collaboration with Brokerages may be necessary to assure quality services and TO meet program requirements. Reports of SERT data may be requested of ODDS by a CDDP at CDDP.SERT@state.or.us.

Frequently Asked Questions:

1. **Question:** For Brokerages – at what time do Brokerages inform the CDDP of a serious event?

Answer: Inform the CDDP as soon as you learn about the serious event. Follow up information will need to be added later. The Brokerage must immediately report to the CDDP any incident or allegation of abuse falling within the scope of OAR. CDDPs treat any complaint or report alleging abuse as a report of a serious event and enter information about the event into the SERT database within one working day of receipt of the report.

2. **Question:** For CDDPs – do CDDPs enter everything that is reported to them or just the situations that they are screening in?

Answer: All allegations of serious events including abuse are entered into SERT for tracking purposes. This includes all allegations that are ‘screened out’ and not

opened for an investigation. Refer to the SERT manual for guidance on the process of making SERT entries. [SERT Manual](#)

3. **Question:** For kids – if there is an abuse allegation reported to Child Welfare/Child Protective Services (CPS) – what goes into SERT?

Answer: Enter the following:

- Referral to CPS
- Any follow up from CPS, if we receive the info, or note that we tried to get info, but CPS did not respond
- Any remedial/ protective actions taken on the part of the CDDP to ensure health and safety

Training/communication plan: This transmittal clarifies and memorializes policy for reporting of serious incidents by case management entities.

Local/branch action required: Program Managers and Brokerage Directors must share this information with case managers and staff responsible for reporting, recording and processing reports of incidents which would require reporting if the incident is a serious event. Reports of SERT data may be requested of ODDS by a CDDP at CDDP.SERT@state.or.us.

Central office action required: Monitor data reports. Review CDDP and Brokerage compliance. Provide reports of SERT data to CDDPs.

Field/stakeholder review: Yes No

If yes, reviewed by: CDDP and Brokerage review teams

Filing instructions:

If you have any questions about this policy, contact:

Contact(s):	Darlene O’Keeffe		
Phone:	503-945-6373	Fax:	
Email:	Darlene.b.okeeffe@state.or.us		