2019 HOUSE HUMAN SERVICES

HB 1107

2019 HOUSE STANDING COMMITTEE MINUTES

Human Services Committee

Fort Union Room, State Capitol

HB 1107 1/7/2019 30468

☐ Subcommittee☐ Conference Committee

Committee Clerk: Elaine Stromme

Explanation or reason for introduction of bill/resolution: Relating to the duties of the state long-term care ombudsman and vulnerable adult protective services.

Minutes: Attachments 1

Vice Chairman Rohr: Opened the hearing on HB1107.

Michelle Gayette, Assitant Director for the Department of Human Services: Introduced HB 1107. (See Attachment 1). (1:00-7:30)

Representative Dobervich: I have a question on Section 3 talking about the ombudsman not being a mandated reporter. I understand there are Federal guidelines, but what about discovery while I as an ombudsman would witness something but is not related to what I am reporting? If they are not going to be a mandated reporter, then what is the department going to do to assure that the situation would get reported?

Michelle Gayette: I know there are policies in place to assist residents but I would like to ask Carla Backman Long Term Care Ombudsman to answer that.

Carla Backman, ND Long Term Care Ombudsman: The Ombudsman program is guided by being resident advocates. For us to disclose any information we do need consent from the resident. We share the concern that if there are any abuse, neglect or exploitation issues of a resident that they are taken forward. Our first process of advocacy if a resident discloses such a situation is to make sure they are informed of all the options available to them. If the resident says they do not want that disclosed the Federal guidelines say that we cannot disclose that. We have several pages of policy that addresses follow up with that resident and other ways of being able to address that issue.

Representative Porter: Your saying the Federal law precludes you from reporting a crime?

Carla Backman: Any information that a resident shares with us we need their consent to disclose. That was the original intent of the Older Americans Act. Our final rule as it was brought out in 2015 added several clarifications to that.

Representative Porter: Can you provide us that specific information?

House Human Services Committee HB 1107 1/7/2019 Page 2

Carla Backman: Yes, we can provide further information.

Representative Porter: Even if a crime has been committed against an individual you cannot report a crime?

Carla Backman: It does not specifically say if a crime is committed but again it goes back to us being a resident trusted advocate and we need their consent to release any information.

Representative Porter: On the change from 9 month to 1 month on their discharge as a resident, how will that affect the reporting and investigation process?

Michelle Gayette: At that point they would be considered a member of the community and then we as Vulnerable Adult Protective Services can step in to help advocate for that individual and then could make a referral to the Long Term Care Ombudsman for a systems issue.

Vice Chairman Rohr: Any other questions? Any other support? Any opposition? None heard.

Hearing closed on HB 1107.

2019 HOUSE STANDING COMMITTEE MINUTES

Human Services Committee

Fort Union Room, State Capitol

HR1107

1/23/2019 31353										
☐ Subcommit										
Committee Clerk: Elaine Stromme by Marjorie Cor	Committee Clerk: Elaine Stromme by Marjorie Conley									
Explanation or reason for introduction of bill/res	solution:									
Relating to the duties of the state long-term care ombudsman and vulnerable adult protective services.										
Minutes:										

Chairman Weisz: Any discussion on HB 1107?

Rep. Schneider made a motion Do Pass on HB 1107. Rep. Dobervich seconded.

Roll Call vote Yes 11 No 0 Absent 3.

Rep. Schneider will be the Carrier.

Date Boll Call Vote #:

House	Human Services				Comr	mittee
		☐ Sub	ocomm	ittee		
Amendn	nent LC# or Description:					
Other Ac	☐ As Amended☐ Place on Coctions: ☐ Reconsider	□ Do Not d nsent Cal	endar	□ Without Committee Re □ Rerefer to Appropriation	ons	
	Representatives	Yes	No	Representatives	Yes	No
Robin	Weisz - Chairman	1/		Gretchen Dobervich	100	
Karen	M. Rohr – Vice Chairman		_	Mary Schneider	1/	
Dick A	Inderson		_			
Chuck	Damschen	1_/				
Bill De	evlin	1				
Clayto	n Fegley	1/				
Dwigh	t Kiefert					
Todd F	Porter		-			
Matthe	ew Ruby					
Bill Tv	eit					
Greg \	Vestlind	1	7.			
Kathy	Skroch	1/			-	
Total	(Yes)		No			
Absent	3					
Floor As	ssignment <u>Rep. Sc</u>	hnei	der	-		

If the vote is on an amendment, briefly indicate intent:

REPORT OF STANDING COMMITTEE

Module ID: h_stcomrep_14_002

Carrier: Schneider

HB 1107: Human Services Committee (Rep. Weisz, Chairman) recommends DO PASS (11 YEAS, 0 NAYS, 3 ABSENT AND NOT VOTING). HB 1107 was placed on the Eleventh order on the calendar.

2019 SENATE HUMAN SERVICES

HB 1107

2019 SENATE STANDING COMMITTEE MINUTES

Human Services Committee

Red River Room, State Capitol

HB 1107 3/11/2019 Job # 33498

☐ Subcommittee☐ Conference Committee

Committee Clerk: Justin Velez / Marne Johnson	
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Explanation or reason for introduction of bill/resolution:

A bill relating to the duties of the state long-term care ombudsman and vulnerable adult protective services.

Minutes: Attachment #1

Madam Chair Lee opens the hearing on HB 1107.

(1:50) Michelle Gayette, Assistant Director for the Department of Human Services, Aging Services Division. Testifying in support of HB 1107. Please see Attachment #1 for written testimony.

(06:37) Senator Hogan: Have ombudsmen done any abuse reports over the last 3 years?

Michelle Gayette: I know we have worked in partnership when the resident has given permission. For me personally the easiest way to think about it is to liken an ombudsman to a domestic violence advocate. They are working on behalf of that victim and they work within the victim's parameters. That doesn't mean they won't keep working with the victim to encourage them to share that abuse and navigate that situation and bring it forward. They are not a primary reporter.

(7:50-10:05) Continues her testimony.

Senator Anderson: How do you investigate a specific case without people finding out who you are investigating?

Michelle Gayette: We try to tread very carefully. We would say, 'we have received a report of concern and we are here to make sure your safety and wellbeing is addressed. Here is everything I could offer to you to make you safe in your home, or to assure your safety.' Then it is up to that victim to accept or decline the services offered. We can't force anybody to do anything if they have the legal capacity to make their own decisions.

Senator Anderson: The point is the facility or whoever is working with them will know who you are investigating.

Senate Human Services Committee HB 1107 3/11/19 Page 2

Michelle Gayette: We can't release the reporter's identity, but it doesn't stop people from assuming that they know who we are investigating or who the reporter is.

Madam Chair Lee: We had this bill on privacy and cameras. I was against it because there's privacy for the patient, appropriate notification to the facility, because cleaning people are finding these devices, sometimes there can be damage to walls, and there is certainly a factor of privacy to the roommate. How does all this tie together now if you are an ombudsman?

Michelle Gayette: I don't know that I can answer that; I don't see the reports that come to the ombudsman. My bottom line would be the safety of the victim. If that would help their safety and storytelling, that would be something I would encourage. I would encourage you to ask that of Karla Backman.

Senator Hogan: I appreciate your statistics. Could you get us the summary of the types of vulnerable adult reports you have?

Michelle Gayette: I can absolutely get you my data. I do quarterly data, I can get you the most current, and 2018 as well.

Senator Hogan: When we talk about vulnerable adults, financial exploitation, I think that would be helpful for the committee.

Madam Chair Lee closes the hearing on HB 1107.

2019 SENATE STANDING COMMITTEE MINUTES

Human Services Committee

Red River Room, State Capitol

HB 1107 3/11/2019 Job 33517

☐ Subcommittee
☐ Conference Committee

Committee Clerk: Justin Velez / Marne Johnson

Explanation or reason for introduction of bill/resolution:

A bill relating to the duties of the state long-term care ombudsman and vulnerable adult protective services.

Minutes:

Attachment #1

Madam Chair Lee opens the discussion on HB 1107.

Senator Anderson: I move do pass on 1107.

Vice Chair Larsen: I second.

Senator Hogan: For the committee's information, we did get all of the data on vulnerable adult assessments, and it is really interesting data (Please see **Attachment #1** for Michelle Gayette's reports). Self-neglect being the most common.

(1:20-5:30) An off microphone discussion occurred as the committee read through the packet.

Senator Anderson: I move a DO PASS.

Senator O. Larsen seconded.

A roll call vote was taken. Motion passes 6-0-0.

Senator Anderson will carry.

Madam Chair Lee closes the discussion on HB 1107.

Date: 3 / 11 / 1 9 Roll Call Vote #:)

2019 SENATE STANDING COMMITTEE ROLL CALL VOTES BILL/RESOLUTION NO. 1707

Senate Human	Services				Com	mitte		
		□ Sul	bcomm	ittee				
Amendment LC# or	Description:							
Recommendation: Adopt Amendment Do Pass Do Not Pass Without Committee Recom Rerefer to Appropriations Place on Consent Calendar								
Other Actions:	☐ Reconsider							
Motion Made By _	Anduson		Se	econded By Larsen				
Sen	Yes	No	Senators	Yes	No			
Sen. Judy Lee	*		Sen. Kathy Hogan	X				
Sen. Oley Larser		×						
Sen. Howard C.	Anderson	X						
Sen. David Clem	ens	X Y						
Sen. Kristin Roer	rs .	X						
Total (Yes) _	6		No	0				
Absent			D					
Floor Assignment	Sen. A	nders	on_			-		

If the vote is on an amendment, briefly indicate intent:

REPORT OF STANDING COMMITTEE

Module ID: s_stcomrep_42_011

Carrier: Anderson

HB 1107: Human Services Committee (Sen. J. Lee, Chairman) recommends DO PASS (6 YEAS, 0 NAYS, 0 ABSENT AND NOT VOTING). HB 1107 was placed on the Fourteenth order on the calendar.

(1) DESK (3) COMMITTEE Page 1 s_stcomrep_42_011

2019 TESTIMONY

HB 1107

1-7-197 AB/10 Apage1

Testimony HB 1107 - Department of Human Services House Human Services Committee Representative Weisz, Chairman

January 7, 2019

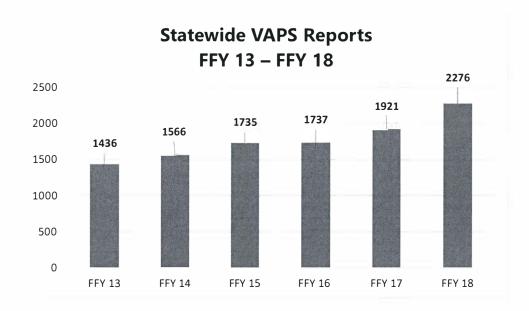
Chairman Weisz and members of the House Human Services Committee, I am Michelle Gayette, Assistant Director for the Department of Human Services Aging Services Division (Department). I appear today to provide testimony on House Bill No.1107.

House Bill No. 1107 updates chapter 50-25.2 of the North Dakota Century Code by clarifying responsibilities of the Department, updating language to meet federal requirements, clarifying when information may be accessed or requested, and further defines confidentiality of records. Changes to section 50-10.1-03 of the North Dakota Century Code are proposed to mirror the proposed changes to chapter 50-25.2.

Background

The Vulnerable Adult Protective Services (VAPS) Program addresses the safety of vulnerable adults at risk of harm due to the presence or threat of abuse, neglect, or exploitation. Adults are considered vulnerable, or at risk, if a mental or physical impairment affects their ability to take care of themselves or to make good decisions. The VAPS Program is offered statewide at regional human service centers or through contracts with local partner agencies. There are currently 16 full-time equivalent investigative staff statewide and 1.75 full-time equivalent intake staff.

Mandatory reporting went into effect in 2013, as you can see in the graph, the number of reports received increased by 58% since that time. 2,276 reports were received in FFY 2018. Of those reports, 1305 required at least one home visit.



Section 1 Proposed Changes to N.D.C.C. § 50-10.1-03

Page 1, line 10, in section 50-10.1-03 of the North Dakota Century Code, changes "person" to "individual" and is cleanup language. This change also occurs in chapter 50-25.2 of the North Dakota Century Code and can be found on Page 2, line 29; Page 3, lines 10 and 21; Page 4, line 26; and Page 5, line 22.

Page 1, line 11, changes "nine months" to "one month" to better align with definitions in State law, and the Older Americans Act. A "resident" is defined as "an individual who resides in a long-term care facility and a long-term care ombudsman is a resident rights advocate". Once a resident is discharged from a Long-Term Care Facility, they no longer meet the definition of resident, and the long-term care Ombudsman would investigate the report, only if it was related to a systems issue. Otherwise the Ombudsman would provide information and referral and document for future visits and observations at the facility. Therefore, a one-month timeframe is sufficient for the purposes of this section. This change also occurs in chapter 50-25.2 of the North Dakota Century Code and can be found in Section 4 of this Bill on Page 2, line 29.

Section 2 Proposed Changes to N.D.C.C. § 50-25.2-02

Page 1, line 16, in chapter 50-25.2 of the North Dakota Century Code removes reference to "county social service boards" to better reflect the current state of the program which is Department run and administered. The Department is responsible to develop, administer, and implement the program outlined in this chapter. This change also occurs in Sections 7 and 8 of this Bill on Page 5, lines 10 and 11, 19 and 20, and 26.

Section 3 Proposed Changes to N.D.C.C. § 50-25.2-03

Page 2, lines 12 and 13, add "An individual in the position of a long-term care ombudsman shall not be considered a mandated reporter of suspected abuse or neglect." This addition is consistent with the Long-Term Care Ombudsman Program Final Rule, title 45, Code of Federal Regulations, section 1324.19(b)(3), governing information sharing by Ombudsman. This federal regulation prohibits disclosing resident identifying information without the consent of the resident. This precludes the Ombudsman from being a mandatory reporter. Ombudsman are resident directed advocates and assist the resident in resolving concerns. Residents must be assured their information will not be disclosed without consent. The Final Rule clarified the Ombudsman act as an advocate for the abuse survivor, not as a substantiator to prove the abuse occurred.

Section 4 Proposed Changes to N.D.C.C. § 50-25.2-04

Page 2, lines 30 and 31, removes "for investigation pursuant to chapter 50-10.1" as this Chapter is referenced earlier in this section.

Section 5 Proposed Changes to N.D.C.C. § 50-25.2-05

Page 3, lines 23 through 28, adds language to the section on access to records of a vulnerable adult. If a report is received, this change will allow VAPS workers to access records of the vulnerable adult, who is unable to authorize the department or designee to have such access and the legal guardian or other representative is alleged to have caused the circumstances surrounding the

#1 |+ B1107 |-7-19

report. If there are concerns a victim is incapacitated, VAPS would not ask the victim to sign any legal documents or releases.

Page 4, lines 3-13, adds language to allow VAPS workers to request records relevant to a vulnerable adult evaluation, assessment, or other adult protective services from specified agencies or professionals, except as prohibited under title 42, Code of Federal Regulations, part 2. These requests will be limited to minimum amounts of records necessary to enable a determination to be made or to support other adult protective services. This will allow sharing of information between VAPS and local partners such as the human service centers.

Section 6 Proposed Changes to N.D.C.C. § 50-25.2-12

Page 4, lines 20-21, clarifies a reporter's identity is protected if vulnerable adult records are shared with a physician.

Page 4, line 25, specifies and clarifies that the person who is the subject of the report is the vulnerable adult.

Page 5, lines 3 through 6, makes clear a guardian or legal representative may have access to vulnerable adult protective services records unless the guardian or legal representative is suspected of abusing or neglecting the vulnerable adult. Currently, if the alleged perpetrator is the guardian or legal representative, nothing in law prohibits them from accessing the VAPS records. This could pose a risk to the victim and the VAPS worker. In one recent experience, the alleged perpetrator received all records, posted them online, and threatened the worker.



Section 7 Proposed Changes to N.D.C.C. § 50-25.2-13

Page 5, line 14, adds the words "and mandatory" and is clean-up language based on mandatory reporting law passed in 2013.

This concludes my testimony, and I am happy to answer any questions you may have.

NDLA, Intern 09 - O'Neill, Seth

#1 1+13/107

From: Gayette, Michelle D.

Sent: Tuesday, January 08, 2019 9:07 AM

To: NDLA, Intern 09 - O'Neill, Seth

Cc: Backman, Karla R.; Nikolas-Maier, Nancy E.

Subject: RE: House Bill No. 1107 Requested Information

For further clarification on section 3, proposed changes to N.D.C.C § 50-25.2-03 relating to ombudsmen not being a mandated reporter. I thought it might be helpful to clarify, according to Karla Backman, State Long-Term Care Ombudsman, it is rare an ombudsman would be the only person aware of an abusive situation. For example, facility staff would be considered a mandatory reporter and they would be charged with reporting the abuse. The victim may also reveal the abusive situation to family. The Ombudsman would act as the victim advocate.

It is helpful to me to think of the ombudsman like a domestic violence worker, acting within the wishes of the victim and advocating on their behalf.

Michelle Gayette, MMGT/LAC

Assistant Director
Aging Services Division
1237 W. Divide Ave Ste. 6
Bismarck, ND 58501

Office: (701)328-4613 Fax: (701)328-8744 mgayette@nd.gov

If you are looking to file a vulnerable adult report you can:

- Fill out the SFN 1607 https://www.nd.gov/eforms/Doc/sfn01607.pdf
- File online at: https://fw2.harmonyis.net/NDLiveIntake/ OR
- Call 1-855-462-5465 Option 2



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From: NDLA, Intern 09 - O'Neill, Seth <intern9@nd.gov>

Sent: Tuesday, January 08, 2019 7:51 AM **To:** Gayette, Michelle D. <mgayette@nd.gov>

Cc: Backman, Karla R. <kbackman@nd.gov>; Nikolas-Maier, Nancy E. <nmaier@nd.gov>

Subject: RE: House Bill No. 1107 Requested Information

Hello Michelle,

6

Older Americans Act Section 712 (d)(2)(b)

(d) DISCLOSURE

- (d) DISCLOSURE.—
- (1) IN GENERAL.—The State agency shall establish procedures for the disclosure by the Ombudsman or local Ombudsman entities of files, records, and other information maintained by the program, including records described in subsection (b)(1) or (c).
- (2) IDENTITY OF COMPLAINANT OR RESIDENT.—The procedures described in paragraph (1) shall—
- (A) provide that, subject to subparagraph (B), the files, records, and other information described in paragraph (1) may be disclosed only at the discretion of the Ombudsman (or the person designated by the Ombudsman to disclose the files, records, and other information);
- (B) prohibit the disclosure of the identity of any complainant or resident with respect to whom the Office maintains such files, records, or other information unless-
- (i) the complainant or resident, or the legal representative of the complainant or resident, consents to the disclosure and the consent is given in writing;
- (ii)(I) the complainant or resident gives consent orally; and
- (II) the consent is documented contemporaneously in a writing made by a representative of the Office in accordance with such requirements as the State agency shall establish; or
- (iii) the disclosure is required by court order; and

ACL's Frequently Asked Questions (FAQ's)

Question: Does the Rule *prohibit* an Ombudsman or representatives of the Office from being mandated reporters under state abuse reporting laws?

Answer: Yes. Both the Older Americans Act and the Rule prohibit reporting of residentidentifying information without the resident's consent. By logical extension, this precludes mandated reporting of suspected abuse which discloses such information. Through the strict disclosure limitations within the Act, Congress has indicated its intent for the Ombudsman program to be a safe, person-centered place for residents to bring their concerns. Residents can be assured that their information will not be disclosed without their consent, the consent of the resident representative, or court order. (OAA Section 712(d)(2)(B)). Despite numerous Congressional reauthorizations of the Act, Congress has never provided an exception for abuse reporting in the Act.

#1 HB 1107 1-7-19 P8

Long Term Care Ombudsman Final Rule 45 CFR Part 1324.19(b)(3)(iii) (iii) In order to comply with the wishes of the resident, (or, in the case where the resident is unable to communicate informed consent, the wishes of the resident

representative), the Ombudsman and representatives of the Office shall not report suspected abuse, neglect or exploitation of a resident when a resident or resident

representative has not communicated informed consent to such report

Testimony House Bill 1107 - Department of Human Services Senate Human Services Committee Senator Judy Lee, Chairman

March 11, 2019

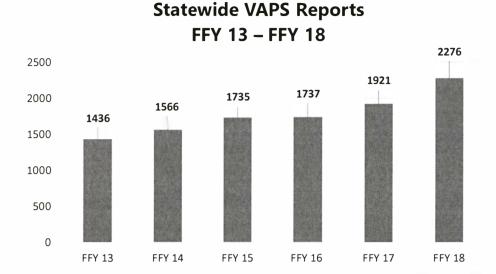
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#1 pg.5

Section 7 Proposed Changes to N.D.C.C. § 50-25.2-13

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This concludes my testimony, and I am happy to answer any questions you may have.

Older Americans Act Section 712 (d)(2)(b)

- (d) DISCLOSURE.—
- (1) IN GENERAL.—The State agency shall establish procedures for the disclosure by the Ombudsman or local Ombudsman entities of files, records, and other information maintained by the program, including records described in subsection (b)(1) or (c).
- (2) IDENTITY OF COMPLAINANT OR RESIDENT.—The procedures described in paragraph (1) shall—
- (A) provide that, subject to subparagraph (B), the files, records, and other information described in paragraph (1) may be disclosed only at the discretion of the Ombudsman (or the person designated by the Ombudsman to disclose the files, records, and other information);
- (B) prohibit the disclosure of the identity of any complainant or resident with respect to whom the Office maintains such files, records, or other information unless—
- (i) the complainant or resident, or the legal representative of the complainant or resident, consents to the disclosure and the consent is given in writing; (ii)(I) the complainant or resident gives consent orally; and
- (II) the consent is documented contemporaneously in a writing made by a representative of the Office in accordance with such requirements as the State agency shall establish; or
- (iii) the disclosure is required by court order; and

ACL's Frequently Asked Questions (FAQ's)

Question: Does the Rule *prohibit* an Ombudsman or representatives of the Office from being mandated reporters under state abuse reporting laws?

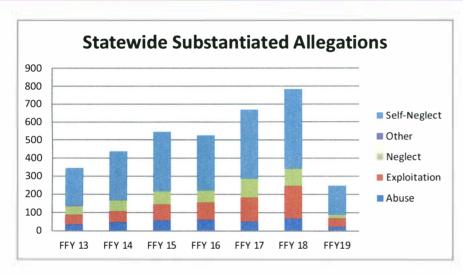
Answer: Yes. Both the Older Americans Act and the Rule prohibit reporting of resident-identifying information without the resident's consent. By logical extension, this precludes mandated reporting of suspected abuse which discloses such information. Through the strict disclosure limitations within the Act, Congress has indicated its intent for the Ombudsman program to be a safe, person-centered place for residents to bring their concerns. Residents can be assured that their information will not be disclosed without their consent, the consent of the resident representative, or court order. (OAA Section 712(d)(2)(B)). Despite numerous Congressional reauthorizations of the Act, Congress has never provided an exception for abuse reporting in the Act.

HB 1107 3/11/19 #1 PS. 7

Long Term Care Ombudsman Final Rule 45 CFR Part 1324.19(b)(3)(iii)

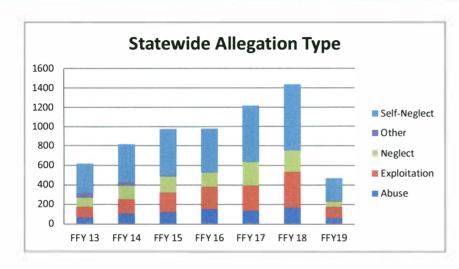
(iii) In order to comply with the wishes of the resident, (or, in the case where the resident is unable to communicate informed consent, the wishes of the resident representative), the Ombudsman and representatives of the Office shall not report suspected abuse, neglect or exploitation of a resident when a resident or resident representative has not communicated informed consent to such report

	SUBSTANTIATED ALLEGATIONS				No. 4		
ALLEGATION TYPE	FFY 13	FFY 14	FFY 15	FFY 16	FFY 17	FFY 18	FFY19
Abuse	36	47	57	61	51	68	23
Exploitation	51	59	87	94	130	177	46
Neglect	47	60	72	64	104	95	20
Other	3	1	0	0	0	0	0
Self-Neglect	207	269	328	305	383	443	158
Grand Total	344	436	544	524	668	783	247



Pulled 1/23/19

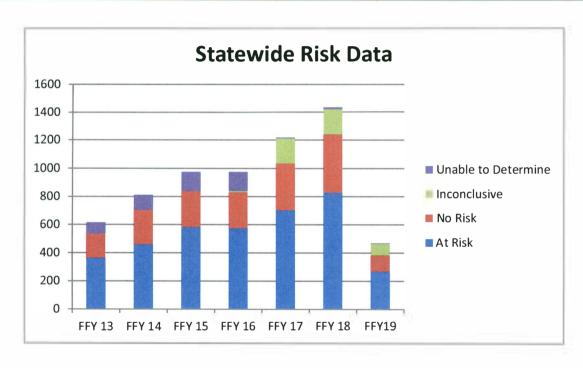
	STATEWIDE DATA						
ALLEGATION TYPE	FFY 13	FFY 14	FFY 15	FFY 16	FFY 17	FFY 18	FFY19
Abuse	66	104	120	152	135	165	60
Exploitation	107	146	201	225	256	368	114
Neglect	96	141	164	150	243	218	57
Self-Neglect	303	384	481	446	580	683	235
Other	42	35	8	1	0	0	2
Grand Total	572	775	966	973	1214	1434	468



Pulled 1/23/19

STATEWIDE DATA

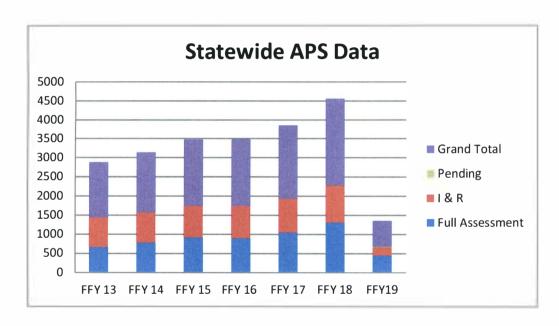
	OTATIE CONTIN						
DECISION	FFY 13	FFY 14	FFY 15	FFY 16	FFY 17	FFY 18	FFY19
At Risk	363	458	581	573	701	826	266
No Risk	171	244	256	254	331	413	115
Inconclusive	0	0	0	11	179	179	83
Unable to Determine	80	108	137	136	6	16	4
Grand Total	614	810	974	974	1217	1434	468



Pulled 1/23/19
Inconclusive added as an option in October 2016

STATEWIDE DATA

DECISION	FFY 13	FFY 14	FFY 15	FFY 16	FFY 17	FFY 18	FFY19
Full Assessment	658	778	913	891	1040	1303	441
I & R	778	788	822	846	881	965	215
Pending	0	0	0	0	1	9	18
Grand Total	1436	1566	1735	1737	1922	2277	674



Pulled 1/23/19