



OFFICE OF RECIPIENT RIGHTS  
John T. Sanford, III, Director

Annual Report  
FY 2004/2005

We must scrupulously guard the civil rights and civil liberties of all citizens whatever their background. We must remember that any oppression, any injustice, any hatred, is a wedge designed to attack our civilization.

Franklin D Roosevelt

# Table of Contents

Introduction	2
The Department	2
The Annual Report	2
Organizational Chart	3
Part I - Field Unit/Complaint Activity	4
State Hospital/Center Data Summary	6
State Hospital/Center Remedial Action Summary	10
DCH Appeals Committee	16
Part II - Training Unit	17
Educational Offerings	18
Recipient Rights Conference	20
Rights Training Provided	21
Rights Training Received	22
Part III - Community Rights Unit	23
CMHSP Rights System Assessment	24
Information and Referral	25
Recommendations to the Department of Community Health	26
Appendix A	
1. Center for Forensic Psychiatry	27
2. State Facility Individual Data - Hawthorn	31
3. Kalamazoo	35
4. Mount Pleasant	39
5. Caro Center	43
6. Walter Reuther	47
Appendix B	
Data Report for All LPH/U Rights Offices	51
Appendix C	
Data Report for All CMHSP Rights Offices	55
Appendix D	
Remedial Action on substantiated complaints for all CMHSP Rights Offices	59-79
Appendix E	
Remedial Action on substantiated complaints for all LPH/U Rights Offices	80-159

## Mission Statement

The Office of Recipient Rights was established in 1974 to protect the rights granted to recipients of Mental Health Services in the State of Michigan. It is our mandate to assure that providers of mental health services maintain a rights system consistent with the standards established by the Michigan Mental Health Code, P.A. 258 of 1974, as amended.

# **INTRODUCTION**

## **The Department**

The Michigan Mental Health Code, PA 258 of 1974, established the Michigan Department of Community Health Office of Recipient Rights (DCH-ORR), its functions and its responsibilities. The primary mandates of the office are to provide direct rights protection and advocacy services to individuals admitted to state psychiatric hospitals and centers for developmental disabilities and to assess and monitor the quality and effectiveness of the rights protection systems in community mental health service programs and licensed private psychiatric hospitals/units.

In order to fulfill the statutory mandates, DCH-ORR is organized into three distinct units: the Field Unit, the Training Unit and the Community Rights Unit (See Organizational Chart). This report will summarize the activity in each of these units for FY 2004/2005 as well as discuss any patterns and trends in rights protection in the state of Michigan identified for this period of time.

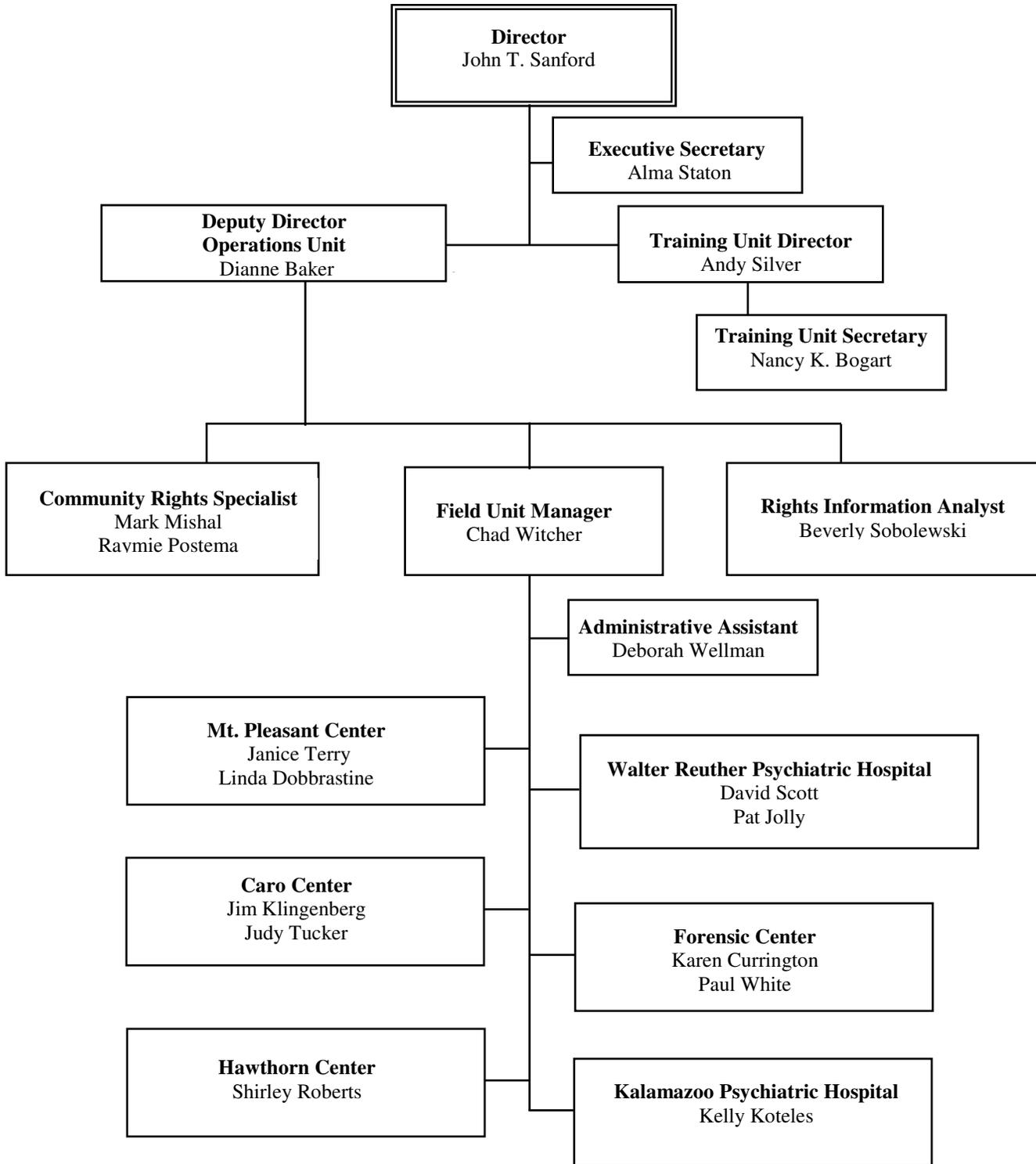
## **The Annual Report**

This Annual Report reflects the requirements outlined in section 330.1754. “The state office of recipient rights shall submit to the director of the department and to the committees and subcommittees of the legislature with legislative oversight of mental health matters, for availability to the public, an annual report on the current status of recipient rights for the state. The report shall be submitted not later than March 31 of each year for the preceding fiscal year. The annual report shall include, at a minimum, all of the following:

- (i) Summary data by type or category regarding the rights of recipients receiving services from the department including the number of complaints received by state facility and other state-operated placement agency, the number of reports filed, and the number of reports investigated
- (ii) The number of substantiated rights violations in each state facility by category
- (iii) The remedial actions taken on substantiated rights violations in each state facility by category
- (iv) Training received by staff of the state office of recipient rights
- (v) Training provided by the state office of recipient rights to staff of contract providers
- (vi) Outcomes of assessments of the recipient rights system of each community mental health services program
- (vii) Identification of patterns and trends in rights protection in the public mental health system in this state
- (viii) Review of budgetary issues including staffing and financial resources.
- (ix) Summary of the results of any consumer satisfaction surveys conducted.
- (x) Recommendations to the department.”

# Michigan Department of Community Health

## OFFICE OF RECIPIENT RIGHTS



# PART I - FIELD UNIT

## Background

During FY 2004/05 ORR had field offices providing rights protection services to each of the seven state hospitals and centers: Caro Center, Hawthorn Center, Mt. Pleasant Center, Kalamazoo Psychiatric Hospital, Walter Reuther Psychiatric Hospital, and the Center for Forensic Psychiatry. As of September 30, 2005, the Field Unit consisted of a Unit Manager, one Administrative Assistant, and eleven Rights Advisors.

## Complaint Activity

The following terms are used throughout the remainder of this report:

**Allegation** An assertion of fact made by an individual that has not yet been proved or supported with evidence.

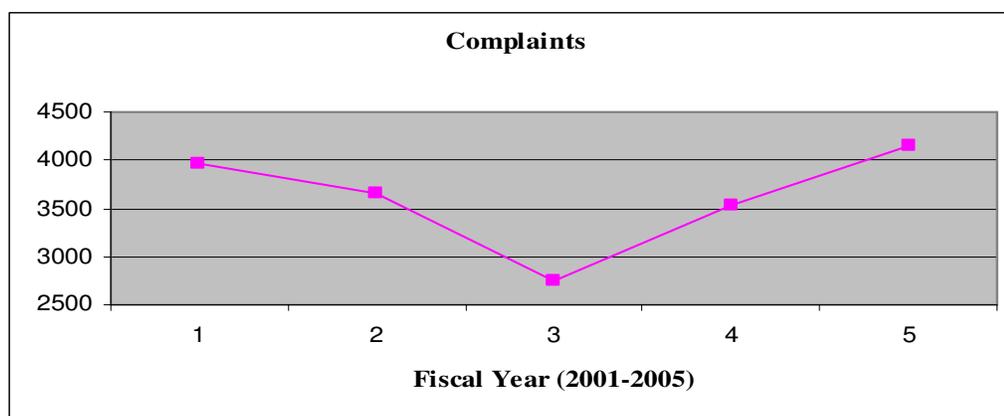
**Investigation** A detailed inquiry into and a systematic examination of an allegation raised in a rights complaint and reported in accordance with Chapter 7A (must be conducted on allegations of abuse, neglect, serious injury or death when reasonable suspicion exists that a rights violation may have occurred), and may be conducted on other allegations at the discretion of the rights officer/advisor.

**Intervention** To act on behalf of a recipient to resolve a complaint alleging a violation of a code protected right when the facts are clear and the remedy, if applicable, is clear, easily obtainable and does not involve statutorily required disciplinary action.

**Substantiation** A determination that a right was violated, utilizing a preponderance of evidence standard (evidence which is of greater weight or more convincing than the evidence offered in opposition to it) as proof.

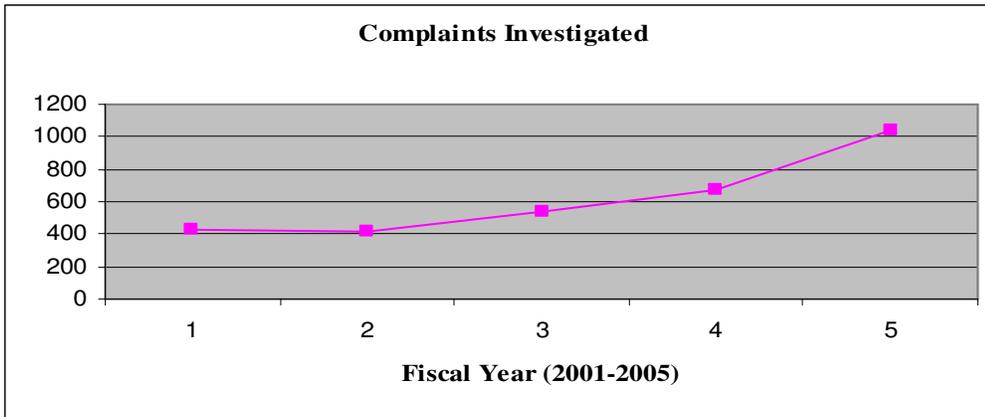
**No Right Involved** A complaint which has been reviewed but which does not meet criteria for investigation or intervention and does not involve an allegation or violation of a code protected right.

The following graph depicts a comparison of complaint activity over 5 fiscal years. Note that despite a decrease in the overall number of hospitals, which has decreased from 7 to 6, the number of complaints filed has increased, surpassing the 2000/2001 level.

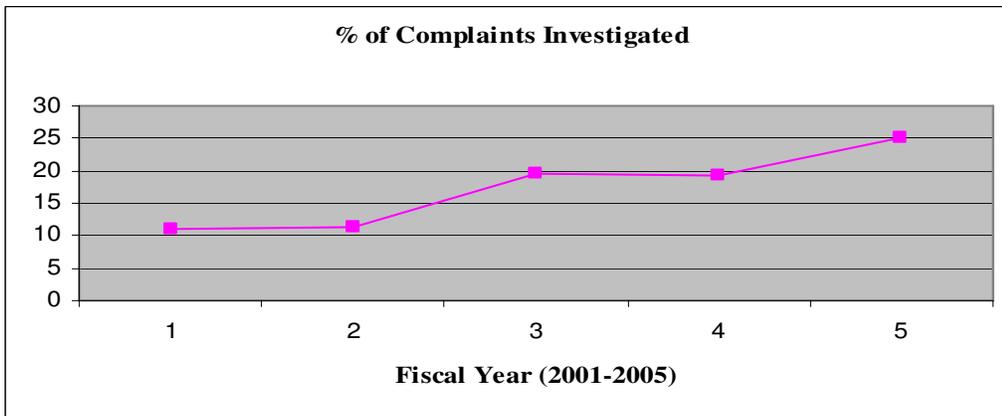


FY	<u>Complaints</u>
2001	3970
2002	3661
2003	2753
2004	3524
2005	4144

The following two graphs depict a comparison of complaint investigation activity over 5 fiscal years. There has been a consistent increase in the percent of complaints investigated, despite a reduction in the number of ORR staff, from 14 in 2000/2001, to 10 in 2004/2005.

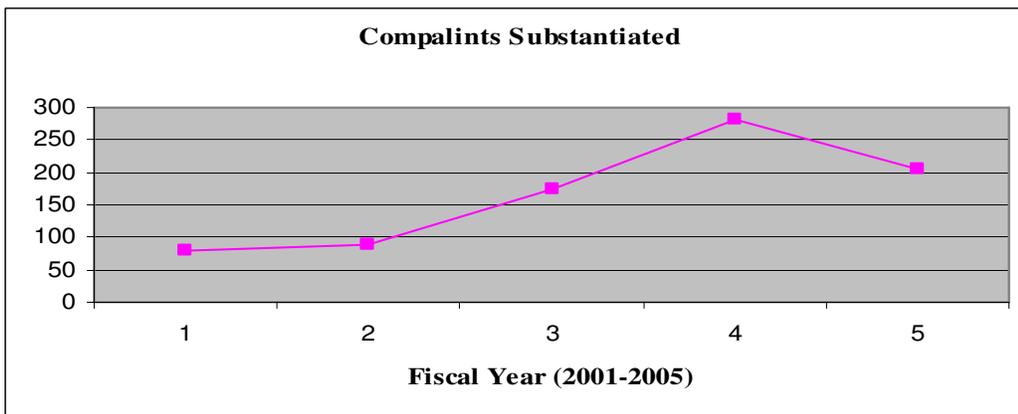


FY	<u>Number Investigated</u>
2001	432
2002	420
2003	538
2004	677
2005	1039



FY	<u>% Investigated</u>
2001	10.88
2002	11.47
2003	19.54
2004	19.21
2005	25.07

The following graph depicts a comparison of complaint substantiation over 5 fiscal years. However, only the FY 2003 through 2005 data reflects substantiation rates for complaints handled through both intervention and investigation processes.



FY	<u>Complaints Substantiated</u>
2001	81
2002	89
2003	173
2004	282
2005	204

## Complaint Data

Complaints reported in state facilities were resolved through intervention in 74.93% of cases, and through investigation in the remaining 22.07% of cases. Data analysis reveals an increase in use of the investigation process from 718 in FY 2003/2004 to 1039 in FY 2004/2005. There were 264 complaints made, which did not involve a mental health code protected right and 89 complaints made which fell outside the jurisdiction of the hospital/center rights office. Following is the ORR aggregate complaint data for fiscal years FY 2004/2005 for all six state facilities.

### All State Facilities

1. Freedom from Abuse						still open	
Code	Category	Received	Investigation	Intervention	Substantiated		
7221	Abuse Class I	4	4		0		
7222	Abuse Class II	265	265		21		44
7223	Abuse Class III	171	171		9		13
7224	Sexual Abuse	39	39		1		1

2. Freedom from Neglect							
Code	Category	Received	Investigation	Intervention	Substantiated		
7225	Neglect Class I	5	5		3		
7226	Neglect Class II	22	22		12		1
7227	Neglect Class III	46	46		27		6

3. Rights Protection System							
Code	Category	Received	Investigation	Intervention	Substantiated		
7760	Access to Rights System	5	0	5	0		
7545	Retaliation/Harassment	4	3	1	1		
7060	Notice/Explanation of Rights	1	0	1	0		
7780	Complaint Investigation Process	8	0	8	0		
7840	Appeal Process	0	0	0	0		
7880	Mediation	4	0	4	0		
7520	Failure to Report	1	1	0	1		

4. Admission/Discharge/Second Opinion							
Code	Category	Received	Investigation	Intervention	Substantiated		
7050	Second Opinion - Denial of Services	0	0	0	0		
4090	Second Opinion - Denial of Hospitalization	0	0	0	0		
4980	Objection to Hospitalization (minor)	1	0	1	0		
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0		
4630	Independent Clinical Examination	1	0	1	0		
4510	Court Hearing/Process	61	0	61	0		

## 5. Civil Rights

						still open	
Code	Category	Received	Investigation	Intervention	Substantiated		
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	13	1	12	1		
7044	Religious Practice	19	1	18	0		
7045	Voting	5	0	5	0		
7047	Presumption of Competency	6	1	5	0		
7048	Marriage/Divorce	0	0	0	0		

## 6. Family Rights

Code	Category	Received	Investigation	Intervention	Substantiated		
7111	Dignity & Respect	3	1	2	1		
7112	Receipt of General Education Information	0	0	0	0		
7113	Opportunity to provide information	1	0	1	0		

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated		
7261	Visitation	24	0	24	3		
7262	Contact with Attorneys or others regarding legal matters	5	0	5	0		
7263	Access to telephone, mail	80	0	80	6		
7264	Funds for postage, stationery, telephone usage	2	0	2	0		
7265	Written and posted limitations, if established	12	0	12	0		
7266	Uncensored Mail	14	0	14	2		
7267	Access to entertainment materials, information, news	31	1	30	3		

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated		
7481	Disclosure of Confidential Information	36	2	34	9		
7485	Withholding of Information (includes Recipient access to records)	15	0	15	1		
7486	Correction of Record	8	0	8	0		
7487	Access by P & A to records	1	0	1	0		
7501	Privileged Communication	0					

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated		
7081	Safety	342	11	331	11		
7082	Sanitary	77	0	77	5		
7083	Humane	408	407	1	18		
1708	Dignity & Respect	392	23	369	12		
7085	Nutrition	168	3	165	19		
7086	Least Restrictive Setting	17	1	16	1		

### 10. Freedom of Movement

						still open	
Code	Category	Received	Investigation	Intervention	Substantiated		
7441	Restrictions/Limitations	209	4	205	5		
7400	Restraint	4	1	3	0		
7420	Seclusion	1	1	0	1		

### 11. Financial Rights

Code	Category	Received	Investigation	Intervention	Substantiated		
7301	Safeguarding Money	20	2	18	1		
7302	Facility Account	45	0	45	0		
7303	Easy Access to Money in Account	26	0	26	0		
7304	Ability to Spend or Use as Desired	22	1	21	0		
7305	Delivery of Money upon Release	1	0	1	0		
7360	Labor & Compensation	7	0	7	0		

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated		
7281	Possession and Use	102	1	101	4		
7282	Storage Space	4	0	4	0		
7283	Inspection at Reasonable Times	2	0	2	0		
7284	Search/Seizure	15	1	14	2		
7285	Exclusions	1	0	1	0		
7286	Limitations	6	0	6	0		
7287	Receipts to Recipient and to Designated Individual	3	0	3	0		
7288	Waiver	0	0	0	0		
7289	Protection	150	2	148	6		

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated		
7080	Treatment suited to condition	942	13	929	18	1	
7049	Treatment by spiritual means	0	0	0	0		
7100	Physical and mental exams	5	0	5	0		
7130	Choice of physician/mental health professional	8	0	8	0		
7140	Notice of clinical status/progress	2	1	1	0		
7150	Services of mental health professional	7	1	6	0		
7003	Informed Consent	6	0	6	0		
7170	Electro Convulsive Therapy (ECT)	1	0	1	0		
7160	Surgery	0	0	0	0		
7180	Psychotropic Drugs	134	1	133	0		
7190	Notice of medication side effects	6	0	6	0		
7029	Information on Family Planning	0	0	0	0		

14. Treatment Planning						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7121	Person-Centered Process	11	1	10	0	
7122	Timely development	2	0	2	0	
7123	Requests for Review	7	0	7	0	
7125	Assessment of Needs	17	0	17	0	

15. Photographs, Fingerprints, Audiotapes, One-way Glass						
Code	Category	Received	Investigation	Intervention	Substantiated	
7241	Prior Consent	1	0	1	0	
7242	Identification	0	0	0	0	
7243	Objection	3	1	2	0	
7244	Release to others/return	0	0	0	0	
7245	Storage/Destruction	0	0	0	0	
7246	Treatment	0	0	0	0	

16. Forensic Issues						
Code	Category	Received	Investigation	Intervention	Substantiated	
2020	Incompetent to Stand Trial (I.S.T.)	48	0	48	0	
2050	Not Guilty by Reason of Insanity (N.G.R.I.)	9	0	9	0	
		4144	1039	3105	204	66

17. No Right Involved		
Code	Category	Received
0000	No Right Involved	264

18. Outside Provider Jurisdiction		
Code	Category	Received
0001	Outside Provider Jurisdiction	89

## Remedial Action

The following is a summary of remedial action on substantiated complaints by category in state hospitals and facilities. The table below indicates the category of complaint, the facility where the violation occurred and the specific remedial action that was taken.

The Mental Health Code requires in 330.1722 (2) “the department...shall ensure that appropriate disciplinary action is taken against those who have engaged in abuse or neglect”. (*emphasis added*) Additionally, Administrative Rule 330.7035 requires that abuse or neglect of a recipient by an employee, volunteer or agent of a provider shall, upon substantiated reports, “subject the employee, volunteer or agent of the provider to an appropriate penalty, including official reprimand (01, 02, 03) demotion (05), suspension (04), reassignment (06), or dismissal (08 or \*08).” (*parentheticals added*) Remedial action that does not meet the requirements of the Code and Rules are 7, 10, 11, and 14. State Facility Directors failed to ensure appropriate disciplinary action in 1 of 73 substantiated case of Abuse or Neglect.

### State Hospital/Center Remediation of Substantiated Rights Violations (includes complaints investigated and those addressed through other interventions)

CATEGORY	Specific Allegation	Specific Provider	#	Specific Remedial Action	Type
7222	Abuse Class II	Mt Pleasant Center	04	Written Reprimand	03
7222	Abuse Class II	Mt Pleasant Center	04	Written Reprimand	03
7222	Abuse Class II	Caro Center	04	Written Reprimand	03
7222	Abuse Class II	Center for Forensic Psychiatry	04	Suspension	04
7222	Abuse Class II	Hawthorn	04	Suspension	04
7222	Abuse Class II	Hawthorn	04	Suspension	04
7222	Abuse Class II	Hawthorn	04	Suspension	04
7222	Abuse Class II	Hawthorn	04	Suspension	04
7222	Abuse Class II	Kalamazoo Psychiatric Hospital	04	Suspension	04
7222	Abuse Class II	Mt Pleasant Center	04	Suspension	04
7222	Abuse Class II	Mt Pleasant Center	04	Suspension	04
7222	Abuse Class II	Mt Pleasant Center	04	Suspension	04
7222	Abuse Class II	Caro Center	04	Suspension	04
7222	Abuse Class II	Kalamazoo Psychiatric Hospital	04	Demotion	05
7222	Abuse Class II	Center for Forensic Psychiatry	04	Staff Transfer	06
7222	Abuse Class II	Mt Pleasant Center	04	Termination	08
7222	Abuse Class II	Mt Pleasant Center	04	Termination	08
7222	Abuse Class II	Caro Center	04	Termination	08
7222	Abuse Class II	Mt Pleasant Center	04	Other	14
7222	Abuse Class II	Mt Pleasant Center	04	Employee left; substantiated	*08
7222	Abuse Class II	Walter Reuther Hospital	04		None
7223	Abuse Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7223	Abuse Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7223	Abuse Class III	Mt Pleasant Center	04	Written Reprimand	03
7223	Abuse Class III	Caro Center	04	Written Reprimand	03
7223	Abuse Class III	Caro Center	04	Written Reprimand	03
7223	Abuse Class III	Mt Pleasant Center	04	Suspension	04
7223	Abuse Class III	Caro Center	04	Suspension	04
7223	Abuse Class III	Kalamazoo Psychiatric Hospital	04	Employee left; substantiated	*08

<b>CATEGORY</b>	<b>Specific Allegation</b>	<b>Specific Provider</b>	<b>#</b>	<b>Specific Remedial Action</b>	<b>Type</b>
7223	Abuse Class III	Center for Forensic Psychiatry	04		None
7224	Sexual Abuse	Mt Pleasant Center	04	Termination	08
7225	Neglect Class I	Walter Reuther Hospital	04	Termination	08
7225	Neglect Class I	Caro Center	04		None
7225	Neglect Class I	Caro Center	04		None
7226	Neglect Class II	Mt Pleasant Center	04	Verbal Counseling	01
7226	Neglect Class II	Mt Pleasant Center	04	Written Reprimand	03
7226	Neglect Class II	Mt Pleasant Center	04	Written Reprimand	03
7226	Neglect Class II	Mt Pleasant Center	04	Written Reprimand	03
7226	Neglect Class II	Mt Pleasant Center	04	Suspension	04
7226	Neglect Class II	Mt Pleasant Center	04	Suspension	04
7226	Neglect Class II	Mt Pleasant Center	04	Suspension	04
7226	Neglect Class II	Caro Center	04	Suspension	04
7226	Neglect Class II	Walter Reuther Hospital	04	Suspension	04
7226	Neglect Class II	Walter Reuther Hospital	04	Suspension	04
7226	Neglect Class II	Hawthorn	04	Termination	08
7226	Neglect Class II	Mt Pleasant Center	04	Employee left; substantiated	*08
7227	Neglect Class III	Mt Pleasant Center	04	Written Counseling	02
7227	Neglect Class III	Mt Pleasant Center	04	Written Counseling	02
7227	Neglect Class III	Mt Pleasant Center	04	Written Counseling	02
7227	Neglect Class III	Mt Pleasant Center	04	Written Counseling	02
7227	Neglect Class III	Caro Center	04	Written Counseling	02
7227	Neglect Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7227	Neglect Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7227	Neglect Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7227	Neglect Class III	Center for Forensic Psychiatry	04	Written Reprimand	03
7227	Neglect Class III	Hawthorn	04	Written Reprimand	03
7227	Neglect Class III	Kalamazoo Psychiatric Hospital	04	Written Reprimand	03
7227	Neglect Class III	Mt Pleasant Center	04	Written Reprimand	03
7227	Neglect Class III	Mt Pleasant Center	04	Written Reprimand	03
7227	Neglect Class III	Mt Pleasant Center	04	Written Reprimand	03
7227	Neglect Class III	Walter Reuther Hospital	04	Written Reprimand	03
7227	Neglect Class III	Walter Reuther Hospital	04	Written Reprimand	03
7227	Neglect Class III	Walter Reuther Hospital	04	Written Reprimand	03
7227	Neglect Class III	Hawthorn	04	Suspension	04
7227	Neglect Class III	Hawthorn	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Suspension	04
7227	Neglect Class III	Mt Pleasant Center	04	Training	07
7227	Neglect Class III	Mt Pleasant Center	04	Termination	08
7227	Neglect Class III	Hawthorn	04	Other	14
7780	Complaint Investigation Process	Center for Forensic Psychiatry	04	Other	14
7520	Failure to Report	Mt Pleasant Center	04	Training	07

<b>CATEGORY</b>	<b>Specific Allegation</b>	<b>Specific Provider</b>	<b>#</b>	<b>Specific Remedial Action</b>	<b>Type</b>
7111	Family Dignity & Respect	Hawthorn		Written Reprimand	03
7261	Visitation	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7261	Visitation	Center for Forensic Psychiatry	04		None
7261	Visitation	Center for Forensic Psychiatry	04		None
7263	Access to telephone, mail	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7263	Access to telephone, mail	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7263	Access to telephone, mail	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7263	Access to telephone, mail	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7263	Access to telephone, mail	Walter Reuther Hospital	04	Environmental Enhancement	11
7263	Access to telephone, mail	Center for Forensic Psychiatry	04		None
7266	Uncensored Mail	Caro Center	04	Policy Revision	10
7266	Uncensored Mail	Caro Center	04	Policy Revision	10
7267	Access to entertainment materials, information, news	Mt Pleasant Center	04	Training	07
7267	Access to entertainment materials, information, news	Walter Reuther Hospital	04		None
7267	Access to entertainment materials, information, news	Walter Reuther Hospital	04		None
7481	Disclosure of Confidential Information	Center for Forensic Psychiatry	04	Training	07
7481	Disclosure of Confidential Information	Mt Pleasant Center	04	Plan of Service Revision	12
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Walter Reuther Hospital	04	Other	14
7481	Disclosure of Confidential Information	Center for Forensic Psychiatry	04		None
7485	Withholding of Information (includes Recipient access)	Kalamazoo Psychiatric Hospital	04		None
7081	Safety	Caro Center	04	Suspension	04
7081	Safety	Walter Reuther Hospital	04	Training	07
7081	Safety	Caro Center	04	Policy Revision	10
7081	Safety	Caro Center	04	Environmental Enhancement	11
7081	Safety	Walter Reuther Hospital	04	Plan of Service Revision	12
7081	Safety	Walter Reuther Hospital	04	Plan of Service Revision	13
7081	Safety	Walter Reuther Hospital	04	Recipient Transfer to Another Provider/Site	13
7041	Civil Rights: Discrimination, Accessibility, etc	Caro Center	04	Environmental Enhancement	11
7081	Safety	Mt Pleasant Center	04	Other	14
7081	Safety	Walter Reuther Hospital	04	Other	14
7081	Safety	Walter Reuther Hospital	04	Other	14

<b>CATEGORY</b>	<b>Specific Allegation</b>	<b>Specific Provider</b>	<b>#</b>	<b>Specific Remedial Action</b>	<b>Type</b>
7081	Safety	Caro Center	04		None
7082	Sanitary	Caro Center	04	Training	07
7082	Sanitary	Caro Center	04	Environmental Enhancement	11
7082	Sanitary	Caro Center	04	Environmental Enhancement	11
7082	Sanitary	Caro Center	04	Environmental Enhancement	11
7082	Sanitary	Kalamazoo Psychiatric Hospital	04		None
7083	Humane	Mt Pleasant Center	04	Written Counseling	02
7083	Humane	Center for Forensic Psychiatry	04	Training	07
7083	Humane	Mt Pleasant Center	04	Training	07
7083	Humane	Caro Center	04	Training	07
7083	Humane	Caro Center	04	Training	07
7083	Humane	Caro Center	04	Policy Revision	10
7083	Humane	Kalamazoo Psychiatric Hospital	04	Environmental Enhancement	11
7083	Humane	Caro Center	04	Environmental Enhancement	11
7083	Humane	Caro Center	04	Environmental Enhancement	11
7083	Humane	Caro Center	04	Environmental Enhancement	11
7083	Humane	Caro Center	04	Environmental Enhancement	11
7083	Humane	Center for Forensic Psychiatry	04	Other	14
7083	Humane	Center for Forensic Psychiatry	04	Other	14
7083	Humane	Center for Forensic Psychiatry	04	Other	14
7083	Humane	Center for Forensic Psychiatry	04	Other	14
7083	Humane	Center for Forensic Psychiatry	04		None
7083	Humane	Center for Forensic Psychiatry	04		None
7083	Humane	Mt Pleasant Center	04		None
1708	Dignity & Respect	Center for Forensic Psychiatry	04	Verbal Counseling	01
1708	Dignity & Respect	Walter Reuther Hospital	04	Written Counseling	02
1708	Dignity & Respect	Center for Forensic Psychiatry	04	Written Reprimand	0
1708	Dignity & Respect	Hawthorn	04	Written Reprimand	03
1708	Dignity & Respect	Caro Center	04	Written Reprimand	03
1708	Dignity & Respect	Caro Center	04	Written Reprimand	03
1708	Dignity & Respect	Walter Reuther Hospital	04	Written Reprimand	03
1708	Dignity & Respect	Walter Reuther Hospital	04	Suspension	04
1708	Dignity & Respect	Center for Forensic Psychiatry	04	Training	07
1708	Dignity & Respect	Center for Forensic Psychiatry	04	Training	07
1708	Dignity & Respect	Caro Center	04	Training	07
1708	Dignity & Respect	Kalamazoo Psychiatric Hospital	04		None
7085	Nutrition	Caro Center	04	Training	07
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09

<b>CATEGORY</b>	<b>Specific Allegation</b>	<b>Specific Provider</b>	<b>#</b>	<b>Specific Remedial Action</b>	<b>Type</b>
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Contract Action	09
7085	Nutrition	Center for Forensic Psychiatry	04	Policy Revision	10
7085	Nutrition	Center for Forensic Psychiatry	04	Plan of Service Revision	12
7085	Nutrition	Center for Forensic Psychiatry	04	Plan of Service Revision	12
7085	Nutrition	Center for Forensic Psychiatry	04	Other	14
7085	Nutrition	Center for Forensic Psychiatry	04		None
7086	Least Restrictive Setting	Caro Center	04	Policy Revision	10
7441	Restrictions/Limitations	Walter Reuther Hospital	04	Verbal Counseling	01
7441	Restrictions/Limitations	Caro Center	04	Written Counseling	02
7441	Restrictions/Limitations	Kalamazoo Psychiatric Hospital	04	Training	07
7441	Restrictions/Limitations	Walter Reuther Hospital	04	Other	14
7441	Restrictions/Limitations	Caro Center	04		None
7420	Seclusion	Walter Reuther Hospital	04	Suspension	04
7301	Safeguarding Money	Center for Forensic Psychiatry	04	Other	14
7281	Possession and Use	Caro Center	04	Training	07
7281	Possession and Use	Caro Center	04	Policy Revision	10
7281	Possession and Use	Center for Forensic Psychiatry	04	Other	14
7281	Possession and Use	Center for Forensic Psychiatry	04		None
7284	Search/Seizure	Mt Pleasant Center	04	Training	07
7284	Search/Seizure	Walter Reuther Hospital	04	Training	07
7289	Protection	Kalamazoo Psychiatric Hospital	04	Policy Revision	10
7289	Protection	Center for Forensic Psychiatry	04	Other	14
7289	Protection	Hawthorn	04	Other	14
7289	Protection	Walter Reuther Hospital	04	Other	14
7289	Protection	Kalamazoo Psychiatric Hospital	04		None
7289	Protection	Kalamazoo Psychiatric Hospital	04		None
7080	Treatment suited to condition	Mt Pleasant Center	04	Written Counseling	02
7080	Treatment suited to condition	Mt Pleasant Center	04	Written Counseling	02
7080	Treatment suited to condition	Mt Pleasant Center	04	Written Reprimand	03
7080	Treatment suited to condition	Mt Pleasant Center	04	Written Reprimand	03
7080	Treatment suited to condition	Walter Reuther Hospital	04	Written Reprimand	03
7080	Treatment suited to condition	Walter Reuther Hospital	04	Suspension	04
7080	Treatment suited to condition	Kalamazoo Psychiatric Hospital	04	Training	07
7080	Treatment suited to condition	Mt Pleasant Center	04	Training	07
7080	Treatment suited to condition	Caro Center	04	Policy Revision	10
7080	Treatment suited to condition	Center for Forensic Psychiatry	04	Environmental Enhancement	11
7080	Treatment suited to condition	Caro Center	04	Plan of Service Revision	12

<b>CATEGORY</b>	<b>Specific Allegation</b>	<b>Specific Provider</b>	<b>#</b>	<b>Specific Remedial Action</b>	<b>Type</b>
7080	Treatment suited to condition	Walter Reuther Hospital	04	Other	14
7080	Treatment suited to condition	Center for Forensic Psychiatry	04		None
7080	Treatment suited to condition	Center for Forensic Psychiatry	04		None
7080	Treatment suited to condition	Center for Forensic Psychiatry	04		None
7080	Treatment suited to condition	Center for Forensic Psychiatry	04		None
7080	Treatment suited to condition	Caro Center	04		None
7080	Treatment suited to condition	Walter Reuther Hospital	04		None

# DCH RECIPIENT RIGHTS APPEALS COMMITTEE

## Background

The Michigan Mental Health Code at Section 774 states, “The director shall appoint an appeals committee consisting of 7 individuals, none of whom shall be employed by the department or a community mental health services program, to hear appeals of recipient rights matters. The committee shall include at least 3 members of the state recipient rights advisory committee and 2 primary consumers.”

The DCH Appeals Committee reviews appeals of rights complaints filed by or on behalf of patients/residents of state hospitals/centers. Additionally, it reviews appeals submitted by or on behalf of individuals who are or have been patients in one of the 46 licensed private psychiatric hospitals/units (LPH/U) who have entered into an agreement to use the department’s appeals committee in lieu of appointing its own.

Following is a data summary of activity for the DCH Appeals Committee for FY 2004/2005:

<b>Total By Number of Cases Reviewed</b>		<b>20</b>
<b><u>Appeals Committee 5 Day Review Decisions</u></b>		
<b>Cases received that were not heard</b>		<b>5</b>
Appeals filed > 45 day-time frame	1	
Cases stating no ground for appeal	1	
Cases referred back to local CMHSP/LPH	3	
<b><u>Appeals Committee Decision on Appeals Heard</u></b>		
Upheld findings of rights office and action taken	8	
Returned to ORR for re-investigation	7	
Returned to facility for different or additional action	0	
Referred for external investigation	0	
<b><u>Appeals heard from State Hospitals/Centers</u></b>		
Caro Center	2	<b>11</b>
Hawthorn Center	0	
Walter Reuther	2	
Mt. Pleasant Center	3	
Kalamazoo Psychiatric Hospital	0	
Forensic Center	4	
<b><u>Total Number of Appeals from LPH/Us</u></b>		
Holland Hospital	1	<b>4</b>
Owosso Memorial Hospital	1	
WA Foote Hospital	2	

## **PART II – TRAINING UNIT**

### **Overview**

The ORR Training Unit develops and presents instructional programs with the goal of providing consistent implementation of recipient rights protection processes across the state.

In order to carry out this mission, the Unit provides training to rights staff from ORR facility offices, licensed private hospital/units, community mental health service providers and their contract agencies. These classes focus on providing the skills necessary to assure that the rights of recipients in their jurisdiction will be fully protected. In addition, the division offers educational programs for persons, other than rights staff, who are involved in the recipient rights arena (Recipient Rights Advisory Committee and Recipient Rights Appeals Committee members, staff from other state and advocacy agencies, staff of service providers) and whose roles, although ancillary in nature, are essential to preserving and promoting the rights of recipients.

The Training Unit also has the responsibility for planning, coordinating and implementing the recipient rights conference. This annual event brings together staff and recipients from across the state to discuss current issues related to recipient rights and provides an opportunity for rights staff to fulfill their statutorily mandated annual training requirements in a forum which will their enhance job performance.

Another function of the Training Unit is to coordinate the education provided by DCH-ORR staff in hospital and centers operated by the Department of Community Health. These trainings are focused on (1) meeting the mandate that all staff hired by the Department receive training on recipient rights within the first thirty (30) days of hire, and (2) adhering to the policy requirement that hospital and center staff are provided annual in-service training. Education of consumers receiving services in DCH operated facilities on Mental Health Code-protected rights is also a function of the DCH-ORR staff; the Training Unit provides oversight in this area, as well.

### **Educational Offerings**

The Michigan Mental Health Code at Section 774 states, “Technical assistance and training in recipient rights protection are available to all community mental health services programs and other mental health service providers subject to this act.” Several training opportunities were offered in FY 2004/2005. “*Basic Skills*”, a three-part, 36 hour, program provides training and skill development required to carry out the rights officer’s/advisor’s responsibilities mandated in Chapters 7 and 7A of the Mental Health Code.

The three-day long Part 1 focuses on the role of the rights office, its interaction with other segments of the agency and consumers, and the requirements of the job. Part 2, subtitled the “Art of Investigation”, concentrates on the skills necessary to do a thorough and effective investigation. The last segment of the curriculum, “*Developing Effective Rights Training*”, is a two-day session designed to develop the rights officer’s/advisor’s skills necessary to train agency and provider staff on recipient rights issues. It includes both the principals of training and a review of required training content.

*Recipient Rights Advisory Committee* training provides the information necessary for committee members to function effectively and carry out their mandated role as advocates for the ORR office and staff.

*Appeals Committee* training takes participants through the appeals process and provides the tools necessary to conduct a fair and impartial appellate review. The following is a summary of the sessions, and program attendance, offered during FY 2003/2004.

<u>Title of Course</u>	<b>Date Conducted</b>	<b>Attendees</b>
<u>Basic Skills Training</u>	November 2004	20
<u>Basic Skills Training (DWCCMH)</u>	November 2004	38
Basic Skills Training	April 2005	13
Basic Skills Training	June 2005	10
Basic Skills Training	September 2005	18
Total		99
Art of Investigation	November 2004	11
Art of Investigation (DWCCMH)	November 2004	28
Art of Investigation	February 2005	5
Art of Investigation	April 2005	12
Art of Investigation	June 2005	4
Art of Investigation	August 2005	8
Art of Investigation	September 2005	10
Total		78
Developing Effective Rights Training	December 2004	9
Developing Effective Rights Training	March 2005	9
Developing Effective Rights Training	May 2005	11
Developing Effective Rights Training	July 2005	10
Total		39
Developing Issues	February 2005	13
Developing Issues	July 2005	12
Total		25
Appeals Training (DWCCMH)	October 2004	16
RRAC/Appeals Committee Training	April 2005	20
Advanced Appeals Training	May 2005	14
Advanced Appeals Training	July 2005	6
Total		56
Grand Total		297

## Evaluations

Following each training session, the training unit received evaluations of the training presented. Following are compilations of the evaluation data for FY 2004-2005. The evaluation is based on a scale of 1 to 5, with 5 being “excellent,” and 1 being “poor.”

### **Basic Skills Training Part I**

#### **Putting the Pieces Together**

#### **Rating**

The information presented	4.75
The organization of the material	4.69
The audio-visual materials and handouts	4.71
The trainer(s) knowledge of the subject matter	4.94
Responses to questions asked	4.78
Presentation as a whole	4.71

### **Basic Skills Training Part II**

#### **The Art of Investigation**

#### **Rating**

The information presented	4.79
The organization of the material	4.73
The audio-visual materials and handouts	4.68
The trainer(s) knowledge of the subject matter	4.76
Responses to questions asked	4.75
Presentation as a whole	4.74

### **Basic Skills Training Part III**

#### **Developing Effective Rights Training**

#### **Rating**

The information presented	4.65
The organization of the material	4.62
The audio-visual materials and handouts	4.68
The trainer(s) knowledge of the subject matter	4.95
Responses to questions asked	4.86
Presentation as a whole	4.54

### **Developing Issues Training**

#### **Rating**

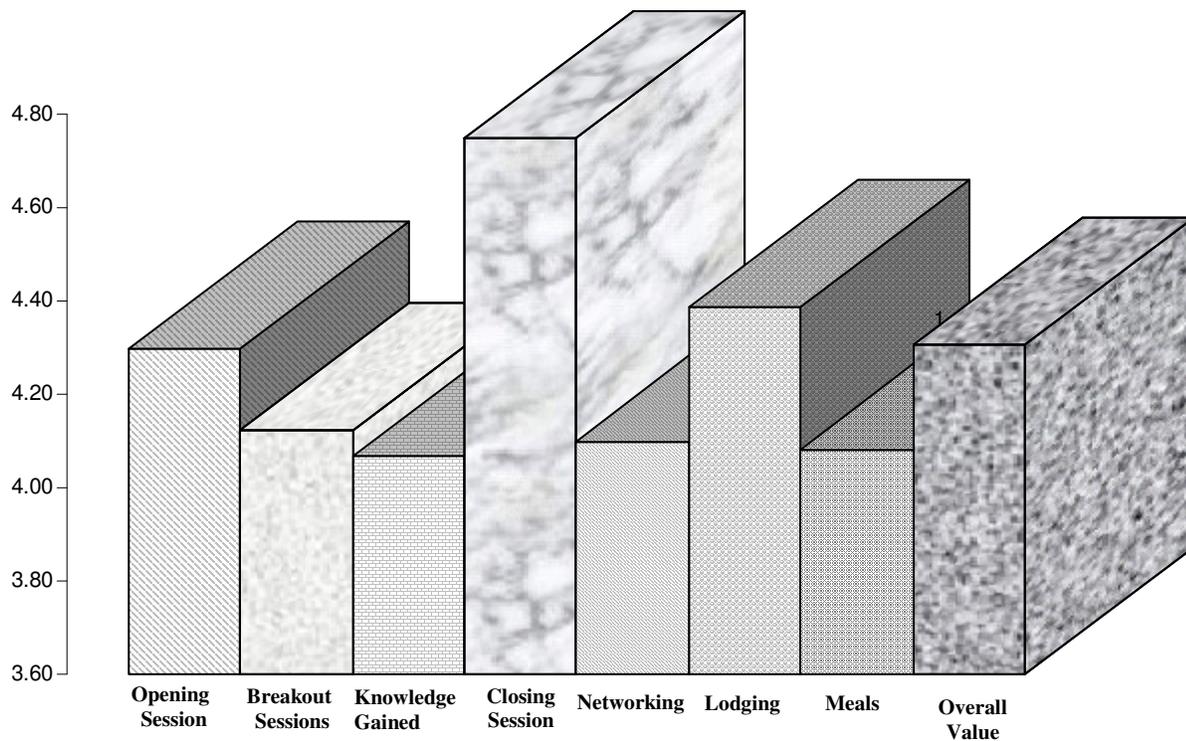
The information presented	4.57
The organization of the material	4.52
The audio-visual materials and handouts	4.43
The trainer(s) knowledge of the subject matter	4.74
Responses to questions asked	4.62
Presentation as a whole	4.64

## 2004 Recipient Rights Conference

The 11<sup>th</sup> annual Recipient Rights Conference was held October 12<sup>th</sup> – 15<sup>th</sup>, 2004, at the Amway Grand Plaza Hotel, in Grand Rapids. Approximately 375 individuals attended. The Rights Conference is self-funded, using no Department financial resources for its support. Through the conference scholarship program, mental health consumers from across the state are provided the opportunity to attend the sessions; the conference covers the cost of registration while hotel accommodations and travel expenses are provided by the sponsoring CMHSP. In 2004, 48 consumers attended the conference under this sponsorship.

Twenty-seven wide-ranging sessions were presented during the 2004 conference with topics as varied as Sexual Victimization of People with Developmental Disabilities, The Role of Dispute Resolution and Mediation in Complaint Resolution, Linguistic Interviewing Techniques, and Person Centered Planning – The Role of Your Facilitator. Speakers included nationally known presenters such as David Hingsburger, H. John Wojnaroski, Daniel Marsano, and Billy Riggs, in addition to several well-known advocates and professionals associated with the recipient rights community. A highlight of this conference was a fair featuring artwork and craftwork by consumers who set up booths to display and sell their work. Responses to the conference evaluation indicated an overall satisfaction level of 4.31 on a scale of 1 to 5. These responses, and the areas evaluated, are depicted in the graph below:

**Recipient Rights Conference 2004**



## Rights Training Provided by ORR Staff at DCH Facilities

The Mental Health Code requires that all DCH staff receive training related to recipient rights protection within 30 days of hire. At each of the state psychiatric hospitals, centers for persons with developmental disabilities, and the Center for Psychiatry, the rights staff assigned to the facility are carrying out this mandate, using curricula developed by the Training Division. This training is a priority for rights staff, and is so essential that it has been established as an objective in the management plans of each field office. The following summarizes the trainings provided at each facility.

Hospital/Center	Attendees
Caro Center	23
Center for Forensic Psychiatry	153
Hawthorn Center	59
Kalamazoo Psychiatric Hospital	82
Mt. Pleasant Center	173
Walter Reuther Psychiatric Hospital	107
MDCH- Central Office	0
<b>Total</b>	<b>597</b>

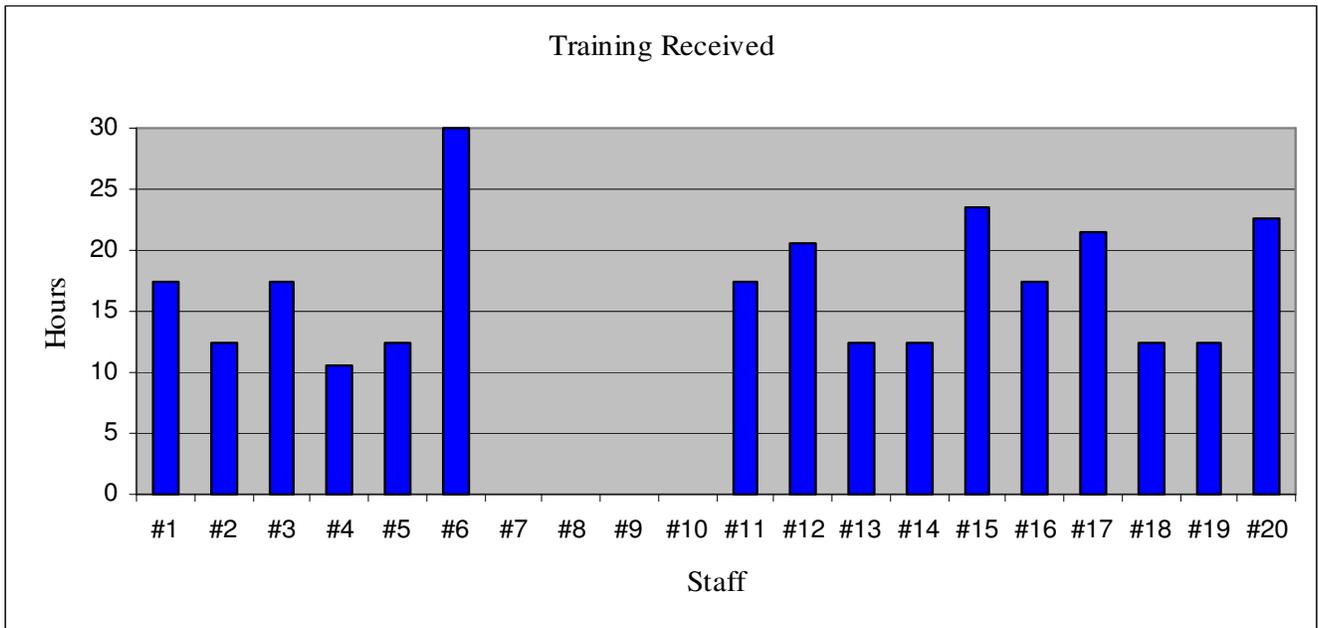
## Rights Training Provided by ORR Staff to Consumers

The Office of Recipient Rights supports education of consumers in addition to staff. ORR staff at DCH operated hospitals and centers. Carried out a variety of informational sessions when they, or consumers, identified issues of concern. A summary of these trainings is provided in the chart below:

Hospital/Center	Attendees
Caro Center	148
Center for Forensic Psychiatry	326
Hawthorn Center	403
Kalamazoo Psychiatric Hospital	0
Mt. Pleasant Center	94
Walter Reuther Psychiatric Hospital	2141
<b>Total</b>	<b>3112</b>

## Training Received by Staff of the State Office of Recipient Rights

The Office of Recipient Rights staff are required to receive education in rights protection on an annual basis. Training opportunities for Department staff include, but are not limited to the fall Recipient Rights Conference, quarterly offerings by the Recipient Rights Officers Association of Michigan, and the three-part, 36 hour recipient rights officers program, which includes Basic Skills, Art of Investigation, and Developing Effective Rights Training. The following chart indicates the number of hours of training Department ORR staff received during 2004/2005. Staff listed in the chart reflect ORR administrative staff, field staff, training staff specialists, as well as support staff.



## **PART III - COMMUNITY RIGHTS UNIT**

### **Background**

Chapter 7 of the Mental Health Code requires the establishment of an office of recipient rights in each Community Mental Health Services Program (CMHSP).

The Mental Health Code requires that the Department of Community Health promulgate rules to establish standards for certification and the certification review process for CMHSPs. Administrative Rule 330.2801 requires the department to assess the CMHSPs compliance with certification standards by determining the degree to which all of the following provisions apply: (a) The CMHSP has established processes, policies and procedures necessary to achieve the required result, (b) The established processes, policies and procedures are properly implemented and (c) The expected result of the processes, policies and procedures is being achieved. The Mental Health Code also requires that the DCH, through this Office, review the CMHSP rights systems in order to “ensure a uniformly high standard of recipient rights protection throughout the state.”

The certification standards must include those for the protection and promotion of recipient rights (MCL 330.232a[1][b]). Although standards as to matters of CMHSP governance, resource management, quality improvement, service delivery and safety management may be waived by the department in whole or in part as the result of the CMHSP's accreditation by a nationally recognized accrediting body, this is not the case relative to standards established by the department in regard to the protection and promotion of recipient rights.

### **Assessment Process**

Each CMHSP recipient rights system is assessed annually by the two ORR Community Rights Specialists through careful review of and follow-up on semi-annual and annual reports prepared by each CMHSP rights office and submitted by the executive director. Annually, the Rights Specialists also conduct an on-site assessment of approximately one-third of the CMHSPs. This three day on-site review includes an entrance conference; interviews with the executive director, rights office staff, consumers, CMHSP staff and staff of contract providers, Recipient Rights Advisory and Appeals Committee members; compliance review of complaint case files, logs, Code mandated reports and notices, appeals cases; review of contract language to ascertain clarity as to how rights will be protected during the contract period and training requirements; compliance review of all twenty-two rights related policies required by the Code; site visits to a representational sample of CMHSP directly operated and contracted service and an exit conference. Site visits are also made to the LPH/U under contract with the CMHSP. Areas of non-compliance with Code and Rules evidenced by the rights system at the LPH/U are cited in the CMHSP assessment report. Additionally, if a serious deficiency were found, this would also be reported to the Psychiatric Licensing Consultant with the Department of Community Health.

## Assessment Results 2005

Fifteen (15) CMHSP rights protection systems were evaluated through on-site assessments conducted by the Office of Recipient Rights Community Rights Unit Specialists from March 2005 through November 2005. Beginning in March 2001, a rights system was scored as being in less than substantial compliance, even if the overall score was in the range of substantial compliance, if the Specialists determined that a deficiency which was previously cited in the last assessment had not been corrected at the time of the current assessment. CMHSPs that were scored in this manner have an \* in the table which follows. Evidence that the repeat citation has been corrected must be provided to DCH-ORR within 30 days of receipt by the CMHSP of the assessment report. One CMHSP, Detroit-Wayne CMH Agency, was in less than substantial compliance score-wise as well as repeat citations and is noted below with \*\*.

Full Compliance (FC) = 292 points

Substantial Compliance (SC) = 277 to 291 points

Less Than Substantial Compliance (LSC) = Less than 277 points

DATE	LEAD RIGHTS SPECIALIST	CMHSP	RESULT	SCORE
March 8-10	Postema	Manistee	SC	281
March 22-24	Mishal	Livingston	*LSC	284
April 12-14	Postema	Bay-Arenac	SC	291
April 26-28	Mishal	Riverwood	SC	288
May 10-12	Postema	Ionia	*LSC	278
May 24-26	Mishal	Lifeways	*LSC	280
June 7-9	Postema	Tuscola	SC	286
June 20-24	Mishal	Copper Country	SC	290
July 18-22	Mishal (DB)	Pathways	SC	287
August 16-18	Postema	Ottawa	SC	291
August 30-September 1	Postema	Central	*LSC	279
September 13-15	Mishal	Sanilac	SC	290
September 26-30	Mishal	Detroit/Wayne	**LSC	259
October 11-13	Mishal	Lenawee	*LSC	285
November 8-10	Mishal	Summit Pointe	SC	282

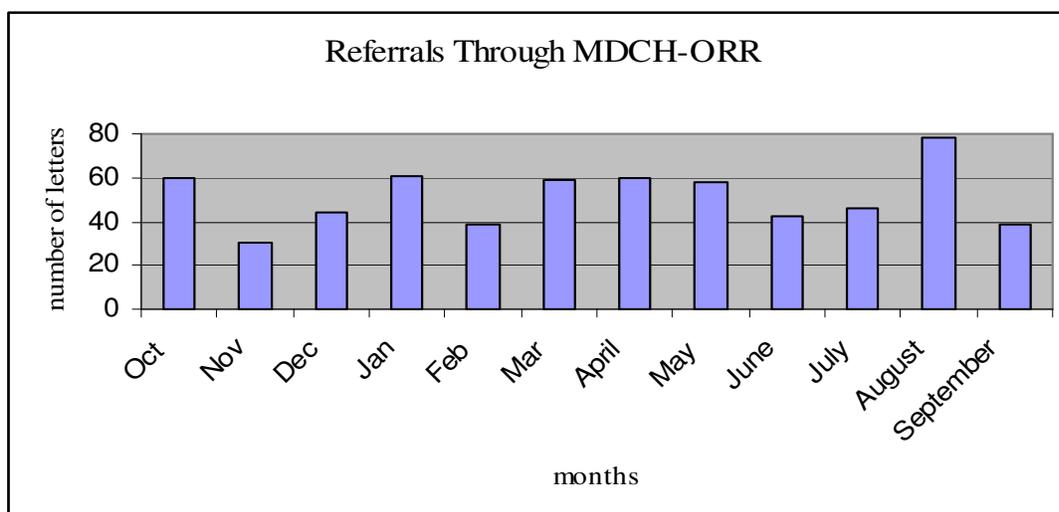
# INFORMATION AND REFERRAL

## Referral of Complaints

The Rights Information Analyst is responsible for the provision of all information and referral services including systematic data collection, entry and analysis relative to these services as well as the semi-annual and annual reports received from the CMHSPs and licensed private psychiatric hospitals.

Complaints received at the Department Office in Lansing are referred to the rights office having jurisdiction over the matter. Data was collected regarding the number of letters received by the office during FY 2004/2005. There were 631 written complaints referred through the Lansing Office of Recipient Rights. Of these, 122 were referred to the rights offices at state facilities/hospitals, 46 were referred to the local corrections rights offices or to the rights office at Bureau of Forensic Mental Health Services, 279 were sent to CMHSP rights offices, 135 were referred to the rights offices at licensed psychiatric hospitals/units, and 19 were referred to other agencies, such as DHS, MPAS, Inc, etc. Of the remaining complaints, 18 were returned for lack of information and 12 could neither be returned to the complainant nor referred.

letters	
October	60
November	31
December	44
January	61
February	39
March	59
April	60
May	58
June	42
July	45
August	78
September	54



The Rights Information Analyst also acts as support to the Training Unit, Community Rights Specialists and the ORR Director of Community and Field Operations. The Information Analyst maintains the Rights Advisors/Officers Directory, available via e-mail and the DCH website. DCH-ORR also maintains a mass e-mail directory, which includes all CMHSP rights offices and all LPH/U rights advisors. At this time only two hospital rights advisors utilize personal addresses, (of 62 rights offices) as these hospitals have failed to provide e-mail and four hospitals have failed to provide internet access to the information necessary to effectively operate rights offices.

## RECOMMENDATIONS

1. The Department of Community Health must extend itself beyond the minimum requirement of Sec.754 of the Mental Health Code that it “endeavor to ensure” that the Office of Recipient Rights “has sufficient staff and other resources necessary to perform its functions.” *Although applicable to all three ORR units, this is especially critical in the Field Unit, which provides direct rights protection services to patients and residents in state hospitals and centers. Rights advisory staff there must be sufficient in number to assure that they can not only respond reactively to allegations of rights violations through investigation and intervention, but can engage in proactive activities such as consumer training and education, staff training and education, consultation and monitoring for the purpose of promoting recipient rights and educing the number of violations.*
2. The Department of Community Health must assure information technology and support services are provided to the Office to enhance and maintain the Beneficiary and Provider Contact Tracking (BPCT) data system. *This is necessary for the Office to comply with the reporting requirements of the Mental Health Code. Additionally, it is the primary tool used for ORR management, supervisory and quality review purposes.*
3. The Department of Community Health must establish clear statutory and contractual sanctions to be taken against a CMHSP for its failure to achieve substantial compliance with standards established by the department for the protection and promotion of recipient rights.
4. The Department of Community Health Human Resources Unit must coordinate with ORR to develop a process that assures all DCH employees receive training in recipient rights and the rights protection process within 30 days of hire.
5. The Mental Health Code should be amended to include the requirement that this Office as well as rights offices in CMHSPs and licensed private psychiatric hospitals/units provide rights training to consumers of mental health services and their legal representatives, e.g. concepts and elements of person-centered planning, rights of recipients under Chapter 7 of the Mental Health Code, the complaint resolution process under Chapter 7A and consumer/beneficiary rights to access the Medicaid and Non-Medicaid grievance, appeal and fair hearing processes.
6. The Department of Community Health must support the statutory authority of this Office to establish compliance standards, practice standards, outcome expectations and uniform performance measures necessary to assure a uniformly high standard of rights protection in this state. *The Office requires such authority in order to implement and enforce these standards independent of approval by any entity that may exert undue pressure that could interfere with the impartial, even-handed and thorough performance of its duties under the Mental Health Code.*

## Appendix A

### 1. State Facility Individual Data - Center for Forensic Psychiatry

#### 1. Freedom from Abuse

Code	Category	Received	Investigation	Intervention	Substantiated
7221	Abuse Class I	1	1		0
7222	Abuse Class II	21	21		2
7223	Abuse Class III	28	28		3
7224	Sexual Abuse	0	0		0

#### 2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated
7225	Neglect Class I	0	0		0
7226	Neglect Class II	2	2		0
7227	Neglect Class III	5	5		4

#### 3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated
7760	Access to Rights System	0	0	0	0
7545	Retaliation/Harassment	1	1	0	0
7060	Notice/Explanation of Rights	0	0	0	0
7780	Complaint Investigation Process	8	0	8	0
7840	Appeal Process	0	0	0	0
7880	Mediation	3	0	3	0
7520	Failure to Report	0	0	0	0

#### 4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated
7050	Second Opinion - Denial of Services	0	0	0	0
4090	Second Opinion - Denial of Hospitalization	0	0	0	0
4980	Objection to Hospitalization (minor)	0	0	0	0
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0
4630	Independent Clinical Examination	0	0	0	0
4510	Court Hearing/Process	10	0	10	0

#### 5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	4	1	3	0
7044	Religious Practice	5	0	5	0
7045	Voting	1	0	1	0
7047	Presumption of Competency	5	1	4	0
7048	Marriage/Divorce	0	0	0	0

## 6. Family Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7111	Dignity & Respect	0	0	0	0
7112	Receipt of General Education Information	0	0	0	0
7113	Opportunity to provide information	0	0	0	0

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated
7261	Visitation	18	0	18	3
7262	Contact with Attorneys or others regarding legal matters	2	0	2	0
7263	Access to telephone, mail	21	0	21	5
7264	Funds for postage, stationery, telephone usage	2	0	2	0
7265	Written and posted limitations, if established	9	0	9	0
7266	Uncensored Mail	2	0	2	0
7267	Access to entertainment materials, information, news	5	0	5	0

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated
7481	Disclosure of Confidential Information	14	2	12	2
7485	Withholding of Information (includes Recipient access to records)	3	0	3	0
7486	Correction of Record	0	0	0	0
7487	Access by P & A to records	1	0	1	0
7501	Privileged Communication	0	0	0	0

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated
7081	Safety	74	2	72	0
7082	Sanitary	25	0	25	0
7083	Humane	55	0	55	7
1708	Dignity & Respect	112	9	103	4
7085	Nutrition	74	2	72	17
7086	Least Restrictive Setting	2	0	2	0

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated
7441	Restrictions/Limitations	24	0	24	0
7400	Restraint	1	0	1	0
7420	Seclusion	0	0	0	0

### 11. Financial Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7301	Safeguarding Money	10	2	8	1
7302	Facility Account	20	0	20	0
7303	Easy Access to Money in Account	21	0	21	0
7304	Ability to Spend or Use as Desired	9	1	8	0
7305	Delivery of Money upon Release	1	0	1	0
7360	Labor & Compensation	2	0	2	0

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated
7281	Possession and Use	24	1	23	2
7282	Storage Space	0	0	0	0
7283	Inspection at Reasonable Times	1	0	1	0
7284	Search/Seizure	2	0	2	0
7285	Exclusions	0	0	0	0
7286	Limitations	2	0	2	0
7287	Receipts to Recipient and to Designated Individual	3	0	3	0
7288	Waiver	0	0	0	0
7289	Protection	31	2	29	1

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated
7080	Treatment suited to condition	351	2	349	5
7049	Treatment by spiritual means	0	0	0	0
7100	Physical and mental exams	2	0	2	0
7130	Choice of physician/mental health professional	3	0	3	0
7140	Notice of clinical status/progress	2	1	1	0
7150	Services of mental health professional	0	0	0	0
7003	Informed Consent	0	0	0	0
7170	Electro Convulsive Therapy (ECT)	0	0	0	0
7160	Surgery	0	0	0	0
7180	Psychotropic Drugs	48	1	47	0
7190	Notice of medication side effects	4	0	4	0
7029	Information on Family Planning	0	0	0	0

14. Treatment Planning

Code	Category	Received	Investigation	Intervention	Substantiated
7121	Person-Centered Process	0	0	0	0
7122	Timely development	0	0	0	0
7123	Requests for Review	2	0	2	0
7124	Participation by Individual(s) of choice	0	0	0	0
7125	Assessment of Needs	13	0	13	0

15. Photographs, Fingerprints, Audiotapes, One-way Glass

Code	Category	Received	Investigation	Intervention	Substantiated
7241	Prior Consent	0	0	0	0
7242	Identification	0	0	0	0
7243	Objection	1	0	1	0
7244	Release to others/return	0	0	0	0
7245	Storage/Destruction	0	0	0	0
7246	Treatment	0	0	0	0

16. Forensic Issues

Code	Category	Received	Investigation	Intervention	Substantiated
2020	Incompetent to Stand Trial (I.S.T.)	41	1	40	0
2050	Not Guilty by Reason of Insanity (N.G.R.I.)	5	0	5	0
		1136	86	1050	56

17. No Right Involved

Code	Category	Received
0000	No Right Involved	108

18. Outside Provider Jurisdiction

Code	Category	Received
0001	Outside Provider Jurisdiction	30

Appendix A

2. State Facility Individual Data - Hawthorn

1. Freedom from Abuse

Code	Category	Received	Investigation	Intervention	Substantiated
7221	Abuse Class I	0	0		0
7222	Abuse Class II	16	16		4
7223	Abuse Class III	2	2		0
7224	Sexual Abuse	0	0		0

2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated
7225	Neglect Class I	0	0		0
7226	Neglect Class II	1	1		1
7227	Neglect Class III	4	4		4

3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated
7760	Access to Rights System	1	0	1	0
7545	Retaliation/Harassment	0	0		0
7060	Notice/Explanation of Rights	0	0	0	0
7780	Complaint Investigation Process	0	0	0	0
7840	Appeal Process	0	0	0	0
7880	Mediation	0	0	0	0
7520	Failure to Report	0	0	0	0

4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated
7050	Second Opinion - Denial of Services	0	0	0	0
4090	Second Opinion - Denial of Hospitalization	0	0	0	0
4980	Objection to Hospitalization (minor)	1	0	1	0
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0
4630	Independent Clinical Examination	0	0	0	0
4510	Court Hearing/Process	0	0	0	0

5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	0	0	0	0
7044	Religious Practice	1	0	1	0
7045	Voting	0	0	0	0
7047	Presumption of Competency	0	0	0	0
7048	Marriage/Divorce	0	0	0	0

## 6. Family Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7111	Dignity & Respect	1	1	0	1
7112	Receipt of General Education Information	0	0	0	0
7113	Opportunity to provide information	0	0	0	0

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated
7261	Visitation	1	0	1	0
7262	Contact with Attorneys or others regarding legal matters	0	0	0	0
7263	Access to telephone, mail	6	0	6	0
7264	Funds for postage, stationery, telephone usage	0	0	0	0
7265	Written and posted limitations, if established	0	0	0	0
7266	Uncensored Mail	0	0	0	0
7267	Access to entertainment materials, information, news	1	0	1	0

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated
7481	Disclosure of Confidential Information	0	0	0	0
7485	Withholding of Information (includes Recipient access to records)	0	0	0	0
7486	Correction of Record	0	0	0	0
7487	Access by P & A to records	0	0	0	0
7501	Privileged Communication	0	0	0	0

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated
7081	Safety	41	0	41	0
7082	Sanitary	7	0	7	0
7083	Humane	26	0	26	0
1708	Dignity & Respect	17	1	16	1
7085	Nutrition	5	0	5	0
7086	Least Restrictive Setting	1	0	1	0

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated
7441	Restrictions/Limitations	16	0	16	0
7400	Restraint	0	0	0	0
7420	Seclusion	0	0	0	0

### 11. Financial Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7301	Safeguarding Money	0	0	0	0
7302	Facility Account	0	0	0	0
7303	Easy Access to Money in Account	0	0	0	0
7304	Ability to Spend or Use as Desired	0	0	0	0
7305	Delivery of Money upon Release	0	0	0	0
7360	Labor & Compensation	0	0	0	0

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated
7281	Possession and Use	2	0	2	0
7282	Storage Space	0	0	0	0
7283	Inspection at Reasonable Times	0	0	0	0
7284	Search/Seizure	0	0	0	0
7285	Exclusions	0	0	0	0
7286	Limitations	1	0	1	0
7287	Receipts to Recipient and to Designated Individual	0	0	0	0
7288	Waiver	0	0	0	0
7289	Protection	5	0	5	1

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated
7080	Treatment suited to condition	10	0	10	0
7049	Treatment by spiritual means	0	0	0	0
7100	Physical and mental exams	0	0	0	0
7130	Choice of physician/mental health professional	0	0	0	0
7140	Notice of clinical status/progress	0	0	0	0
7150	Services of mental health professional	1	0	1	0
7003	Informed Consent	0	0	0	0
7170	Electro Convulsive Therapy (ECT)	0	0	0	0
7160	Surgery	0	0	0	0
7180	Psychotropic Drugs	4	0	4	0
7190	Notice of medication side effects	0	0	0	0
7029	Information on Family Planning	0	0	0	0

14. Treatment Planning

Code	Category	Received	Investigation	Intervention	Substantiated
7121	Person-Centered Process	0	0	0	0
7122	Timely development	0	0	0	0
7123	Requests for Review	3	0	3	0
7124	Participation by Individual(s) of choice	0	0	0	0
7125	Assessment of Needs	2	0	2	0

15. Photographs, Fingerprints, Audiotapes, One-way Glass

Code	Category	Received	Investigation	Intervention	Substantiated
7241	Prior Consent	0	0	0	0
7242	Identification	0	0	0	0
7243	Objection	0	0	0	0
7244	Release to others/return	0	0	0	0
7245	Storage/Destruction	0	0	0	0
7246	Treatment	0	0	0	0

16. Forensic Issues

Code	Category	Received	Investigation	Intervention	Substantiated
2020	Incompetent to Stand Trial (I.S.T.)	0	0	0	0
2050	Not Guilty by Reason of Insanity (N.G.R.I.)	0	0	0	0

176

25

151

12

17. No Right Involved

Code	Category	Received
0000	No Right Involved	0

18. Outside Provider Jurisdiction

Code	Category	Received
0001	Outside Provider Jurisdiction	0

Appendix A

3. State Facility Individual Data - Kalamazoo

1. Freedom from Abuse

Code	Category	Received	Investigation	Intervention	Substantiated
7221	Abuse Class I	1	1		0
7222	Abuse Class II	32	32		2
7223	Abuse Class III	33	33		1
7224	Sexual Abuse	10	10		0

2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated
7225	Neglect Class I	1	1		0
7226	Neglect Class II	1	1		0
7227	Neglect Class III	2	2		1

3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated
7760	Access to Rights System	0	0	0	0
7545	Retaliation/Harassment	1	1		0
7060	Notice/Explanation of Rights	0	0	0	0
7780	Complaint Investigation Process	0	0	0	0
7840	Appeal Process	0	0	0	0
7880	Mediation	0	0	0	0
7520	Failure to Report	0	0	0	0

4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated
7050	Second Opinion - Denial of Services	0	0	0	0
4090	Second Opinion - Denial of Hospitalization	0	0	0	0
4980	Objection to Hospitalization (minor)	0	0	0	0
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0
4630	Independent Clinical Examination	1	0	1	0
4510	Court Hearing/Process	7	0	7	0

5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	4	0	4	0
7044	Religious Practice	4	1	3	0
7045	Voting	3	0	3	0
7047	Presumption of Competency	0	0	0	0
7048	Marriage/Divorce	0	0	0	0

## 6. Family Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7111	Dignity & Respect	0	0	0	0
7112	Receipt of General Education Information	0	0	0	0
7113	Opportunity to provide information	0	0	0	0

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated
7261	Visitation	0	0	0	0
7262	Contact with Attorneys or others regarding legal matters	2	0	2	0
7263	Access to telephone, mail	5	0	5	0
7264	Funds for postage, stationery, telephone usage	0	0	0	0
7265	Written and posted limitations, if established	1	0	1	0
7266	Uncensored Mail	0	0	0	0
7267	Access to entertainment materials, information, news	2	0	2	0

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated
7481	Disclosure of Confidential Information	3	0	3	0
7485	Withholding of Information (includes Recipient access to records)	7	0	7	1
7486	Correction of Record	2	0	2	0
7487	Access by P & A to records	0	0	0	0
7501	Privileged Communication	0	0	0	0

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated
7081	Safety	34	1	33	0
7082	Sanitary	9	0	9	1
7083	Humane	40	0	40	1
1708	Dignity & Respect	108	3	105	1
7085	Nutrition	11	1	10	0
7086	Least Restrictive Setting	1	0	1	0

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated
7441	Restrictions/Limitations	42	1	41	1
7400	Restraint	1	1	0	0
7420	Seclusion	0	0	0	0

### 11. Financial Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7301	Safeguarding Money	1	0	1	0
7302	Facility Account	0	0	0	0
7303	Easy Access to Money in Account	2	0	2	0
7304	Ability to Spend or Use as Desired	0	0	0	0
7305	Delivery of Money upon Release	0	0	0	0
7360	Labor & Compensation	1	0	1	0

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated
7281	Possession and Use	7	0	7	0
7282	Storage Space	0	0	0	0
7283	Inspection at Reasonable Times	0	0	0	0
7284	Search/Seizure	4	0	4	0
7285	Exclusions	0	0	0	0
7286	Limitations	1	0	1	0
7287	Receipts to Recipient and to Designated Individual	0	0	0	0
7288	Waiver	0	0	0	0
7289	Protection	43	0	43	3

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated
7080	Treatment suited to condition	90	3	87	1
7049	Treatment by spiritual means	0	0	0	0
7100	Physical and mental exams	0	0	0	0
7130	Choice of physician/mental health professional	0	0	0	0
7140	Notice of clinical status/progress	0	0	0	0
7150	Services of mental health professional	2	1	1	0
7003	Informed Consent	2	0	2	0
7170	Electro Convulsive Therapy (ECT)	0	0	0	0
7160	Surgery	0	0	0	0
7180	Psychotropic Drugs	15	0	15	0
7190	Notice of medication side effects	1	0	1	0
7029	Information on Family Planning	0	0	0	0



Appendix A

4. State Facility Individual Data - Mount Pleasant

1. Freedom from Abuse

Code	Category	Received	Investigation	Intervention	Substantiated
7221	Abuse Class I	0	0		0
7222	Abuse Class II	88	88		9
7223	Abuse Class III	39	39		2
7224	Sexual Abuse	8	8		1

2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated
7225	Neglect Class I	1	1		0
7226	Neglect Class II	14	14		8
7227	Neglect Class III	25	25		15

3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated
7760	Access to Rights System	2	0	2	0
7545	Retaliation/Harassment	1	1		0
7060	Notice/Explanation of Rights	1	0	1	0
7780	Complaint Investigation Process	0	0	0	0
7840	Appeal Process	0	0	0	0
7880	Mediation	0	0	0	0
7520	Failure to Report	1	1	0	1

4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated
7050	Second Opinion - Denial of Services	0	0	0	0
4090	Second Opinion - Denial of Hospitalization	0	0	0	0
4980	Objection to Hospitalization (minor)	0	0	0	0
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0
4630	Independent Clinical Examination	0	0	0	0
4510	Court Hearing/Process	11	0	11	0

5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	0	0	0	0
7044	Religious Practice	4	0	4	0
7045	Voting	0	0	0	0
7047	Presumption of Competency	0	0	0	0
7048	Marriage/Divorce	0	0	0	0

## 6. Family Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7111	Dignity & Respect	2	0	2	0
7112	Receipt of General Education Information	0	0	0	0
7113	Opportunity to provide information	1	0	1	0

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated
7261	Visitation	2	0	2	0
7262	Contact with Attorneys or others regarding legal matters	1	0	1	0
7263	Access to telephone, mail	11	0	11	0
7264	Funds for postage, stationery, telephone usage	0	0	0	0
7265	Written and posted limitations, if established	0	0	0	0
7266	Uncensored Mail	0	0	0	0
7267	Access to entertainment materials, information, news	9	0	9	1

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated
7481	Disclosure of Confidential Information	1	0	1	1
7485	Withholding of Information (includes Recipient access to records)	1	0	1	0
7486	Correction of Record	0	0	0	0
7487	Access by P & A to records	0	0	0	0
7501	Privileged Communication	0	0	0	0

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated
7081	Safety	90	3	87	1
7082	Sanitary	7	0	7	0
7083	Humane	183	1	182	3
1708	Dignity & Respect	29	0	29	0
7085	Nutrition	17	0	17	0
7086	Least Restrictive Setting	2	0	2	0

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated
7441	Restrictions/Limitations	15	0	15	0
7400	Restraint	2	0	2	0
7420	Seclusion	0	0	0	0

## 11. Financial Rights

Code	Category	Received	Investigation	Intervention	Substantiated
7301	Safeguarding Money	1	0	1	0
7302	Facility Account	7	0	7	0
7303	Easy Access to Money in Account	1	0	1	0
7304	Ability to Spend or Use as Desired	4	0	4	0
7305	Delivery of Money upon Release	0	0	0	0
7360	Labor & Compensation	2	0	2	0

## 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated
7281	Possession and Use	29	0	29	0
7282	Storage Space	2	0	2	0
7283	Inspection at Reasonable Times	0	0	0	0
7284	Search/Seizure	2	1	1	1
7285	Exclusions	1	0	1	0
7286	Limitations	1	0	1	0
7287	Receipts to Recipient and to Designated Individual	0	0	0	0
7288	Waiver	0	0	0	0
7289	Protection	11	0	11	0

## 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated
7080	Treatment suited to condition	162	5	157	5
7049	Treatment by spiritual means	0	0	0	0
7100	Physical and mental exams	0	0	0	0
7130	Choice of physician/mental health professional	0	0	0	0
7140	Notice of clinical status/progress	0	0	0	0
7150	Services of mental health professional	0	0	0	0
7003	Informed Consent	0	0	0	0
7170	Electro Convulsive Therapy (ECT)	0	0	0	0
7160	Surgery	0	0	0	0
7180	Psychotropic Drugs	1	0	1	0
7190	Notice of medication side effects	0	0	0	0
7029	Information on Family Planning	0	0	0	0



Appendix A

5. State Facility Individual Data - Caro Center

1. Freedom from Abuse						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7221	Abuse Class I	2	2		0	
7222	Abuse Class II	95	95		3	26
7223	Abuse Class III	54	54		3	11
7224	Sexual Abuse	20	20		0	1

2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated	
7225	Neglect Class I	2	2		2	
7226	Neglect Class II	2	2		1	
7227	Neglect Class III	5	5		1	2

3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated	
7760	Access to Rights System	2	0	2	0	
7545	Retaliation/Harassment	0	0		0	
7060	Notice/Explanation of Rights	0	0	0	0	
7780	Complaint Investigation Process	1	0	1	0	
7840	Appeal Process	0	0	0	0	
7880	Mediation	0	0	0	0	
7520	Failure to Report	0	0	0	0	

4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated	
7050	Second Opinion - Denial of Services	0	0	0	0	
4090	Second Opinion - Denial of Hospitalization	0	0	0	0	
4980	Objection to Hospitalization (minor)	0	0	0	0	
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0	
4630	Independent Clinical Examination	0	0	0	0	
4510	Court Hearing/Process	15	0	15	0	

5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated	
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	5	0	5	1	
7044	Religious Practice	1	0	1	0	
7045	Voting	1	0	1	0	
7047	Presumption of Competency	1	0	1	0	
7048	Marriage/Divorce	0	0	0	0	

## 6. Family Rights

						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7111	Dignity & Respect	0	0	0	0	
7112	Receipt of General Education Information	0	0	0	0	
7113	Opportunity to provide information	0	0	0	0	

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated	
7261	Visitation	2	0	2	0	
7262	Contact with Attorneys or others regarding legal matters	0	0	0	0	
7263	Access to telephone, mail	31	0	31	0	
7264	Funds for postage, stationery, telephone usage	0	0	0	0	
7265	Written and posted limitations, if established	1	0	1	0	
7266	Uncensored Mail	10	0	10	2	
7267	Access to entertainment materials, information, news	12	0	12	0	

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated	
7481	Disclosure of Confidential Information	11	0	11	0	
7485	Withholding of Information (includes Recipient access to records)	3	0	3	0	
7486	Correction of Record	6	0	6	0	
7487	Access by P & A to records	0	0	0	0	
7501	Privileged Communication	0	0	0	0	

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated	
7081	Safety	59	2	57	4	
7082	Sanitary	25	0	25	4	
7083	Humane	89	0	89	7	
1708	Dignity & Respect	96	3	93	5	
7085	Nutrition	33	0	33	1	
7086	Least Restrictive Setting	11	1	10	1	

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated	
7441	Restrictions/Limitations	35	2	33	2	
7400	Restraint	0	0	0	0	
7420	Seclusion	0	0	0	0	

### 11. Financial Rights

						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7301	Safeguarding Money	5	0	5	0	
7302	Facility Account	6	0	6	0	
7303	Easy Access to Money in Account	1	0	1	0	
7304	Ability to Spend or Use as Desired	6	0	6	0	
7305	Delivery of Money upon Release	0	0	0	0	
7360	Labor & Compensation	2	0	2	0	

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated	
7281	Possession and Use	29	0	29	2	
7282	Storage Space	2	0	2	0	
7283	Inspection at Reasonable Times	1	0	1	0	
7284	Search/Seizure	4	0	4	0	
7285	Exclusions	0	0	0	0	
7286	Limitations	0	0	0	0	
7287	Receipts to Recipient and to Designated Individual	0	0	0	0	
7288	Waiver	0	0	0	0	
7289	Protection	29	0	29	0	

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated	
7080	Treatment suited to condition	144	1	143	3	
7049	Treatment by spiritual means	0	0	0	0	
7100	Physical and mental exams	2	0	2	0	
7130	Choice of physician/mental health professional	4	0	4	0	
7140	Notice of clinical status/progress	0	0	0	0	
7150	Services of mental health professional	0	0	0	0	
7003	Informed Consent	4	0	4	0	
7170	Electro Convulsive Therapy (ECT)	1	0	1	0	
7160	Surgery	0	0	0	0	
7180	Psychotropic Drugs	25	0	25	0	
7190	Notice of medication side effects	1	0	1	0	
7029	Information on Family Planning	0	0	0	0	

14. Treatment Planning

						still open	
Code	Category	Received	Investigation	Intervention	Substantiated		
7121	Person-Centered Process	3	1	2	0		
7122	Timely development	1	0	1	0		
7123	Requests for Review	1	0	1	0		
7124	Participation by Individual(s) of choice	0	0	0	0		
7125	Assessment of Needs	2	0	2	0		

15. Photographs, Fingerprints, Audiotapes, One-way Glass

Code	Category	Received	Investigation	Intervention	Substantiated	
7241	Prior Consent	1	0	1	0	
7242	Identification	0	0	0	0	
7243	Objection	0	0	0	0	
7244	Release to others/return	0	0	0	0	
7245	Storage/Destruction	0	0	0	0	
7246	Treatment	0	0	0	0	

16. Forensic Issues

Code	Category	Received	Investigation	Intervention	Substantiated	
2020	Incompetent to Stand Trial (I.S.T.)	4	0	4	0	
2050	Not Guilty by Reason of Insanity (N.G.R.I.)	3	0	3	0	
		911	190	721	42	40

17. No Right Involved

Code	Category	Received
0000	No Right Involved	63

18. Outside Provider Jurisdiction

Code	Category	Received
0001	Outside Provider Jurisdiction	15

Appendix A

6. State Facility Individual Data - Walter Reuther

1. Freedom from Abuse						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7221	Abuse Class I	0	0		0	
7222	Abuse Class II	18	18		1	1
7223	Abuse Class III	10	10		0	
7224	Sexual Abuse	1	1		0	

2. Freedom from Neglect

Code	Category	Received	Investigation	Intervention	Substantiated	
7225	Neglect Class I	1	1		1	
7226	Neglect Class II	2	2		2	
7227	Neglect Class III	5	5		3	

3. Rights Protection System

Code	Category	Received	Investigation	Intervention	Substantiated	
7760	Access to Rights System	0	0	0	0	
7545	Retaliation/Harassment	0	0		0	
7060	Notice/Explanation of Rights	0	0	0	0	
7780	Complaint Investigation Process	0	0	0	0	
7840	Appeal Process	0	0	0	0	
7880	Mediation	1	0	1	0	
7520	Failure to Report	0	0	0	0	

4. Admission/Discharge/Second Opinion

Code	Category	Received	Investigation	Intervention	Substantiated	
7050	Second Opinion - Denial of Services	0	0	0	0	
4090	Second Opinion - Denial of Hospitalization	0	0	0	0	
4980	Objection to Hospitalization (minor)	0	0	0	0	
4190	Termination of Voluntary Hospitalization (adult)	0	0	0	0	
4630	Independent Clinical Examination	0	0	0	0	
4510	Court Hearing/Process	18	0	18	0	

5. Civil Rights

Code	Category	Received	Investigation	Intervention	Substantiated	
7041	Civil Rights: Discrimination, Accessibility, Accommodation, etc	0	0	0	0	
7044	Religious Practice	4	0	4	0	
7045	Voting	0	0	0	0	
7047	Presumption of Competency	0	0	0	0	
7048	Marriage/Divorce	0	0	0	0	

## 6. Family Rights

still open

Code	Category	Received	Investigation	Intervention	Substantiated	
7111	Dignity & Respect	0	0	0	0	
7112	Receipt of General Education Information	0	0	0	0	
7113	Opportunity to provide information	0	0	0	0	

## 7. Communication & Visits

Code	Category	Received	Investigation	Intervention	Substantiated	
7261	Visitation	1	0	1	0	
7262	Contact with Attorneys or others regarding legal matters	0	0	0	0	
7263	Access to telephone, mail	6	0	6	1	
7264	Funds for postage, stationery, telephone usage	0	0	0	0	
7265	Written and posted limitations, if established	1	0	1	0	
7266	Uncensored Mail	2	0	2	0	
7267	Access to entertainment materials, information, news	2	1	1	2	

## 8. Confidentiality/Privileged Communications/Disclosure

Code	Category	Received	Investigation	Intervention	Substantiated	
7481	Disclosure of Confidential Information	7	0	7	6	
7485	Withholding of Information (includes Recipient access to records)	1	0	1	0	
7486	Correction of Record	0	0	0	0	
7487	Access by P & A to records	0	0	0	0	
7501	Privileged Communication	0	0	0	0	

## 9. Treatment Environment

Code	Category	Received	Investigation	Intervention	Substantiated	
7081	Safety	44	3	41	6	
7082	Sanitary	4	0	4	0	
7083	Humane	15	0	15	0	
1708	Dignity & Respect	30	7	23	3	
7085	Nutrition	28	0	28	0	
7086	Least Restrictive Setting	0	0	0	0	

## 10. Freedom of Movement

Code	Category	Received	Investigation	Intervention	Substantiated	
7441	Restrictions/Limitations	77	1	76	2	
7400	Restraint	0	0	0	0	
7420	Seclusion	1	1	0	1	

### 11. Financial Rights

						still open
Code	Category	Received	Investigation	Intervention	Substantiated	
7301	Safeguarding Money	3	0	3	0	
7302	Facility Account	12	0	12	0	
7303	Easy Access to Money in Account	1	0	1	0	
7304	Ability to Spend or Use as Desired	3	0	3	0	
7305	Delivery of Money upon Release	0	0	0	0	
7360	Labor & Compensation	0	0	0	0	

### 12. Personal Property

Code	Category	Received	Investigation	Intervention	Substantiated	
7281	Possession and Use	11	0	11	0	
7282	Storage Space	0	0	0	0	
7283	Inspection at Reasonable Times	0	0	0	0	
7284	Search/Seizure	3	0	3	1	
7285	Exclusions	0	0	0	0	
7286	Limitations	1	0	1	0	
7287	Receipts to Recipient and to Designated Individual	0	0	0	0	
7288	Waiver	0	0	0	0	
7289	Protection	31	0	31	1	

### 13. Suitable Services

Code	Category	Received	Investigation	Intervention	Substantiated	
7080	Treatment suited to condition	185	2	183	4	
7049	Treatment by spiritual means	0	0	0	0	
7100	Physical and mental exams	1	0	1	0	
7130	Choice of physician/mental health professional	1	0	1	0	
7140	Notice of clinical status/progress	0	0	0	0	
7150	Services of mental health professional	4	0	4	0	
7003	Informed Consent	0	0	0	0	
7170	Electro Convulsive Therapy (ECT)	0	0	0	0	
7160	Surgery	0	0	0	0	
7180	Psychotropic Drugs	41	0	41	0	
7190	Notice of medication side effects	0	0	0	0	
7029	Information on Family Planning	0	0	0	0	

14. Treatment Planning

						still open	
Code	Category	Received	Investigation	Intervention	Substantiated		
7121	Person-Centered Process	0	0	0	0		
7122	Timely development	0	0	0	0		
7123	Requests for Review	0	0	0	0		
7124	Participation by Individual(s) of choice	0	0	0	0		
7125	Assessment of Needs	0	0	0	0		

15. Photographs, Fingerprints, Audiotapes, One-way Glass

Code	Category	Received	Investigation	Intervention	Substantiated		
7241	Prior Consent	0	0	0	0		
7242	Identification	0	0	0	0		
7243	Objection	1	1	0	0		
7244	Release to others/return	0	0	0	0		
7245	Storage/Destruction	0	0	0	0		
7246	Treatment	0	0	0	0		

16. Forensic Issues

Code	Category	Received	Investigation	Intervention	Substantiated		
2020	Incompetent to Stand Trial (I.S.T.)	2	0	2	0		
2050	Not Guilty by Reason of Insanity (N.G.R.I.)	0	0	0	0		
		579	53	526	34	1	

17. No Right Involved

Code	Category	Received
0000	No Right Involved	45

18. Outside Provider Jurisdiction

Code	Category	Received
0001	Outside Provider Jurisdiction	6