



**North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services**

3001 Mail Service Center • Raleigh, North Carolina 27699-3001
Tel 919-733-7011 • Fax 919-508-0951


Michael F. Easley, Governor
Carmen Hooker Odom, Secretary

Michael Moseley, Director

June 12, 2006

MEMORANDUM

To: Legislative Oversight Committee Members Commission for MH/DD/SAS Consumer/Family Advisory Committee Chairs State Consumer Family Advisory Committee Chairs Advocacy Organizations and Groups North Carolina Association of County Commissioners County Managers County Board Chairs North Carolina Council of Community Programs	State Facility Directors Area Program Directors Area Program Board Chairs DHHS Division Directors Provider Organizations MH/DD/SAS Professional Organizations and Groups MH/DD/SAS Stakeholder Organizations and Groups Other MH/DD/SAS Stakeholders
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From: Mike Moseley 

Re: **Communication Bulletin #056
LME Complaint Reporting**



Administrative Rule 10A NCAC 27G.0609 requires each Local Management Entity (LME) to report to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) on a quarterly basis in an electronic format provided by the Secretary on all complaints made to the LME. The DMH/DD/SAS and representatives of LMEs have worked over the past year to develop a uniform complaint reporting system to fulfill this requirement. The forms and procedures have been modeled after the requirements of the Incident Reporting System. It is our intent that this process be implemented September 1, 2006.

In order to obtain additional input from all stakeholders prior to implementation, these documents are being posted for a 45-day comment period. Please review the attached documents and submit comments or suggestions by August 7, 2006 via electronic mail to dmh.advocacy@ncmail.net or by calling Glenda Stokes at (919) 715-3197.

- **Attachment 1: Guidelines for the LME Complaint Reporting System;**
Attachment 1 is a guidance document that provides an overview of the Complaint Reporting System and the forms. Instructions regarding data collection, analysis and reporting are provided.
- **Attachment 2: Customer Service Collection Form;**
Attachment 2 is an optional data collection form. It can be modified by each LME to gather additional data specific to their LME.



- **Attachment 3: LME Quarterly Complaint Report:**

Attachment 3 is the LME Quarterly Complaint Report which is used to report aggregate data to DMH/DD/SAS. Data from this report will be used by DMH/DD/SAS to develop a quarterly report for statewide comparisons. This report contains information about the types of complaints, the actions taken by the LME and the outcomes of the complaints. Since some complaints result in provider monitoring, an investigation or a referral to a State agency such as the Division of Facility Services or DMH/DD/SAS, a 4-month delay in reporting has been established to allow time for agencies to complete the necessary monitoring or investigation and obtain copies of relevant reports.

The LME Quarterly Complaint Report submitted to DMH/DD/SAS should also be shared with CFACs, Client Rights Committees and Governing Boards. Stakeholders can request additional LME specific data and help develop strategies for improvement based on patterns from the data. The LME can also share any information regarding patterns of complaints with providers in order to enhance services. Information regarding a specific provider will be shared during the resolution of the complaint (NC statutes and HIPPA laws on confidentiality must be followed).

- **Attachment 4: LME Complaint Report Instructions:**

Specific instructions regarding the completion of the LME Complaint Report are included in this attachment.

- **Attachment 5: DMH/DD/SAS Quarterly Complaint Report:**

Attachment 5 is a sample report and will be developed based on the data reports submitted from each LME. This report will be available on the DMH/DD/SAS website and will also be provided to the State Consumer and Family Advisory Committee (State CFAC) for review and suggestions.

As previously stated, each LME will begin data collection on or before September 1, 2006. The first LME Complaint Report will be due to the DMH/DD/SAS on or before February 20, 2007. This deadline reflects the aforementioned 4-month delay to allow for monitoring, investigations and/or referrals to other state agencies. This first report of September data will be used for baseline data and will not be indicated in the May 2007 Performance Contract Quarterly Report. Compliance with reporting requirements from the next quarter (October to December 2006) will be reported in the August 2007 Performance Contract Quarterly Report. Reports will be sent electronically to dmh.advocacy@ncmail.net.

Any questions pertaining to this complaint reporting system should be directed to Glenda Stokes at (919) 715-3197 or via electronic mail at dmh.advocacy@ncmail.net.

Attachments

cc: Secretary Carmen Hooker Odom
Dr. Allen Dobson
Allyn Guffey
Dan Stewart
DMH/DD/SAS Executive Leadership Team
DMH/DD/SAS Staff
Lynette Tolson
Rich Slipsky
Wayne Williams
Kaye Holder

Kory Goldsmith
Jennifer Hoffmann
Andrea Russo

