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SENATE BILL 1237

43RD LEGISLATURE - STATE OF NEW MEXICO - FIRST SESSION, 1997

INTRODUCED BY

MI CHAEL S. SANCHEZ

5

AN ACT

RELATING TO LONG-TERM CARE; AMENDING THE LONG-TERM CARE OMBUDSMAN ACT.

BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF NEW MEXICO:

Section 1. Section 28-17-3 NMSA 1978 (being Laws 1989, Chapter 208, Section 3) is amended to read:

"28-17-3. DEFINITIONS.--As used in the Long-Term Care Ombudsman Act:

A. "adult protective services" means the [human services] children, youth and families department pursuant to the Adult Protective Services Act;

- B. "agency" means the state agency on aging;
- C. "care" means assistance with the activities of daily living, including eating, dressing, oral hygiene, bathing, mobility, toileting, grooming, taking medications, transferring

1	from a bed or chair and walking:					
2	$\left[\begin{array}{cccccccccccccccccccccccccccccccccccc$					
3	agency on aging;					
4	$[\frac{D}{C}]$ \underline{E} . "licensing and certification" means the					
5	licensing and certification bureau of the public health division					
6	of the <u>department of</u> health [and environment department];					
7	[E.] F. "long-term care facility" means <u>any</u>					
8	residential facility that provides care to one or more persons					
9	unrelated to the owner or operator of the facility for more than					
10	twenty-four hours, including:					
11	(1) <u>a</u> skilled nursing facility;					
12	(2) <u>an</u> intermediate care nursing facility;					
13	[(3) intermediate care facility for the					
14	mentally retarded;					
15	(4)] (3) a nursing facility;					
16	$[\frac{(5)}{(4)}]$ $\underline{(4)}$ an adult residential shelter care					
17	home;					
18	$\left[\frac{(6)}{(5)}\right]$ (5) a boarding home;					
19	$[\frac{(7)}{(6)}]$ (6) any other adult care home or adult					
20	residential care facility;					
21	$\left[\frac{(8)}{(7)}\right]$ <u>(7)</u> a continuing care community;					
22	$[\frac{(9)}{(8)}]$ any swing bed in an acute care					
23	facility or extended care facility; and					
24	[(10)] <u>(9)</u> any adult day [health] care					
25	facility;					
	. 116595. 2ms					

1	[F.] $G.$ "office" means the office of the state long-					
2	term care ombudsman;					
3	[G.] <u>H.</u> "Older Americans Act" means the federal					
4	Older Americans Act;					
5	[H. "older individual" means any individual who is					
6	sixty years of age or older;]					
7	I. "ombudsman" means an individual trained and					
8	certified to act as a representative of the office of the state					
9	long-term care ombudsman;					
10	J. "ombudsman coordinator" means the coordinator of					
11	a regional or local ombudsman program designated by the office					
12	of the state ombudsman; [and]					
13	K. "program" means the New Mexico long-term care					
14	ombudsman program; and					
15	$\left[\frac{K_{-}}{L_{-}}\right]$ "state ombudsman" means the state long-term					
16	care ombudsman."					
17	Section 2. Section 28-17-4 NMSA 1978 (being Laws 1989,					
18	Chapter 208, Section 4) is amended to read:					
19	"28-17-4. ESTABLISHMENT OF THE OFFICE OF THE STATE LONG-					
20	TERM CARE OMBUDSMANGENERAL DUTIES OF THE OFFICE					
21	A. Pursuant to the Older Americans Act, the agency					
22	shall establish and operate [either directly or by contract or					
23	other arrangement] an "office of the state long-term care					
24	ombudsman" either directly or by contract or other arrangement					
25	with any public agency or nonprofit private organization; except					

that no contract or arrangement may be made with any entity that is responsible for licensing or certifying long-term care services or an association or association affiliate of long-term care facilities or of any other residential facilities.

[B. The director shall designate the state

C.] B. The office shall [carry out a long-term care ombudsman program to] be directed by the state long-term care ombudsman, who shall be an individual with expertise and experience in the fields of long-term care and advocacy.

[(1) investigate and resolve complaints made by or on behalf of older individuals who are patients, residents or clients of long-term care facilities relating to action, inaction or decisions of providers, or their representatives, of long-term care services, of public agencies or of social service agencies which may adversely affect the health, safety, welfare or rights of such residents;

(2) provide for the training of staff and volunteers and promote the development of citizen organizations to participate in the ombudsman program;

implementation of federal, state and local laws, regulations and policies with respect to long-term care facilities and services and recommend any changes in such laws, regulations and policies deemed by the office to be appropriate;

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(4) establish a statewide uniform reporting
system to collect and analyze data relating to complaints and
conditions in long-term care facilities for the purpose of
identifying and resolving significant problems. Such data shall
be submitted to state licensing and certification at least on an
annual basis:

(5) prepare an annual report for the director containing data and findings regarding the types of problems experienced and complaints received by or on behalf of individuals residing in long-term care facilities and provide policy, regulatory and legislative recommendations to solve such problems, resolve such complaints and improve the quality of care and life in long-term care facilities;

(6) provide information to public agencies, legislators and others, as deemed necessary by the office, regarding the problems and concerns, including recommendations related to such problems and concerns, of older individuals residing in long-term care facilities; and

(7) coordinate ombudsman services with the protection and advocacy systems for individuals with developmental disabilities and mental illness.]

C. The ombudsman shall serve on a full-time basis, and shall, personally or through representatives of the office:

(1) identify, investigate and resolve complaints that are made by, or on behalf of, residents and that

1	relate to action, inaction or decisions that may adversely
2	affect the health, safety, welfare or rights of the residents,
3	including the welfare and rights of the residents with respect
4	to the appointment and activities of guardians and
5	representative payees, of:
6	(a) providers, or representatives of
7	providers, of long-term care services;
8	(b) public agencies; or
9	(c) health and social service agencies;
10	(2) provide services to assist the residents in
11	protecting the health, safety, welfare and rights of the
12	residents;
13	(3) inform the residents about means of
14	obtaining services;
15	(4) ensure that the residents have regular and
16	timely access to the services provided through the office and
17	that the residents and complainants receive timely responses
18	from representatives of the office;
19	(5) represent the interests of the residents
20	before governmental agencies and seek administrative, legal and
21	other remedies on behalf of residents to protect the health.
22	safety, welfare and rights of the residents;
23	(6) provide administrative and technical
24	assistance to designated regional and local ombudsman programs
25	and assist the programs in participating in the program;

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(7) analyze, comment on and monitor the
development and implementation of federal, state and local laws,
regulations and other governmental policies and actions that
pertain to the health, safety, welfare and rights of the
residents, with respect to the adequacy of long-term care
facilities and services in the state and recommend any changes
in such laws, regulations, policies and actions as the office
determines to be appropriate; and facilitate public comment on
the laws, regulations, policies and actions;

(8) provide for training representatives of the office, promote the development of citizen organizations to participate in the program and provide technical support for the development of resident and family councils to protect the well-being and rights of residents;

(9) prepare an annual report:

(a) describing the activities carried out

by the office in the year for which the report is prepared;

(b) containing and analyzing the data

collected;

(c) evaluating the problems experienced by, and the complaints made by or on behalf of, residents;

(d) containing recommendations for improving quality of the care and life of the residents, and protecting the health, safety, welfare and rights of the residents;

1	(e) analyzing the success of the program.
2	including success in providing services to residents of board
3	and care facilities and other similar adult care facilities;
4	(f) identifying barriers that prevent the
5	optimal operation of the program; and
6	(g) providing policy, regulatory and
7	<u>legislative recommendations to solve identified problems, to</u>
8	resolve complaints, to improve the quality of care and life of
9	residents, to protect the health, safety, welfare and rights of
10	residents and to remove the barriers;
11	(10) coordinate ombudsman services with the
12	protection and advocacy systems for individuals with
13	developmental disabilities and mental illness;
14	(11) provide such information as the office
15	determines to be necessary to public and private agencies.
16	<u>legislators</u> and other persons regarding the problems and
17	concerns of older individuals residing in long-term care
18	facilities; and recommendations related to the problems and
19	concerns; and
20	(12) carry out such other activities as the
21	state ombudsman determines to be appropriate."
22	Section 3. Section 28-17-6 NMSA 1978 (being Laws 1989,
23	Chapter 208, Section 6) is amended to read:
24	"28-17-6. REGIONAL AND LOCAL LONG-TERM CARE OMBUDSMAN
25	PROGRAMS[The director shall establish criteria that the

office shall use in designating a regional or local long-term care ombudsman program. A program shall be designated by the state ombudsman before it can provide ombudsman services. A program may be provisionally approved to provide ombudsman services pending designation by the state ombudsman. The criteria shall include, but are not limited to, the following:

A. specifications regarding the location of the program's offices;

B. requirements concerning the program's staffing, training and review; and

C. requirements with regard to avoidance of conflicts of interest. A. In carrying out the duties of the office, the state ombudsman may designate an entity as a regional or local ombudsman entity, and may designate an employee or volunteer to represent the entity. An individual so designated shall, in accordance with the policies and procedures established by the office and the agency:

(1) provide services to protect the health.
safety, welfare and rights of residents;

(2) ensure that residents in the service area of the entity have regular, timely access to representatives of the program and timely responses to complaints and requests for assistance;

(3) identify, investigate and resolve complaints made by or on behalf of residents that relate to

1	action, inaction or decisions that may adversely affect the
2	health, safety, welfare or rights of the residents;
3	(4) represent the interests of residents before
4	government agencies and seek administrative, legal and other
5	remedies to protect the health, safety, welfare and rights of
6	the residents;
7	(5) review and, if necessary, comment on any
8	existing and proposed laws, regulations and other government
9	policies and actions, that pertain to the rights and well-being
10	of residents;
11	(6) facilitate the ability of the public to
12	comment on the laws, regulations, policies and actions;
13	(7) support the development of resident and
14	family councils; and
15	(8) carry out other activities that the
16	ombudsman determines to be appropriate.
17	B. To be eligible to be designated as regional or
18	<u>local</u> ombudsman entities, and individuals eligible to be
19	designated as representatives of such entities, the entities
20	shall:
21	(1) have demonstrated capability to carry out
22	the responsibilities of the office;
23	(2) be free of conflicts of interest;
24	(3) in the case of the entities, be public or
25	nonprofit private entities; and

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state	ombudsman	may	specify.	<u>.</u> "				

Section 4. Section 28-17-9 NMSA 1978 (being Laws 1989, Chapter 208, Section 9) is amended to read:

"28-17-9. REFERRALS. --

- A. When abuse, neglect or exploitation of a patient, resident or client of a long-term care facility is suspected, the office shall make a referral to adult protective services and licensing and certification, where appropriate. The office shall coordinate with adult protective services and licensing and certification pursuant to any investigation of abuse, neglect or exploitation undertaken by those agencies.
- B. The following state agencies or boards shall endeavor to give priority to any complaint referred to them by the office:
 - (1) licensing and certification;
- (2) the [human services] children, youth and families department;
 - (3) the New Mexico board of medical examiners;
 - (4) the board of nursing;
- $\hspace{1cm} \textbf{(5)} \hspace{0.3cm} \textbf{the [state] board of nursing home} \\ \textbf{administrators; or} \\$
 - (6) the board of pharmacy.

The office shall coordinate its efforts with those of any state agency or board to which it makes investigation referrals.

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C. Any state agency or board which responds to a complaint against a long-term care facility or licensed individual that was referred to the agency by the office shall forward to the office copies of related inspection reports and plans of correction, notice of any citations and sanctions levied against the long-term care facility or the licensed individual."

Section 5. Section 28-17-11 NMSA 1978 (being Laws 1989, Chapter 208, Section 11) is amended to read:

"28-17-11. ACCESS TO AGENCY RECORDS. -- Upon request, the office shall have access to [any record] records of [a] any state or local government agency, [which is] including copies of all licensing and certification records relating to long-term care facilities as necessary to carry out its responsibilities under the Long-Term Care Ombudsman Act and which [is otherwise] records are available to the patient, resident or client, [and which does not violate] except for records and information unavailable pursuant to Section 7-1-8 NMSA 1978."

Section 6. Section 28-17-13 NMSA 1978 (being Laws 1989, Chapter 208, Section 13) is amended to read:

"28-17-13. ACCESS TO RECORDS OF PATIENTS, [RESIDENT]
RESIDENTS OR CLIENTS. --

A. In order for the office to carry out its responsibilities under the Long-Term Care Ombudsman Act, the office shall have access to the medical and personal records of

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a patient, resident or client of a long-term care facility that are retained by the facility. If the patient, resident or client:

- (1) has the ability to consent in writing, access may only be obtained by the written consent of the patient, resident or client;
- (2) is unable to consent in writing, oral consent may be given in the presence of a third party as witness:
- (3) [is under a New Mexico guardianship or conservatorship that provides the guardian or conservator with the authority] has a legally appointed surrogate decision maker authorized to approve review of records, the office shall obtain the permission of the [guardian or conservator] surrogate decision maker for review of the records, unless any of the following apply:
- (a) the existence of the [guardianship or conservatorship] surrogate decision maker is unknown to the office or the facility; [or]
- (b) the [guardian or conservator]

 surrogate decision maker cannot be reached within five working days; [and] or
- (c) access to the records is necessary to investigate a complaint and the surrogate decision maker refuses to give the permission and a representative of the office has

reasonable cause to believe that the surrogate decision maker is not acting in the best interests of the resident; and

- (4) is unable to express written or oral consent and there is no [guardian or conservator] surrogate decision maker or the notification of the [guardian or conservator] surrogate decision maker is not applicable for reasons set forth in Paragraph (3) of this subsection or the patient, resident or client is deceased, inspection of records may be made by employees of the office, ombudsman coordinators and by ombudsmen approved by the ombudsman coordinator or the state ombudsman.
- B. Copies of records may be reproduced by the office. If investigation of records is sought pursuant to this section, the ombudsman shall upon request produce a statement signed by the ombudsman coordinator or state ombudsman authorizing the ombudsman to review the records. Facilities providing copies of records pursuant to this section may charge the office for the actual copying cost for each page copied.
- C. Upon request by the office, a long-term care facility shall provide to the office the name, address and telephone number of the guardian, conservator, attorney-in-fact, legal representative or next-of-kin of any patient, resident or client and a copy of any document granting legal decision-making power over a resident.
 - D. The long-term care facility and personnel who

disclose records pursuant to this section shall not be liable for the disclosure.

E. The office shall establish procedures to protect the confidentiality of records obtained pursuant to this section."

Section 7. Section 28-17-14 NMSA 1978 (being Laws 1989, Chapter 208, Section 14) is amended to read:

"28-17-14. CONFIDENTIALITY OF INFORMATION. --

A. [Information relating to any complaint or investigation made pursuant to this Act that discloses the identities of complainants, patients, residents or clients shall remain confidential except] The files and records of the office may be disclosed only at the discretion of the state ombudsman or person designated by him. The disclosure of the identity of any complainant or resident about whom the office maintains files or records is prohibited unless:

- (1) [where disclosure is authorized in writing by the complainant, patient, resident or client or the individual's guardian or legal representative] the complainant or resident or his legal representative consents in writing to the disclosure;
- (2) [where disclosure is necessary to an investigation of abuse, neglect or exploitation and the disclosure is made to adult protective services, licensing and certification or the attorney general] the complainant or resident gives oral consent that is documented immediately in

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writing by a representative of the office;

- (3) [where] disclosure is necessary for the provision of ombudsman services to the patient, resident or client and the patient, resident or client is unable to express written or oral consent; or
- (4) [upon court order] disclosure is ordered by the court.
- [B. Access to the records and files of the office relating to any complaint or investigation made pursuant to the Long-Term Care Ombudsman Act shall be permitted only at the discretion of the state ombudsman or the ombudsman having authority over disposition of such files, except that the identity of any complainant, witness, patient, resident or elient shall not be disclosed by such ombudsman except:
- (1) where disclosure is authorized in writing by such complainant, witnesses, patient, resident or client or the individual's guardian or legal representative; or
 - (2) upon court order.
- C.] B. The director shall have access to the records and files of the office to verify the effectiveness and quality of the ombudsman program where the identity of any complainant, witness, patient, resident or client is not disclosed."
- Section 8. Section 28-17-15 NMSA 1978 (being Laws 1989, Chapter 208, Section 15) is amended to read:
 - "28-17-15. CONFLICT OF INTEREST. -- The agency shall ensure

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	[bracketed_material]

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no individual [involved in the designation of the A. state ombudsman or the designation of the head of any regional or local program has a pecuniary or other interest in a longterm care facility or a member of the immediate family of an individual involved in the designation of the ombudsman or the designation of a regional or local ombudsman is subject to a conflict of interest;

- no officer [employee or other representative of the office has a pecuniary or other interest in a long-term care facility; and] or employee of the office, ombudsman coordinator or representative, or a member of their immediate family, is subject to a conflict of interest; and
- C. [mechanisms are in place to identify and remedy all such or other similar conflicts] any ombudsman:
- (1) does not have a direct involvement in the licensing or certification of a long-term care facility or of a provider of a long-term care service;
- (2) does not have an ownership or investment interest, represented by equity, debt or other financial relationship, in a long-term care facility or a long-term care servi ce;
- (3) is not employed by, or participating in the management of, a long-term care facility; and
 - (4) does not receive, or have the right to

receive, directly or indirectly, remuneration in cash or in kind under a compensation arrangement with an owner or operator of a long-term care facility."

Section 9. Section 28-17-18 NMSA 1978 (being Laws 1989, Chapter 208, Section 18) is amended to read:

"28-17-18. AVAILABILITY OF LEGAL COUNSEL.--The agency shall ensure that:

A. adequate legal counsel is available [to the office for advice and consultation and that legal representation is provided to any representative of the office against whom suit or other legal action is brought in connection with the performance of the representative's official duties] and is able, without conflict of interest, to:

(1) provide advice and consultation needed to protect the health, safety, welfare and rights to residents; and

- (2) assist the ombudsman and representatives of the office in the performance of the official duties of the ombudsman and representatives:
- B. [the office has the ability to pursue administrative, legal and other appropriate remedies on behalf of patients, residents and clients of long-term care facilities] representation is provided to any representative of the office against whom suit or other legal action is brought or threatened to be brought in connection with the performance of the official duties of the ombudsman or such a representative; and

C. the office pursues administrative, legal and other appropriate remedies on behalf of residents."

Section 10. Section 28-17-19 NMSA 1978 (being Laws 1989, Chapter 208, Section 19) is amended to read:

"28-17-19. INTERFERENCE WITH THE OFFICE AND RETALIATION
PROHIBITED--PENALTY--CIVIL.--

- A. No person shall willfully interfere with the lawful actions of the office, including the request for immediate entry into a long-term care facility.
- B. No person shall institute discriminatory, disciplinary or retaliatory action against any [officer or employee of a long term care facility or government agency or against any patient, resident or client of a long-term care facility or guardian or family member thereof for any communication by him with the office or for any information given or disclosed by him in good faith to aid the office in carrying out its duties and responsibilities] resident, employee or other person for filing a complaint, providing information to or otherwise cooperating with any representative of the office.
- C. Any person [that] who violates Subsection A of this section shall be subject to a civil penalty of up to [two thousand five hundred dollars (\$2,500)] five thousand dollars (\$5,000) per occurrence. Any person [that] who violates Subsection B of this section shall be subject to a civil penalty of up to [five thousand dollars (\$5,000)] ten thousand dollars

(\$10,000) per occurrence. The agency may assess and collect the penalty after notice and an opportunity for hearing, before a hearing officer designated by the agency to hear the matter, upon a determination that a person willfully interfered with the office or discriminated, disciplined or retaliated against an individual who communicated or disclosed information to the office in good faith pursuant to Subsections A and B of this section. The hearing officer has the power to administer oaths on request of any party and issue subpoenas and subpoenas duces tecum. However, if the violation is against a person covered by the Personnel Act, the office shall refer the matter to the agency employing the person for disciplinary action.

D. Any party may appeal to the court of appeals on the record within thirty days after the final decision of the agency."

Section 11. EFFECTIVE DATE. -- The effective date of the provisions of this act is July 1, 1997.

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FORTY-THIRD LEGISLATURE FIRST SESSION, 1997

March 6, 1997

Mr. President:

Your CORPORATIONS & TRANSPORTATION COMMITTEE, to

whom has been referred

SENATE BILL 1237

has had it under consideration and reports same with recommendation that it **DO PASS**, and thence referred to the **JUDICIARY COMMITTEE.**

Respectfully submitted,

Roman M Maes, III, Chairman

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FORTY-THIRD LEGISLATURE SB 1237/a FIRST SESSION, 1997

March 10, 1997

Mr. President:

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Your **JUDICIARY COMMTTEE**, to whom has been referred

SENATE BILL 1237

has had it under consideration and reports same with recommendation that it **DO PASS**, amended as follows:

- On page 3, line 14, strike "and".
- On page 3, between lines 14 and 15, insert: 2.
- "L. "resident" means any patient, client or person residing in and receiving care in a long-term care facility; ".
 - Reletter the succeeding subsection accordingly. 3.
 - On page 3, line 16, strike the period and quotation mark 116595. 2ms

FORTY-THIRD LEGISLATURE FIRST SESSION, 1997

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SJC/SB 1237

Page 24

4 and insert "; and".

5. On page 3, between lines 16 and 17, insert:

"N. "surrogate decision maker" means a legally appointed agent, guardian or surrogate who is authorized to act on behalf of a resident."".

6. On page 15, line 13, after "only" insert "for purposes of fulfilling the duties of the office of the ombudsman pursuant to Subsection C of Section 28-17-4 NMSA 1978".

7. On page 15, line 14, strike "disclosure of" and insert 'state ombudsman shall not disclose".

8. On page 15, line 16, strike "is prohibited".

<u>Underscored naterial = new</u> [bracketed naterial] = delete

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FORTY-THIRD LEGISLATURE FIRST SESSION, 1997

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3	SJC/SB 1	237	Page 25
4		Respectfully submitted,	
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9		Fernando R. Macias, Chairman	
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13	Adopted_	Not Adopted	
14		(Chief Clerk) (Chief Clerk))
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17		Date	
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20	The roll	call vote was <u>7</u> For <u>0</u> Against	
21	Yes:	7	
22	No:	0	
23	Excused:	Sanchez	
24	Absent:	None	
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Underscored material = new [bracketed material] = delete

FORTY-THIRD LEGISLATURE FIRST SESSION, 1997

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3 SJC/SB 1237 Page 26

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