

AAA Ombudsman Worksheet					Section 04-OM
Review Section:	Requirement Reference	Available On-site	Review Questions	Compliance Yes/No	On-site Training Area: If "No" identify issue, list Training, and set Outcome (Outcome is what needs to be implemented)
D4-OM-01	PM 9.1.8.B. OM	Provide a list of all current substate Ombudsman and hire dates.	Did the AAA hire a substate Ombudsman during the last State Fiscal Year ending June 30?		Issue: Training: Outcome:
D4-OM-02	PM 9.1.9. OM	Provide total hours for each paid and volunteer Ombudsman for the last full state fiscal year ending June 30th.	Does the AAA employ one or more full time substate Ombudsman?		Issue: Training: Outcome:
D4-OM-03	PM 9.2.1.A.2.	Provide a list of unannounced facility visits for the last full state fiscal year ending June 30th to verify the quarterly visit requirement.	Does the substate Ombudsman conduct unannounced quarterly visits to all long-term-care facilities in their Planning and Service Area?		Issue: Training: Outcome:
D4-OM-04	PM 9.2.1.B. OM (a)(5)Designation of Local Ombudsman Entities and Representatives.	Provide a list of resident and family councils that the substate Ombudsman participated in during the last full SFY.	Has the substate Ombudsman participated in resident and family councils during the last state fiscal year ending June 30th?		Issue: Training: Outcome:
D4-OM-05	PM 9.3.2. OM Administration	Provide a list of local law enforcement agencies with contact information that the substate Ombudsman coordinate services with.	Does the substate Ombudsman coordinate services with State and local law enforcement agencies and courts of competent jurisdiction?		Issue: Training: Outcome:
D4-OM-06	PM 9.3.5. OM Adult Protection and Ombudsman Coordination	Provide ICOA with written procedures establishing cooperative protocols for AP/Ombudsman investigating complaints.	Does the AAA have written procedures establishing cooperative protocols for investigating complaints?		Issue: Training: Outcome:
D4-OM-07	PM 9	Determine through staff interview and documentation	Does the substate Ombudsman have any cases that have been open for longer than 120 days?		Issue: Training: Outcome:
D4-OM-08	PM 9.9. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Does only the AAA Director supervise the substate Ombudsman?		Issue: Training: Outcome:

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D4-OM-09	PM 9.910. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Does the substate Ombudsman keep all client files confidential?		Issue: Training: Outcome:
D4-OM-10	PM 9.8.2. OM Administrative Requirements	Determine through staff interview and documentation	Did the AAA enter all OmbudsManager data by the 25th following the end of the quarter and was the data accurate?		Issue: Training: Outcome:
D4-OM-11	PM 9.1.7. OM	Determine through staff interview and documentation	Does the substate Ombudsman record, in Ombudsmanager, all time spent related to activities?		Issue: Training: Outcome:
D4-OM-12	PM 9.2.2. Office of Ombudsman for the Elderly.	Determine through staff interview and documentation	How many complaints did the substate Ombudsman investigate during the review period? (this is not YES or NO?)		Issue: Training: Outcome:
D4-OM-13		Determine through staff interview and documentation	Does the AAA utilize the ICOA approved management information systems for authorizing services, collecting consumer information, data tracking, and monitoring consumer services related OAA and State funded services for the program?		Issue: Training: Outcome:
D4-OM-14	PM 9.2.1.B. OM (a)(5)Designation of Local Ombudsman Entities and Representative	Determine through staff interview and documentation	What special activities has the substate Ombudsman carried out during this reporting period?		Issue: Training: Outcome:
D4-OM-15	PM 9.4.5. OM Administrative Requirements	Determine through staff interview and documentation	Does the substate Ombudsman have a space, provided by the AAA, assuring privacy for substate Ombudsmen to hold confidential meetings?		Issue: Training: Outcome:
D4-OM-16	PM 9.9. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Are the Client records maintained in locked storage?		Issue: Training: Outcome:

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D4-OM-17	PM 9.910. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Does the substate ombudsman document if a resident or complainant requests to remain anonymous?		Issue: Training: Outcome:
D4-OM-18	PM 9.1.6.3. OM.	Determine through staff interview and documentation	Does the substate ombudsman follow ICOA's Ombudsman Program Manual procedures for receiving, investigating, processing complaints and reporting findings?		Issue: Training: Outcome:
D4-OM-19	PM 9.9. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Does the substate Ombudsman clearly document in client files that written or oral consent to access confidential records was obtained before releasing information?		Issue: Training: Outcome:
D4-OM-20	PM 9.2.2. Office of Ombudsman for the Elderly.	Determine through staff interview and documentation	Does the substate Ombudsman document that they have, if appropriate, informed the complainant of an investigation or provided a reason why they did not?		Issue: Training: Outcome:
D4-OM-21	PM 9.910. OM Confidentiality and Disclosure	Determine through staff interview and documentation	Does the substate Ombudsman notify the complainant if unable to honor the request to remain anonymous?		Issue: Training: Outcome:
D4-OM-22	PM 9.4.5. OM Administrative Requirements	Determine through staff interview and documentation	Does the Substate Ombudsmen utilize ICOA's standardized forms provided: FO.OM.10 Ombudsman Statewide Quarterly Facility Visit Checklist and FO.AD.03. Release of Information Form		Issue: Training: Outcome:
D4-OM-23	P.O.OM.02	Determine through staff interview and documentation	Does the substate ombudsman have a method of monitoring and evaluating volunteer requirements and performance and have volunteer policies?		Issue: Training: Outcome:
D4-OM-24	P.O.OM.02	Determine through staff interview and documentation	Does the substate ombudsman make appropriate referrals?		Issue: Training: Outcome:

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D4-OM-25		Determine through staff interview and documentation	Reviewer will visit 2 assisted living facilities and 2 nursing homes to determine if ombudsman is accessible to residents and to verify that ombudsman poster is displayed		Issue: Training: Outcome:
D21-PTF-35	FO.AD.03 Release of Information Form	Determine through staff interview and documentation	Did the AAA fill out these forms?		Issue: Training: Outcome: