

LTCOP Organizational Conflicts of Interest – Examples of Identification, Remedies, and Removal Local Ombudsman Entities (LOEs)

Disclaimer: This list not inclusive and use of one or more of these remedies does not guarantee compliance by an individual program. Sufficient remedies are those that preserve loyalty (judgment and objectivity, financial issues), commitment (time & attention, adequacy of resources), control (independence & ability to take action), and perception of the LTCOP. Visit the NORC website for more information. State Offices and Local Ombudsman Entities must have a policy and procedure in place to screen and identify conflicts.

Key of Acronyms & Abbreviations

COI = Conflict of Interest
LOE = Local Ombudsman Entity
LTCOP = Long-Term Care Ombudsman Program
OSLTCO = Office of the State Long-Term Care Ombudsman
SLTCO = State Long-Term Care Ombudsman

CFR = Code of Federal Regulations LTCO = Long-Term Care Ombudsman MOU = Memorandum of Understanding P&P = Policies & Procedures

Additional Resources

LTCOP Rule Issue Brief: State LTC Ombudsman Program Organizational Level Conflict of Interest

LTCOP Rule Issue Brief: Local Ombudsman Entity Organizational Level Conflict of Interest

Side-by-Side of the LTCOP Final Rule and Pertinent Preamble Language

¹ Additional information about the LTCOP Rule and conflicts of interest are available on the NORC website: http://ltcombudsman.org/library/fed_laws/ltcop-final-rule and http://ltcombudsman.org/omb_support/pm/ethics.

| Con | iflict of Interest | Examples of Identification | Examples of Remedy or Removal |
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| 1 | Is responsible for licensing, surveying, or certifying long-term care facilities (CFR 1324.21(a)(1)) | CFR PROHIBITS - No Remedy, only Removal Licenses, surveys, or certifies long-term care facilities, including nursing homes, Assisted Living, Adult Foster/Family Care, or other board & care facilities Makes recommendations to another agency about licenses, surveys, or certifications (NOTE: It is not automatically a prohibited conflict if the entity that houses the LOE makes recommendations, but is not the final decision-making entity. In such cases, the LOE should identify this conflict and implement appropriate remedy and/or removal.) | CFR PROHIBITS - No Remedy, only Removal Move LTCOP Move licensing, certifying, or surveying functions to another agency or division |
| 2 | Is an association (or an affiliate of such an association) of long-term care facilities, or of any other residential facilities for older individuals or individuals with disabilities ((OAA Sec. 712(f)(2)(A)(ii)) and (CFR 1324.21(a)(2)); NOTE: OAA citation does not have "or individuals with disabilities") | CFR PROHIBITS - No Remedy, only Removal Facility associations, such as state/local affiliate of the for-profit nursing facility association (American Health Care Association); or the non-profit, Leading Age, for example. | CFR PROHIBITS - No Remedy, only Removal Move LOE to another agency Move association or affiliate of LTC facilities out of the organization |

Is responsible for Licenses, surveys, or certifies long-term care services, LOE in a different management reporting chain licensing, certifying, such as adult day service, home-delivered meals or Representatives of the Office do not report to person or surveying longtransportation, whether funded by Medicaid waivers, directly responsible for these functions term care services in OAA, state revenue, or other funding sources These functions are handled by a different unit of the the State (OAA Sec. Monitors long-term care service providers (NOTE: agency from where the LTCOP is placed 712(f)(2)(A)(i)) ACL anticipates that all LOEs that are placed in Area MOU/P&P outlines LTCOP separation from these Agencies on Aging (AAAs) will report this as a conflict functions due to AAA roles in monitoring OAA-funded and/or Separate branding, including materials and on-line other long-term care service providers.) presence, distinguishes LOE from the host agency Separate phones, fax lines and clearly defined limits regarding access to LOE database, information and other records LOE is located in a different building or separate office only accessible to LOE staff Move LOE to another agency Move organization responsible for licensing and survey Has any ownership or Operates a long-term care facility, such as a county CFR PROHIBITS - No Remedy, only Removal nursing home (NOTE: It is not automatically a • Owns, has investment interest or operates a long-term investment interest care facility, such as a state nursing home (represented by prohibited conflict if a county owns a nursing home, equity, debt, or other if operation of the nursing home rests with a Divest any ownership or investment interest financial relationship) different entity than the entity that houses the LOE Move LOE in, or receives grants (e.g., County Department of Health operates a or donations from, a nursing home and the LOE is placed within the May be remedied, not an absolute prohibition long-term care County Department of Human Services) and the • Receives grants, donations, or sponsorships from a facility (CFR county can demonstrate that the entity that houses long-term care facility for a program, conference, event, 1324.21(a)(3)) the LOE has no claim to ownership or investment or other purpose interest. In such cases, the LOE should identify this • Cease/return grants or donations as a potential conflict, provide explanation as to why Develop clear policies & procedures and review on a it does/does not meet the standard for a prohibited periodic (e.g., semi-annual, annual) basis conflict, and implement appropriate remedy and/or • These grants/donations are handled by a different unit removal.) of the agency from where the Office is placed Receives grants, donations, or sponsorships from a These grants/donations are for non-Ombudsman long-term care facility for a program, conference, programs and activities event, or other purpose

| | | NOTE: Other financial relationship may include where AAA contracts with a nursing home for respite services. This should be identified as outlined in #7. This would not be a prohibited conflict, as the AAA is purchasing a service, but it is not an ownership or investment interest and no funds area received from the nursing home. | Communications regarding these grants/donations avoid perception of influence or impact on the Ombudsman program or representatives of the Office Separate branding, including materials and on-line presence, distinguishes LOE from programs of agency that may accept such grants/donations |
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| 5 | Has governing board members with any ownership, investment or employment interest in long-term care facilities (CFR 1324.21(a)(4)) | Board members (state names and/or number of members identified) have an ownership, investment, or employment interest in a long-term care facility or facilities | Require board members with COI to resign or recuse themselves from any decisions both programmatic and budgetary regarding the LTCOP LOE monitors and reviews meeting minutes and financial statements to ensure compliance Monitor complaint activity of board member facilities Move LOE to another agency |
| 6 | Provides long-term care to residents of long-term care facilities, including the provision of personnel for long-term care facilities or the operation of programs which control access to or services for long-term care facilities (CFR 1324.21(a)(5)) | Conducts/administers nursing home pre-admission screening programs, including determining level of care Administers the Pre-Admission Screening and Resident Review (PASSRR) program | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Move these functions to another agency or division Move LOE to another agency |
| 7 | Provides long-term care services, including programs carried out under a | Funds, administers, monitors, and/or directly provides long-term care services, such as adult day service, respite (including respite provided in a nursing home, assisted living, or other facility), | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions |

| | Medicaid waiver approved under section 1115 of the Social Security Act (42 U.S.C. 1315) or under subsection (b) or (c) of section 1915 of the Social Security Act (42 U.S.C. 1396n), or under a Medicaid State plan amendment under subsection (i), (j), or (k) of section 1915 of the Social Security Act (42 U.S.C. 1396n) (OAA Sec. 712(f)(2)(A)(iii)) | home-delivered meals or transportation, whether funded by Medicaid waivers, OAA, state revenue, or other funding sources (NOTE: ACL anticipates that all LOEs that are placed in AAAs will report this as a conflict due to AAA roles in providing long-term care services under the Older Americans Act and/or other funding sources.) | These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |
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| 8 | Provides long-term care case management (OAA Sec. 712(f)(2)(A)(iv)) | Funds, administers, monitors, and/or directly provides long-term care case management (NOTE: ACL anticipates that most, if not all, LOEs that are placed in AAAs will report this as a conflict due to AAA roles in providing long-term care case management under the Older Americans Act and/or other funding sources.) | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |

| 9 | Provides long-term care coordination or case management for residents of long-term care facilities (CFR 1324.21(a)(6)) | Funds, administers, monitors, and/or directly provides long-term care case management (NOTE: ACL anticipates that LOE that are placed in AAAs which administer or provide services under a Medicaid waiver program covering Assisted Living, or similar residential settings, will report this as a conflict) | • | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |
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| 10 | Sets reimbursement rates for long- term care facilities (CFR 1324.21(a)(7)) | Sets reimbursement rates, and/or implements rates set by state legislature, Medicaid, or other department (NOTE: ACL anticipates that LOEs that are placed in AAAs which administer a Medicaid waiver program covering Assisted Living, or similar residential settings, will report this as a conflict) Sets reimbursement rates for respite services delivered in long-term care facilities (ACL anticipates that LOEs that are placed in AAAs which deliver OAA-funded respite in long-term care facilities will report this as a conflict) | • | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |

| 11 | Sets rates for long- term care services (OAA Sec. 712(f)(2)(A)(v)) | Sets reimbursement rates, and/or implements rates set by state legislature, Medicaid, or other department for long-term care services, such as adult day service, home-delivered meals or transportation, whether funded by Medicaid waivers, OAA, state revenue, or other funding sources (NOTE: ACL anticipates that all LOEs that are placed in AAAs will report this as a conflict due to AAA roles in providing long-term care services under the Older Americans Act and/or other funding sources.) | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |
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| 12 | Provides adult protective services (OAA Sec. 712(f)(2)(A)(vi) & (CFR 1324.21(a)(8))) | A social services program provided by state and/or local governments serving older adults and adults with disabilities who need assistance because of abuse, neglect, self-neglect, or financial exploitation. | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |

| 13 | Is responsible for eligibility determinations for the Medicaid program carried out under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) (OAA Sec. 712(f)(2)(A)(vii)) | Funds, administers, monitors, and/or directly determines eligibility for Medicaid programs, including conducting functional eligibility assessments for Medicaid waiver programs and/or nursing home level of care determinations (NOTE: ACL anticipates that LOEs that are placed in AAAs which administer a Medicaid waiver program or any nursing home prescreening programs will report this as a conflict) Conducts/administers nursing home pre-admission screening programs, including determining level of care Administers the Pre-Admission Screening and Resident Review (PASSRR) program | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |
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| 14 | Is responsible for eligibility determinations regarding Medicaid or other public benefits for residents of long-term care facilities (CFR 1324.21(a)(9)) | Funds, administers, monitors, and/or directly determines or collects information regarding eligibility for Medicaid programs or other public benefits programs for residents of long-term care facilities, including conducting functional and/or financial eligibility assessments for nursing home level of care determinations, Medicaid waiver programs that cover Assisted Living and similar residential settings, and residential state supplement programs (NOTE: ACL anticipates that LOEs that are placed in AAAs which administer a Medicaid waiver program or any nursing home prescreening programs will report this as a conflict) Conducts/administers nursing home pre-admission screening programs, including determining level of care Administers the Pre-Admission Screening and Resident Review (PASSRR) program | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |

| 15 | Conducts preadmission screening for placements in facilities described in clause (ii) (OAA Sec. 712(f)(2)(A)(viii); CFR 1324.21(a)(10) language has essentially the same meaning) | Funds, administers, monitors, and/or directly conducts preadmission screening (NOTE: ACL anticipates that LOEs that are placed in AAAs which administer a Medicaid waiver program or any nursing home prescreening programs will report this as a conflict) Conducts/administers nursing home pre-admission screening programs, including determining level of care Administers the Pre-Admission Screening and Resident Review (PASSRR) program | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |
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| 16 | Makes decisions regarding admission or discharge of individuals to or from such facilities (OAA Sec. 712(f)(2)(A)(ix); CFR 1324.21(a)(11) language has essentially the same meaning) | Funds, administers, monitors, and/or directly conducts or gathers information for functional and/or financial eligibility assessments for nursing home level of care determinations and Medicaid waiver programs that cover Assisted Living (NOTE: ACL anticipates that LOEs that are placed in State Units on Aging which administer a Medicaid waiver program or any nursing home prescreening programs will report this as a conflict) Conducts/administers nursing home pre-admission screening programs, including determining level of care Administers the Pre-Admission Screening and Resident Review (PASSRR) program | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff Move these functions to another agency or division Move LOE to another agency |

| 17 | Provides guardianship, conservatorship or other fiduciary or surrogate decision- making services for residents of long- term care facilities (CFR 1324.21(a)(12)) | Provides guardianship, conservatorship, money management / bill paying services | • | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the Office is placed MOU/P&P outlines LTCOP separation from these functions Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE Separate phones, fax lines and clearly defined limits regarding access to LTCOP database, information and other records LTCOP is located in a different building or separate office only accessible to LTCOP staff |
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| | | | • | Move these functions to another agency or division |
| | | | • | Move LOE to another agency |

We also encourage the LOE to identify organizational conflicts of interest and steps taken to remedy or remove these conflicts regarding:

| Conflict of Interest | Examples of Identification | Examples of Remedy or Removal |
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| Any other service (e.g., Name of Service) provided by the agency that could pose a potential or actual conflict of interest, including other work done by LTCOP employees | Legal Assistance (including legal representation of long-term care facility residents) | LOE in a different management reporting chain Representatives of the Office do not report to person directly responsible for these functions These functions are handled by a different unit of the agency from where the LTCO is placed MOU/P&P outlines LTCO separation from these functions LTCO has staff assigned to these programs and programs contribute to, and do not detract from, LTCOP work Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE |

| Any other perceived or actual conflicts of interest from the resident / consumer / general public perspective with the LTCOP | LTCOP webpage is posted under a department/division without remedied/removed conflicts and/or that does not align with its organizational placement Lack of separate branding, including materials and on-line presence, to distinguish LTCOP from other programs of agency where placed | Contract with SLTCO requires prior approval for LTCOs to work on other programs or initiatives Included in assurances with SLTCO, annual organizational disclosure statement with proposed remedies submitted to and approved by SLTCO, and reviewed in annual monitoring Move these functions to another agency or division Move LOE to another agency LTCOP on-line and print materials explain independence of Office LTCOP has dedicated phone number, fax number, and email address LTCOP conducts periodic customer satisfaction survey LOE's Aging Advisory Board/Commission solicits customer feedback Ombudsman includes statement that participation is advisory only & dissenting LTCO viewpoints regarding the Board/Committee's actions are documented Included in assurances with SLTCO, annual organizational disclosure statement with proposed |
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| | | organizational disclosure statement with proposed remedies submitted to and approved by SLTCO, and reviewed in annual monitoring |
| Where there is a shared "front door" to the agency where the LTCOP is located, how the agency determines where to direct calls, emails, or other contacts that come in to the agency | Shared "front door" for phone calls, emails, and/or other contacts that come to the LTCOP | Policy that when call/email indicates concern with LTC facility, call/email/walk-in is given option of which program(s) to contact Direct number/email to LTCOP also provided Disclosure (with option to contact SLTCO) provided to contacts who are have complaints regarding services also provided by the LOE Separate branding, including materials and on-line presence, distinguishes LTCOP from LOE |

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