

**A SELF-EVALUATION AND CONTINUOUS QUALITY IMPROVEMENT TOOL FOR LOCAL LONG-TERM CARE OMBUDSMAN PROGRAMS:**  
Mini-Tool

There are 13 components with multiple indicators within each component in the Self-Evaluation and Continuous Quality Improvement Tool for Local Long-Term Care Ombudsman Programs. This mini-tool captures three indicators from each component in order for users to quickly evaluate major aspects of their program and identify program strengths and opportunities for improvement. Each component listed below should be scored separately in order to prioritize areas for improvement. Once program strengths and opportunities for improvement are identified the user can utilize the comprehensive self-evaluation tool for in-depth analysis of those specific areas. The page numbers for each component are provided below and the comprehensive tool can be accessed here:

[http://www.ltombudsman.org/sites/default/files/norc/Local-PE-Tool-Final\\_1.pdf](http://www.ltombudsman.org/sites/default/files/norc/Local-PE-Tool-Final_1.pdf)

*\*These tools are designed to encourage program evaluation and improvement, not to monitor program performance or individual ombudsmen performance.*

Evaluation Component	Indicator	Score				
		1= Never	2	3	4	5= Always
<b>I. Program Access</b>	1. The local ombudsmen and certified volunteers have large print business cards that identify them as being with the local ombudsman program.	1	2	3	4	5
	2. The local program initiates opportunities in the community to educate others about its services (e.g. at trainings, presentations, or discussions organized by other organizations/agencies; at service clubs or meetings of religious organizations, etc.).	1	2	3	4	5
	3. Complaints are received from a variety of sources including: residents, families/friends, non-relative guardian/legal representative, governmental and non-governmental agencies, facility staff and ombudsman observation.	1	2	3	4	5
<b>TOTAL:</b>		_____				
<i>For the complete Program Access component refer to pg. 11 of the Self-Evaluation and Continuous Quality Improvement Tool</i>						
<b>II. Program Management</b>	1. There is a regular, periodic evaluation of the local program that includes input from a range of program stakeholders (e.g. residents, families, the area agency on aging, etc.).	1	2	3	4	5
	2. The Local Ombudsman coordinates with local advocacy organizations involved in long-term care issues.	1	2	3	4	5
	3. The volunteer supervisor/coordinator, SLTCO or experienced LTCO accompanies the volunteer on a facility visit at least once a year.	1	2	3	4	5
<b>TOTAL:</b>		_____				
<i>For the complete Program Management component refer to pg. 18 of the Self-Evaluation and Continuous Quality Improvement Tool</i>						
<b>III. Complaint Handling</b>	1. The type of complaint work conducted by the program is consistent with the role of a resident advocate and is distinct and separate from the duties of other entities such as the regulatory agency, adult protective services or the nursing facility. (Being a resident advocate means that the ombudsman acts at the direction of the resident and responds to what the resident says is important to him/her).	1	2	3	4	5
	2. With resident consent, the LO and LTCOs in the local program pursue all possible strategies (e.g. repeated facility visits, facility chain of command, media) before determining that a complaint cannot be resolved.	1	2	3	4	5

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	3. Accurate, objective and complete documentation and case notes are maintained for each case handled by the local ombudsman program.	1	2	3	4	5
<b>TOTAL:</b> _____						
<b><i>For the complete Complaint Handling component refer to pg. 34 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>IV. Education/ Information and Assistance</b>	1. The local program has written educational materials on a wide range of nursing home issues and advocacy topics (e.g. residents' rights, abuse, neglect, restraints, resident and family councils, culture change, transfers/discharges, selecting a nursing home, what quality nursing home care looks like, etc.).	1	2	3	4	5
	2. The local program responds to requests for assistance within 2 working days.	1	2	3	4	5
	3. The local program uses a variety of ways to educate residents, families, citizens' groups, legislators, and others about residents' rights and other long-term care topics (e.g, posters, press releases, brochures, booklets, radio, tv, videos, training events, etc.).	1	2	3	4	5
<b>TOTAL:</b> _____						
<b><i>For the complete Education/Information and Assistance component refer to pg. 42 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>V. Training</b>	1. The local program regularly reviews and evaluates its training to ensure internal consistency and compliance with the OAA.	1	2	3	4	5
	2. The new LO completes a mentorship with another LO. Mentorship lasts both during and up to a year following certification/designation.	1	2	3	4	5
	3. The LO and LTCOs are provided with the opportunity on a periodic basis to network with representatives from state or local agencies that monitor or investigate nursing homes or serve nursing home residents (e.g. staff from the licensure and certification agency, Adult Protective Services, the state Quality Improvement Organization, Medicaid Fraud Control Unit, etc.).	1	2	3	4	5
<b>TOTAL:</b> _____						
<b><i>For the complete Training component refer to pg. 46 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>VI. Systems Advocacy</b>	1. The local program develops an identifiable local systems advocacy agenda to address an issue or issues faced by residents in the program's service area. (NOTE: systems advocacy includes advocacy to resolve systemic problems with care at the individual facility level or within facilities owned by a particular corporation, as well as efforts to improve laws, regulations and policies affecting residents.)	1	2	3	4	5
	2. The local program is unencumbered in carrying out its local systems advocacy agenda and the state systems advocacy agenda (when a state agenda exists) and in responsibly representing the concerns and interests of long-term care residents (for example, the LO, and LTCOs when directed by the LO, are able to take issues affecting residents directly to legislators and other policymakers).	1	2	3	4	5
	3. The local program educates residents, their families, citizens' groups and the public about, and involves them in, the local systems advocacy agenda and the state systems advocacy	1	2	3	4	5

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	agenda (when a state agenda exists).					
<b>TOTAL:</b> _____						
<b><i>For the complete Systems Advocacy component refer to pg. 55 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>VII. Program Integrity</b>	The LO, LTCOs, ombudsman assistants and any individual working with the local ombudsman program are housed in an entity of government (state or local) or agency outside government in which they are free to:					
	1. Represent the interests of residents before governmental agencies, legislative committees, individual legislators and other individuals, groups or entities.	1	2	3	4	5
	2. Communicate directly with directors of government entities, legislators, policy makers and the media about issues affecting residents.	1	2	3	4	5
	3. Provide uncensored public testimony that reflects the views of the ombudsman program.	1	2	3	4	5
<b>TOTAL:</b> _____						
<b><i>For the complete Program Integrity component refer to pg. 59 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>VIII. Conflict of Interest</b>	1. The local ombudsman program functions independently of any adult protective services program or unit impacting clients or potential clients of the ombudsman program.					
	2. The local ombudsman program functions independently of any long-term care case management service impacting clients or potential clients of the ombudsman program.					
	3. Board members of an agency that houses a local ombudsman entity do not serve in any decision-making policy-setting or program operation capacity relative to the ombudsman program if they have the following conflicts of interest: Current employment in, contractual arrangement with, or participation in the management of a long-term care facility.					
	1	2	3	4	5	
<b>TOTAL:</b> _____						
<b><i>For the complete Conflict of Interest component refer to pg. 62 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>IX. Confidentiality</b>	1. The LO, LTCOs, ombudsman assistants and any individual working with the local ombudsman program sign a confidentiality agreement.					
	2. All communication relating to a complaint remains confidential and is handled only by individuals working within the local ombudsman program.					
	3. All closed files are located with the LO. Copies are not kept in any other location.					
	1	2	3	4	5	
<b>TOTAL:</b> _____						
<b><i>For the complete Confidentiality component refer to pg. 68 of the Self-Evaluation and Continuous Quality Improvement Tool</i></b>						
<b>X. Legal Resources</b>	1. Legal representation is available to any individual working with the local ombudsman program against whom suit or other legal action is brought or threatened in connection with the performance of the official duties of the program.					
	2. Legal assistance and counsel is readily available to the LO and LTCOs to assist with both individual and systems advocacy.					
	3. The LO and any LTCOs who represent residents in involuntary transfer/discharge hearings receive legal training, support and/or guidance.					
	1	2	3	4	5	

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		<b>TOTAL:</b> _____
<i>For the complete Legal Resources component refer to pg. 70 of the Self-Evaluation and Continuous Quality Improvement Tool</i>		
<b>XI. Fiscal Resources</b>	1. The fiscal resources that are designated by federal and state authorities for the local ombudsman program are expended solely on the ombudsman program and are not used for any other program or purpose.	1   2   3   4   5
	2. The LO has control over or input into the local program's budget and makes decisions about the use of the program's fiscal resources.	1   2   3   4   5
	3. The local program's host agency and advisory board actively seek additional funding for ombudsman program services.	1   2   3   4   5
		<b>TOTAL:</b> _____
<i>For the complete Fiscal Resources component refer to pg. 72 of the Self-Evaluation and Continuous Quality Improvement Tool</i>		
<b>XII. Relationships with Agencies/Entities/Individuals/Citizen Groups/Others</b>	1. The local program develops and maintains relationships with a wide range of agencies, individuals and entities outside of the ombudsman program (e.g. regional/local surveyors, local adult protective services investigators, regional Medicaid Fraud Control Unit investigators, regional legislators, the media, etc.).	1   2   3   4   5
	2. The local program fulfills all pertinent commitments made under any memorandum of understanding established between the office of the state ombudsman and another agency or entity.	1   2   3   4   5
	3. The LO or LTCO designated by the LO serves on local committees, councils, workgroups and other groups that are involved in issues related to residents of long-term care facilities within the program's service area.	1   2   3   4   5
		<b>TOTAL:</b> _____
<i>For the complete Relationships with Agencies/Entities/Individuals/Citizen Groups/Others component refer to pg. 75 of the Self-Evaluation and Continuous Quality Improvement Tool</i>		
<b>XIII. Accountability</b>	1. The local program has an advisory board whose role is to assist in the planning and implementing of the program's advocacy agenda.	1   2   3   4   5
	2. The local program has an advisory board whose role is to assist in special projects and fund raising for the program.	1   2   3   4   5
	3. The advisory board is made up of a majority of long-term care facility residents and long-term care consumers/advocates.	1   2   3   4   5
		<b>TOTAL:</b> _____
<i>For the complete Accountability component refer to pg. 78 of the Self-Evaluation and Continuous Quality Improvement Tool</i>		