



NYS LTCOP Case Review Sheet

Reviewed By: _____

**REMEMBER!!!!
NO INVESTIGATION = NO CASE**

**** Please refer to “Step Two: Investigating Complaints Guide” provided in your folder for further assistance with your review**

COMMENTS/QUESTIONS

Consent Obtained

If appropriate, has the consent of the resident been obtained?

Case Opened/Case Closed

Does a reasonable time frame exist from when the case was first opened to when it was closed?

Complaint Investigation

Is the allegation/issue clearly defined in number 7 on the complaint form?

Is number 7, 8, and 9 complete on the complaint form?

What method(s) were used to investigate the complaints (observation, interview, record review)?

If no method is indicated, what method do you feel could have been used?

“Refer to Step Two: Investigating Complaints Guide”

Is proper language being used in the documentation?

Ex. - I interviewed, I observed, The medical recorded stated, etc.

Have specific dates, times, location, or witnesses been identified and noted?

Were any ombudsman observations specific to the complaint noted?

Were detailed accounts of any interviews conducted included?

Who was interviewed, when were they spoken to, what did they say?	
Was a record review performed? What information was obtained related to the specific complaints?	

Verification

Definition of Verification- A complaint is considered verified when, “through investigatory work (observation, interviews, and record inspections), it is determined that the circumstance described in the complaint are substantiated or generally accurate.”

Was the complaint(s) verified?	
If so, how were the complaint(s) verified, through what investigatory method (observation, interview, record review)?	
If complaint(s) not verified, what did the ombudsman do to address the dissatisfaction expressed by the resident?	

Remember, just because a complaint cannot be verified does not mean our efforts as advocates necessarily end.

Coding

Based on the investigation, is the coding of the complaint accurate?	
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Remember, reading the complaint code definitions (referred to as the long form) will assist in choosing the correct complaint code.

Resolution

Is a description provided of how each complaint was resolved?

What were the specific commitments made by the interested parties?

Is it a lasting resolution?
(Be careful to avoid “quick fixes” that only solve the problem in the short term)

Where specific time frames established for the resolution to go into effect?

Did we follow up to evaluate the outcome and assure the agreed upon resolution was a reality?

General Review Questions

As ombudsman advocates, did we actually **DO** anything? Did we simply pass the residents complaint along without investigation? If so, this is not a case!