



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**

CONSENT OBTAINED

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

CASE OPENED/CASE CLOSED

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

COMPLAINT INVESTIGATION

A. Is the allegation/issue clearly defined in the intake section (#7 on the complaint form)?

B. Is the investigation method and process clearly explained in #8 on the complaint form?

C. 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?

D. Is proper language being used in the documentation? (Ex. I interviewed, I observed, the medical record stated, etc.)

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

F. Were detailed accounts of any interviews conducted included? (Who was interviewed, when were they spoken to, where did the interview take place, and what did they say?)

G. Were any ombudsman observations specific to the complaint noted? What were they?

<p>H. Was a record review performed? What information was obtained related to the specific complaints?</p>	
<p>I. Is the writer reporting the facts of what happened? *Please note they should not be including opinions.</p>	
<p>J. Is there anything unclear or that needs further explanation?</p>	

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 is substantiated or generally accurate.”

<p>A. Was the complaint(s) verified?</p>	
<p>B. If so, through what investigatory method (observation, interview, record review) was the complaint(s) verified?</p>	
<p>C. If complaint(s) not verified, what did the ombudsman do to address the dissatisfaction expressed by the complainant?</p>	

Remember – just because a complaint cannot be verified it does not mean that our efforts as advocates stop. Not being able to verify a complaint is neither good nor bad and still requires investigatory work, thus making it a case.

CODING

<p>A. Based on the investigation, is the coding of the complaint accurate?</p>	
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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

<p>A. Is a description provided of how each complaint was resolved (#9 on complaint form)?</p>	
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<p>B. What were the specific commitments made by the interested parties?</p>	
<p>C. Is it a lasting resolution? (Be careful to avoid “quick fixes” that only solve the problem in the short term.)</p>	
<p>D. Were specific time frames established for the resolution to go into effect?</p>	
<p>E. Did we follow up to evaluate the outcome and assure the agreed upon resolution was a reality?</p>	
<p>F. If the resolution was not still in effect was anything done to continue to work on the problem (meaning the case was not closed)?</p>	
<p>GENERAL REVIEW QUESTIONS</p>	
<p>A. As ombudsman advocates, did we actually <i>DO</i> anything? Did we simply pass the complainant’s complaint along without investigation? If so, this is not a case!</p>	
<p>B. What are some specific areas that need to be worked on?</p>	