

## Evaluation of the Long-Term Care Ombudsman Program (LTCOP) State Unit on Aging (SUA) Director Survey

### PURPOSE OF THE STUDY:

NORC at the University of Chicago, with funding from the Administration for Community Living/Administration on Aging (ACL/AoA), is conducting an evaluation of the Long-Term Care Ombudsman Program. The purpose of this survey is to obtain insight on your previous experience as a State Long-Term Care Ombudsman and how your role was perceived. This survey is voluntary and is not part of an audit or a compliance review. The information you provide is confidential. We do not include names of respondents in any reports or in any discussions with supervisors, colleagues, or ACL/AoA. This survey will take approximately \_\_ minutes to complete. Please complete and return this form using the pre-paid envelope, or by scanning and emailing it to LTCOPsurvey@norc.org, or by faxing it to 301-634-9582.

Please contact NORC at 1-877-XXX-XXXX or LTCOPsurvey@norc.org if you have any questions or concerns.

OMB Control No.:

Expiration Date:

### SECTION A: Background Information

*We'd like to begin by asking you a few questions about your position and your experience prior to serving as the State Unit on Aging (SUA) Director.*

**1. How long have you served as the SUA Director?**

{Enter number years} \_\_\_\_ \_\_\_\_  
+ {Enter number months} \_\_\_\_ \_\_\_\_

**2. Prior to your position as the SUA Director, did you have any experience working with the LTCOP?**

1  Yes

If so, in what capacity? \_\_\_\_\_

2  No

**3. What was your job immediately prior to becoming the SUA Director?**

\_\_\_\_\_

**SECTION B: Structure and Activities**

*Next, we'd like to ask about the structure and activities of the SUA and Office of the State LTCOP.*

**Program Structure**

**1. What agencies/programs are housed within your SUA? {Check all that apply}**

- 1  Office of the State Long-Term Care Ombudsman (SLTCO)
- 2  Adult Protective Services (APS)
- 3  Licensing and Certification Agency
- 4  Medicaid Case Management
- 5  Medicaid Agency
- 6  Medicaid Waiver programs
- 7  Legal Services Developer, Legal Assistance program
- 8  State Health Insurance Program (SHIP)
- 9  Senior Medicare Patrol (SMP)
- 10  Information and Assistance Program
- 11  Public Guardianship
- 12  Aging and Disability Resource Center (ADRC)
- 13  Board of Nursing Home Administrators
- 96  Other (Please specify): \_\_\_\_\_

**2. Is the Office of the SLTCO a distinct and separately identifiable entity (regardless of its organizational placement) within the SUA or other agency or organization in which it is housed? Some examples may include the SLTCO having a separate program logo and/or website, and the SLTCO (rather than the SUA Director) being seen by other entities as the head of the Office of the SLTCO.**

- 1  Yes
  - 2  No
  - 3  Somewhat
- If so, please describe? \_\_\_\_\_

**Legal Counsel**

**3. Who is the Ombudsman program's assigned legal counsel? {Check all that apply}**

- 1  Office of the Attorney General
- 2  Host agency attorney (state government)
- 3  Host agency attorney (non-government)
- 4  In-house attorney (legal counsel is part of Ombudsman program staff)
- 5  Private attorney under contract
- 6  Other Please specify: \_\_\_\_\_
- 97  Don't know

**4. Is the legal counsel assigned to the LTCOP knowledgeable about the following? {Check all that apply}**

- 1  Ombudsman programmatic issues
- 2  Long-term care issues
- 3  Federal, state, and local laws related to long-term care facilities
- 97  Don't know (I don't know if the legal counsel assigned to the LTCOP is knowledgeable about Ombudsman programmatic issues and/or long-term care issues)

**Program Activities**

**5. Which of the following management activities does your SUA perform? {Check all that apply}**

- 1  Provides personnel and management oversight of the LTCOP
- 2  Provides contractual oversight (if LTCOP is contracted out to another entity)
- 3  Provides training and technical assistance opportunities to the LTCOP
- 4  Monitors the LTCOP budget, including ensuring there are adequate funds for the program
- 5  Monitors LTCOP activities to provide program oversight
- 6  Enables the LTCOP to determine use of its fiscal resources
- 96  Other (Please specify): \_\_\_\_\_

**6. What types of supports does your SUA provide to the LTCOP? {Check all that apply}**

- 1  Ensures the LTCOP has sufficient authority and access to facilities, residents, and information needed to fully perform duties
- 2  Conveys the independence of the LTCOP to the legislature and other organizations
- 3  Facilitates coordination with other entities (for example APS, Licensing and Certification, etc.)
- 4  Facilitates the LTCOP's participation in relevant advisory committees, workgroups and/or task forces related to the long-term care service system
- 5  Integrates the goals and objectives of the LTCOP into the State Plan
- 6  Coordinates with SLTCO to develop policies and procedures for monitoring, confidentiality, and disclosure
- 96  Other (Please specify): \_\_\_\_\_

**7. Which of the following systems advocacy activities does your SUA perform? {Check all that apply}**

- 1  Communicates regularly to the SLTCO about policy or legislative issues
- 2  Supports the ability of Ombudsmen program staff to speak directly with the media
- 3  Aware of and understands LTCOP legislative priorities
- 4  Facilitates introductions/meetings with, and appearance before the legislature
- 96  Other (Please specify): \_\_\_\_\_

**8. Do your SUA and the LTCOP jointly carry out any of the following activities? {Check all that apply}**

- 1  Educate other state officials (for example, state agency staff or elected officials) about issues in the long-term care system
- 2  Conduct long-range strategic planning (for example, for activities related to older adults and/or persons with disabilities)
- 3  Coordinate cross-training among state agencies and programs
- 4  Develop training programs (for LTCOP staff and/or LTC facility staff)
- 96  Other (Please specify): \_\_\_\_\_
- 98  Not applicable

**9. Do the SLTCO and their staff have unrestricted access to the following entities? {Check all that apply}**

- 1  Elected and appointed state officials
- 2  The media
- 3  Advocacy groups
- 4  Facility administrators
- 5  Insurance providers
- 6  Health care providers
- 3  None of the above

If so, why? \_\_\_\_\_

**10. Is the SLTCO able to provide written and public testimony on current and proposed laws, regulations, policies and procedures without prior approval or restriction?**

- 1  Yes
- 2  No

If not, why? \_\_\_\_\_

**11. Are there any barriers which prevent the LTCOP from engaging in systems advocacy?**

- 1  Yes
- 2  No (Skip to Q13)
- 97  Don't know

**12. What barriers prevent Ombudsmen from engaging in systems advocacy? {Check all that apply}**

- 1  State laws
- 2  Organizational structure
- 3  Competing priorities with State government, including the Governor's office
- 4  Competing perspectives or philosophies among agencies
- 5  Competing priorities among agencies
- 6  Competing priorities with the SUA
- 7  Lack of adequate funding
- 8  Concerns about conflict of interest
- 9  Lack of training in systems advocacy
- 10  Insufficient staff time/program capacity
- 96  Other (Please specify): \_\_\_\_\_
- 98  Not applicable

**13. Are there any barriers which prevent the LTCOP from engaging in individual resident advocacy?**

- 1  Yes
- 2  No (Skip to Q15)
- 97  Don't know

**14. What barriers prevent Ombudsmen from engaging in individual resident advocacy? {Check all that apply}**

- 1  State laws
- 2  Organizational structure
- 3  Competing perspectives or philosophies among agencies
- 4  Competing priorities among agencies
- 5  Lack of adequate funding
- 6  Concerns about conflict of interest
- 7  Lack of adequate training in individual advocacy
- 8  Lack of adequate legal counsel
- 9  Challenging relationships with facility administrators and staff
- 10  Insufficient staffing within the LTCOP (e.g., number of available Local Ombudsmen and/or Volunteer Ombudsmen)
- 96  Other (Please specify): \_\_\_\_\_
- 98  Not applicable

**SECTION C: Program Strengths and Challenges**

**1. In which areas has the Ombudsman program demonstrated expertise? {Check all that apply}**

- 1  Serving residents of board and care facilities
- 2  Elder abuse (for example, task forces, staff training/in-services)
- 3  Culture change (for example, person-centered service planning, dementia-competent care, etc.)
- 4  Assisting residents in transitioning out of facilities
- 5  Providing support during bankruptcy proceedings
- 6  Providing advocacy around inappropriate drug use (for example, chemical restraints, misuse of anti-psychotic drugs)
- 7  Supporting residents with end of life care (for example, advance directives, access to hospice services, facility practices when someone dies)
- 8  Managing family conflicts
- 9  Addressing involuntary discharges/transfers
- 10  Systems advocacy (for example, activities related to state or federal laws, regulations, or policies)
- 11  Developing a volunteer program
- 12  Emergency response
- 96  Other (Please specify): \_\_\_\_\_

**2. What are the LTCOP's main strengths?**

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**3. What challenges does your LTCOP face? {Check all that apply}**

- 1  Insufficient funding
- 2  Insufficient program autonomy
- 3  Insufficient access to adequate legal counsel
- 4  High turnover of paid staff
- 5  High turnover of volunteers
- 6  Difficulty hiring qualified paid staff
- 7  Difficulty recruiting and/or supporting volunteers
- 8  Difficulty working with other state agencies or programs (for example, APS or the Licensing and Certification Agency)
- 9  Difficulty accessing residents in rural areas
- 10  Working with facility administrators, corporate owners, and provider associations
- 11  Working with other organizations
- 12  Working with family members
- 13  Working with resident councils
- 14  Working with family councils
- 15  Insufficient peer-to-peer support to share what works and what does not
- 16  Insufficient access to training in areas where staff need to be knowledgeable  
If so, please explain: \_\_\_\_\_
- 17  Difficulty working with non-English/limited English speakers
- 96  Other (Please specify): \_\_\_\_\_
- 98  Not applicable (the LTCOP does not face any challenges.)

**SECTION D: Program Resources**

*Next, we'd like to ask questions about program resources.*

**1. What resources does your SUA provide to the LTCOP? {Check all that apply}**

- 1  In-kind contributions (for example, donated office space)
- 2  Staff
- 3  Data/information systems (for example, computers, software, etc.)
- 4  Administrative support
- 5  Fiscal resources
- 96  Other (Please specify): \_\_\_\_\_
- 98  Not applicable

**2. Does your SUA have staff positions that support the LTCOP? For example, an Ombudsman Liaison that is employed by the SUA, but interfaces with the LTCOP.**

- 1  Yes  
If so, please describe the position(s): \_\_\_\_\_  
\_\_\_\_\_
- 2  No

**3. What challenges does the SUA face in overseeing or supporting the LTCOP?**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. Who are your main sources of information about the LTCOP? {Check all that apply}**

- 1  ACL – Central Office
- 2  ACL – Regional Offices
- 3  State Ombudsman (Office of the SLTCO)
- 4  Local Ombudsmen
- 5  Advancing States
- 6  National Ombudsman Resource Center
- 7  National Association of State Ombudsman Programs (NASOP)
- 96  Other (Please specify): \_\_\_\_\_



**SECTION E: Relationships and Perceptions of the Ombudsman Program**

*The next questions ask about program relationships and perceptions about the LTCOP.*

**1. Overall, how would you rate the effectiveness of the SUA’s relationship with the following entities?**

	Very effective	Somewhat effective	Neutral	Somewhat ineffective	Very ineffective	Don't know
a. Office of the State LTCO	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
b. ACL – Central Office	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
c. ACL – Regional Offices	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
d. National Association of States United on Aging and Disability (NASUAD)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
e. National Ombudsman Resource Center	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
f. National Association of State Long-Term Care Ombudsman Programs (NASOP)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>
g. National Association of Local Long-Term Care Ombudsmen (NALLTCO)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>	97 <input type="checkbox"/>

**2. Overall, how would you describe the effectiveness of the LTCOP statewide?**

- 1  Very effective
- 2  Somewhat effective
- 3  Neutral
- 4  Somewhat ineffective
- 5  Very ineffective
- 97  Don't know

**3. Overall, how familiar are the following groups with the LTCOP?**

	Very familiar	Somewhat familiar	Not familiar	Don't know
a. Agencies within the aging network	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	97 <input type="checkbox"/>
b. Nursing homes	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	97 <input type="checkbox"/>
c. Board and care homes and similar facilities*	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	97 <input type="checkbox"/>
d. Consumers (residents/family members)	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	97 <input type="checkbox"/>

\*Board and care homes and similar facilities include residential care facilities, adult congregate living facilities, assisted living facilities, foster care homes, and other adult care homes similar to a nursing facility or board and care home which provide room, board, and personal care services to a primarily older residential population.

**4. How would you describe the LTCOP’s reputation among the aging and disability network?**

- 1  Very good
- 2  Good
- 3  Neutral
- 4  Poor
- 5  Very poor
- 97  Don't know

**5. What is the most important way that your SUA contributes to the LTCOP?**

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**SECTION F: Program Quality Assurance**

*In this section, we focus on program quality assurance activities.*

**1. Does the LTCOP Final Rule provide sufficient guidance and authority to the LTCOP to perform its functions effectively and efficiently?**

- 1  Yes
- 2  No  
If not, what areas require clarification? \_\_\_\_\_
- 3  Somewhat  
If so, what areas require clarification? \_\_\_\_\_
- 97  Don't know

**2. How does your SUA address LTCOP conflicts of interest (both organizational and individual)?**  
*{Check all that apply}*

- 1  Establishes policies and procedures
- 2  Clarifies role of SLTCO with other agencies
- 3  Clarifies role with AAA and/or other contractors
- 4  Enables SLTCO to enlist other legal counsel if the one assigned to them has a conflict of interest
- 96  Other (Please specify): \_\_\_\_\_

**Data and Monitoring**

**3. Does your LTCOP provide your SUA with program data (for example, monthly or quarterly reports for monitoring purposes)?**

- 1  Yes
- 2  No
- 3  Don't know

**4. Does your SUA use other data for monitoring the work and progress of the LTCOP?**

1  Yes

If so, please identify the data source used: \_\_\_\_\_

2  No

**5. What changes would you make to improve the effectiveness of the LTCOP?**

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**6. Is there any topic or issue that was not covered that you think is important to include in the evaluation?**

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***THANK YOU FOR COMPLETING THIS SURVEY.***