



**Office of the State
Long Term Care
Ombudsman**

**2018
ANNUAL REPORT**

Submitted by:

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State Ombudsman**

The Long-Term Care Ombudsman Program 2018 Annual Report

Educating, Empowering, Advocating

Report Summary

This report has been developed to meet the annual reporting requirements established pursuant to the New York State Elder Law regarding the operations of the New York State Long Term Care Ombudsman Program (NYS LTCOP). This report provides an overview of NYS LTCOP program operations, effects of regionalization, the enactment of changes outlined in new federal regulations, advocacy efforts, and the focus of the program for the upcoming year.

Program Overview

The mission of the Long Term Care Ombudsman Program (LTCOP) is to serve as an advocate and resource for older adults and persons with disabilities who live in long-term care facilities such as nursing homes, adult homes, assisted living facilities, and family type homes. Ombudsmen help residents and their loved ones understand and exercise their rights to effectively address concerns that impact their health, safety, and quality of life. The program advocates for residents at both the individual and systems levels by receiving, investigating, and resolving complaints made by, or on behalf of residents; promoting the development of resident and family councils; and informing governmental agencies, providers, and the general public about issues and concerns impacting residents of long-term care facilities.

The Older Americans Act, administered by Administration for Community Living (ACL), requires each state to establish an independent Office of the State Long Term Care Ombudsman, as defined in federal regulations. In New York State, the Office of the State Long Term Care Ombudsman is administratively housed within the New York State Office for the Aging (NYSOFA) and provides advocacy services statewide to approximately 160,000 long-term care residents in almost 1,500 facilities.

Enhancing LTCOP's efficiency in recent years included the establishment of a regional approach to administering the program. The goal of this effort was to provide residents of long-term care facilities across the state with improved access to certified ombudsmen. The initiative has proven effective in enhancing access to program services and providing community outreach and awareness.

New York State LTCOP is administered through 15 regional programs consisting of 14 not-for-profit agencies, and one Area Agency on Aging (AAA) (map attached). Throughout the state there are approximately 40 paid staff and 485 certified volunteer ombudsmen providing advocacy services to long-term care residents. Paid program staff provide facility coverage, information, and assistance to residents and families, technical assistance to the certified volunteers, and assist with advocacy efforts at the facility, regional, and state levels.

Role of an Ombudsman

Certified ombudsmen, often volunteers, provide a "regular presence" in facilities and because of this, get to know residents, their needs, and the things that make a difference in their everyday lives. For residents without any family or loved ones, the ombudsman may be their only social connection outside of the facility and the only person they can rely on. Ombudsmen often become a lifeline for those individuals who have no one else to turn to when they need it most.

Regulations

Following the promulgation of new federal regulations in 2016 regarding the Long Term Care Ombudsman Program, in 2018 amendments were made to the provisions of the New York State Elder Law that govern the program to ensure the conformance of state law with the federal statute and regulations. Specifically, those changes were effectuated in Chapter 259 of the Laws of 2018 and are now memorialized in Section 218 of the Elder Law.

A key provision of the federal regulations is to provide the Office of the State Long Term Care Ombudsman with autonomy to act as an independent office. NYS LTCOP continues to have regular interaction with ACL regarding implementation of the new law, regulations, policies, and actions relating to residents of long term care facilities, as well as oversight of the local ombudsman entities in their implementation of the program.

2018 Focus Issue

NYS LTCOP is charged with identifying issues raised by residents and their families and helping them resolve their concerns. In 2018, LTCOP identified involuntary discharges as a concern and worked with multiple agencies to create a taskforce to evaluate this issue and develop strategies to address it. A pilot taskforce was created in one region, with plans to expand the taskforce to include more regions in the future.

A major focus of this taskforce was to determine barriers residents are facing in relation to involuntary discharge, including potential financial exploitation. The taskforce met regularly and developed concepts and questions, which were discussed with New York State Department of Health. The task force included a variety of stakeholders including AAAs, advocacy organizations, Adult Protective Services, and legal organizations, all of which have come together to work toward improving the process and assisting with residents facing involuntary discharge.

Advocacy Efforts

Chapter 259 of 2018 contained provisions that designate the Office of the State Long Term Care Ombudsman as a distinct and separate entity, allowing the office to independently engage in systems advocacy and making recommendations that improve the quality of care in long-term care facilities and the quality of life for residents. In 2018, LTCOP continued statewide efforts to contact legislative offices, meeting with legislators to provide education about the program's mission and goals, as well as to discuss the continued needs of the program to remain successful in providing advocacy services. LTCOP also met with the Governor's Office to discuss the services ombudsmen provide to the long-term care residents in New York State, advocating for an increase in funding for the program, and the Personal Needs Allowance (PNA) for nursing home residents.

The increase in funding would allow the program to increase its number of paid staff, enhance volunteer recruitment, and ultimately increase the residents' ability to access the ombudsman program. Volunteer ombudsmen are the primary resource for facility coverage in the current program structure. However, the needs of residents are changing and becoming much more complex, often requiring paid staff assistance along with, or instead of, the volunteer. Increasing paid staff would greatly increase the ability to provide more specific advocacy services to residents and increase the ability to reach more residents.

As a statewide program initiative, the Office sought to advocate for a resident-specific concern, the Personal Needs Allowance, which has not been increased in over 30 years, even though residents' costs for items such as a haircut, a toothbrush, or a card has drastically increased during that time. The program advocated for an increase from \$50/month to \$75/month and will continue these efforts statewide.

Long Term Care Ombudsman FFY 2018 Data:

In FFY 2018, NYS LTCOP:

- Investigated 2,824 complaints throughout NYS.
- Responded to 44,277 requests for information and consultation about long-term care questions and issues from residents, caregivers, and the general public.
- Regularly visited 59% of nursing homes and 29% of adult care facilities to provide residents with access to advocacy assistance and to monitor quality of care.
- Conducted 247 community education sessions on residents' rights and long-term care issues.
- Volunteers contributed 67,680 hours of service in support of advocacy on behalf of long-term care residents.

Attached is a breakdown of the complaints received by each LTCOP regional program.

Below is a sample list of some of the resident issues certified volunteer ombudsmen and paid ombudsmen assisted with in FFY 2018:

- Violation of residents' rights or dignity
- Physical, verbal or mental abuse; deprivation of services necessary to maintain residents' physical and mental health; and/or unreasonable confinement
- Poor quality of care, including inadequate personal hygiene and slow response to requests for assistance
- Improper transfer or discharge of residents
- Inappropriate use of chemical or physical restraints
- Resident concerns about quality of care or quality of life

Focuses for 2019

The Office of the State Long Term Care Ombudsman has identified areas of concern in long-term care facilities inclusive of discharge processes and staffing related issues, which continue to be the most common complaints from residents and families. LTCOP staff continue to relay these concerns to state and regional NYSDOH staff and plan to pursue systems advocacy efforts related to these areas.

Our regional offices continue to receive facility-initiated discharge notices from nursing facilities per federal nursing home regulations. In 2019, the Office will continue to evaluate nursing home discharges at a more detailed level related to residents' rights. We will work with NYSDOH to determine what areas related to discharge can be improved, and what avenues can be taken to enact these improvements.

All regional programs will continue efforts to increase the quality of care and quality of life for all long-term care residents.

For additional information, contact the New York State Long Term Care Ombudsman Program at 1-855-582-6769 or visit the NY State Ombudsman Program website: www.ltombudsman.ny.gov.

Claudette Royal
New York State Long Term Care Ombudsman

LTCOP Regions

- 1 Family Service League
- 2 Family and Children's Association
- 3 Center for Independence of the Disabled
- 4 Westchester Independent Living Center
- 5 Hudson Valley LTC Ombudsman Program
- 6 Catholic Charities Senior and Caregiver Support Services
- 7 North Country Center for Independence
- 8 Northern Regional Center for Independent Living, Inc.
- 9 Resource Center for Independent Living
- 10 ARISE Child and Family Services, Inc.
- 11 Action for Older Persons
- 12 Tomkins County Office for the Aging
- 13 Lifespan
- 14 AIM Independent Living Center, Inc.
- 15 People, Inc.



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Region 1: Suffolk County Family Service League

| | |
|----------------------------------|------------|
| Open Cases | 109 |
| Closed Cases | 108 |
| Total Complaints Received | 186 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 2 | 5 | 9 | 16 | 7 |
| B&C, ALF, RCF, etc. | 0 | 0 | 2 | 1 | 2 |
| Total | 2 | 5 | 11 | 17 | 9 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 43 | 16 | 1 |
| B&C, ALF, RCF, etc. | 7 | 1 | 0 |
| Total | 50 | 17 | 1 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 11 | 8 | 16 | 3 | 12 |
| B&C, ALF, RCF, etc. | 2 | 5 | 5 | 0 | 1 |
| Total | 13 | 13 | 21 | 3 | 13 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 2 | 3 | 3 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 0 |
| Total | 2 | 3 | 4 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 109 | 48 | | 157 |
| B&C, ALF, RCF, etc. | 25 | 2 | | 27 |
| Total | 134 | 50 | 2 | 186 |

Summary:

In 2018 the LTCOP in Region 1, hosted by Family Service League:

- investigated 186 complaints
- responded to 3,687 requests for information and assistance from residents, caregivers and the general public.
- conducted 13 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 11,239 hours of service in support of advocacy on behalf of long-term care residents.

Region 2: Nassau County Family and Children's Association

| | |
|----------------------------------|------------|
| Open Cases | 203 |
| Closed Cases | 207 |
| Total Complaints Received | 275 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 10 | 7 | 12 | 33 | 17 |
| B&C, ALF, RCF, etc. | 2 | 2 | 4 | 4 | 6 |
| Total | 12 | 9 | 16 | 37 | 23 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 56 | 10 | 2 |
| B&C, ALF, RCF, etc. | 4 | 1 | 0 |
| Total | 60 | 11 | 2 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 13 | 8 | 23 | 1 | 20 |
| B&C, ALF, RCF, etc. | 6 | 9 | 6 | 0 | 7 |
| Total | 19 | 17 | 29 | 1 | 27 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 2 | 8 | 0 |
| B&C, ALF, RCF, etc. | 0 | 1 | 0 | 0 |
| Total | 0 | 3 | 8 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 188 | 34 | | 222 |
| B&C, ALF, RCF, etc. | 44 | 8 | | 52 |
| Total | 232 | 42 | 1 | 275 |

Summary:

In 2018 the LTCOP in Region 2, hosted by Family and Children's Association:

- investigated 275 complaints
- responded to 4,861 requests for information and assistance from residents, caregivers and the general public.
- conducted 21 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 8,111 hours of service in support of advocacy on behalf of long-term care residents.

**Region 3: New York City
Center for Independence of the Disabled New York, Inc.**

| | |
|----------------------------------|------------|
| Open Cases | 303 |
| Closed Cases | 301 |
| Total Complaints Received | 511 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 13 | 17 | 57 | 78 | 16 |
| B&C, ALF, RCF, etc. | 4 | 4 | 4 | 18 | 4 |
| Total | 17 | 21 | 61 | 96 | 20 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 82 | 31 | 2 |
| B&C, ALF, RCF, etc. | 4 | 0 | 0 |
| Total | 86 | 31 | 2 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 19 | 20 | 30 | 3 | 34 |
| B&C, ALF, RCF, etc. | 8 | 6 | 6 | 6 | 2 |
| Total | 27 | 26 | 36 | 9 | 36 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 7 | 7 | 12 | 0 |
| B&C, ALF, RCF, etc. | 3 | 3 | 7 | 0 |
| Total | 10 | 10 | 19 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 370 | 58 | | 428 |
| B&C, ALF, RCF, etc. | 55 | 24 | | 79 |
| Total | 425 | 82 | 4 | 511 |

Summary:

In 2018 the LTCOP in Region 3, hosted by Center for Independence of the Disabled New York, Inc.:

- investigated 511 complaints
- responded to 6,890 requests for information and assistance from residents, caregivers and the general public.
- conducted 49 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 7,883 hours of service in support of advocacy on behalf of long-term care residents.

Region 4: Putnam, Westchester, and Rockland Counties Westchester Independent Living Center

| | |
|----------------------------------|------------|
| Open Cases | 137 |
| Closed Cases | 124 |
| Total Complaints Received | 185 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 7 | 12 | 21 | 28 | 7 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 1 | 7 |
| Total | 7 | 12 | 22 | 29 | 14 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 33 | 11 | 1 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 33 | 11 | 1 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 3 | 8 | 18 | 2 | 12 |
| B&C, ALF, RCF, etc. | 0 | 0 | 2 | 1 | 0 |
| Total | 3 | 8 | 20 | 3 | 12 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 1 | 7 | 0 |
| B&C, ALF, RCF, etc. | 0 | 1 | 0 | 0 |
| Total | 0 | 2 | 7 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 123 | 48 | | 171 |
| B&C, ALF, RCF, etc. | 8 | 5 | | 13 |
| Total | 131 | 53 | 1 | 185 |

Summary:

In 2018 the LTCOP in Region 4, hosted by Westchester Independent Living Center:

- investigated 185 complaints
- responded to 4,352 requests for information and assistance from residents, caregivers and the general public.
- conducted 2 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 5,027 hours of service in support of advocacy on behalf of long-term care residents.

Region 5: Columbia, Dutchess, Green, Orange, Sullivan, and Ulster Counties Hudson Valley Long Term Care Ombudsman Program

| | |
|----------------------------------|------------|
| Open Cases | 98 |
| Closed Cases | 98 |
| Total Complaints Received | 116 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 0 | 2 | 15 | 8 | 4 |
| B&C, ALF, RCF, etc. | 1 | 0 | 4 | 1 | 6 |
| Total | 1 | 2 | 19 | 9 | 10 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 30 | 13 | 2 |
| B&C, ALF, RCF, etc. | 3 | 1 | 0 |
| Total | 33 | 14 | 2 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 2 | 4 | 8 | 0 | 2 |
| B&C, ALF, RCF, etc. | 2 | 1 | 1 | 0 | 0 |
| Total | 4 | 5 | 9 | 0 | 2 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 2 | 0 | 2 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 0 |
| Total | 2 | 0 | 3 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 81 | 13 | | 94 |
| B&C, ALF, RCF, etc. | 19 | 2 | | 21 |
| Total | 100 | 15 | 1 | 116 |

Summary:

In 2018 the LTCOP in Region 5, hosted by Hudson Valley LTC Ombudsman Program:

- investigated 116 complaints
- responded to 4,784 requests for information and assistance from residents, caregivers and the general public.
- conducted 21 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 4,553 hours of service in support of advocacy on behalf of long-term care residents.

Region 6: Albany, Fulton, Hamilton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Warren, and Washington Counties
Catholic Charities Senior and Caregiver Support Services

| | |
|----------------------------------|------------|
| Open Cases | 100 |
| Closed Cases | 90 |
| Total Complaints Received | 121 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 3 | 1 | 7 | 9 | 10 |
| B&C, ALF, RCF, etc. | 0 | 2 | 2 | 1 | 1 |
| Total | 3 | 3 | 9 | 10 | 11 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 30 | 9 | 0 |
| B&C, ALF, RCF, etc. | 4 | 0 | 0 |
| Total | 34 | 9 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 2 | 7 | 12 | 1 | 6 |
| B&C, ALF, RCF, etc. | 0 | 1 | 4 | 1 | 1 |
| Total | 2 | 8 | 16 | 2 | 7 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 1 | 1 | 4 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 |
| Total | 1 | 1 | 4 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 69 | 34 | | 103 |
| B&C, ALF, RCF, etc. | 14 | 3 | | 17 |
| Total | 83 | 37 | 1 | 121 |

Summary:

In 2018 the LTCOP in Region 6, hosted by Catholic Charities Senior and Caregiver Support Services:

- investigated 121 complaints
- responded to 1,974 requests for information and assistance from residents, caregivers and the general public.
- conducted 7 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 3,348 hours of service in support of advocacy on behalf of long-term care residents.

Region 7: Clinton, Essex, and Franklin Counties North Country Center for Independence

| | |
|----------------------------------|-----------|
| Open Cases | 28 |
| Closed Cases | 28 |
| Total Complaints Received | 62 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 3 | 4 | 0 | 5 | 2 |
| B&C, ALF, RCF, etc. | 2 | 0 | 2 | 2 | 0 |
| Total | 5 | 4 | 2 | 7 | 2 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 22 | 1 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 22 | 1 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 1 | 3 | 7 | 0 | 3 |
| B&C, ALF, RCF, etc. | 0 | 1 | 1 | 0 | 0 |
| Total | 1 | 4 | 8 | 0 | 3 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 1 | 2 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 |
| Total | 0 | 1 | 2 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|-----------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 43 | 11 | | 54 |
| B&C, ALF, RCF, etc. | 4 | 4 | | 8 |
| Total | 47 | 15 | 0 | 62 |

Summary:

In 2018 the LTCOP in Region 7, hosted by North Country Center for Independence:

- investigated 62 complaints
- responded to 1,192 requests for information and assistance from residents, caregivers and the general public.
- conducted 14 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 776 hours of service in support of advocacy on behalf of long-term care residents.

**Region 8: Jefferson, Lewis, and St. Lawrence Counties
Northern Regional Center for Independent Living, Inc.**

| | |
|----------------------------------|-----------|
| Open Cases | 9 |
| Closed Cases | 9 |
| Total Complaints Received | 21 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 1 | 0 | 0 | 2 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 1 | 3 |
| Total | 1 | 0 | 1 | 3 | 3 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 3 | 1 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 3 | 1 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 1 | 1 | 1 | 0 | 2 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 | 0 |
| Total | 1 | 1 | 1 | 0 | 2 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 0 | 2 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 0 |
| Total | 0 | 0 | 3 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|-----------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 10 | 5 | | 15 |
| B&C, ALF, RCF, etc. | 4 | 1 | | 5 |
| Total | 14 | 6 | 1 | 21 |

Summary:

In 2018 the LTCOP in Region 8, hosted by Northern Regional Center for Independent Living, Inc.:

- investigated 21 complaints
- responded to 1,199 requests for information and assistance from residents, caregivers and the general public.
- conducted 9 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 795 hours of service in support of advocacy on behalf of long-term care residents.

**Region 9: Herkimer, Madison, Oneida, and Otsego Counties
Resource Center for Independent Living, Inc.**

| | |
|----------------------------------|------------|
| Open Cases | 62 |
| Closed Cases | 58 |
| Total Complaints Received | 111 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 3 | 3 | 3 | 17 | 1 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 0 | 0 |
| Total | 3 | 3 | 4 | 17 | 1 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 35 | 10 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 35 | 10 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 6 | 5 | 9 | 1 | 13 |
| B&C, ALF, RCF, etc. | 0 | 0 | 2 | 0 | 0 |
| Total | 6 | 5 | 11 | 1 | 13 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 1 | 1 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 |
| Total | 0 | 1 | 1 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 66 | 42 | | 108 |
| B&C, ALF, RCF, etc. | 3 | 0 | | 3 |
| Total | 69 | 42 | 0 | 111 |

Summary:

In 2018 the LTCOP in Region 9, hosted by Resource Center for Independent Living, Inc.:

- investigated 111 complaints
- responded to 1,545 requests for information and assistance from residents, caregivers and the general public.
- conducted 21 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 3,664 hours of service in support of advocacy on behalf of long-term care residents.

**Region 10: Cayuga, Cortland, Onondaga, and Oswego Counties
ARISE Child and Family Service, Inc.**

| | |
|----------------------------------|------------|
| Open Cases | 249 |
| Closed Cases | 254 |
| Total Complaints Received | 395 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 5 | 18 | 10 | 34 | 17 |
| B&C, ALF, RCF, etc. | 1 | 0 | 2 | 4 | 10 |
| Total | 6 | 18 | 12 | 38 | 27 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|------------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 126 | 34 | 0 |
| B&C, ALF, RCF, etc. | 5 | 2 | 0 |
| Total | 131 | 36 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 12 | 16 | 41 | 2 | 22 |
| B&C, ALF, RCF, etc. | 0 | 2 | 10 | 2 | 2 |
| Total | 12 | 18 | 51 | 4 | 24 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 2 | 13 | 0 |
| B&C, ALF, RCF, etc. | 1 | 0 | 2 | 0 |
| Total | 1 | 2 | 15 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 305 | 47 | | 352 |
| B&C, ALF, RCF, etc. | 33 | 10 | | 43 |
| Total | 338 | 57 | 0 | 395 |

Summary:

In 2018 the LTCOP in Region 10, hosted by ARISE Child and Family Service, Inc.:

- investigated 395 complaints
- responded to 2,468 requests for information and assistance from residents, caregivers and the general public.
- conducted 13 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 3,447 hours of service in support of advocacy on behalf of long-term care residents.

Region 11: Broome, Chenango, Delaware, and Tioga Counties Action for Older Persons

| | |
|----------------------------------|------------|
| Open Cases | 101 |
| Closed Cases | 97 |
| Total Complaints Received | 175 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 2 | 18 | 11 | 20 | 14 |
| B&C, ALF, RCF, etc. | 1 | 0 | 0 | 2 | 2 |
| Total | 3 | 18 | 11 | 22 | 16 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 50 | 10 | 1 |
| B&C, ALF, RCF, etc. | 1 | 0 | 0 |
| Total | 51 | 10 | 1 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 9 | 7 | 9 | 5 | 6 |
| B&C, ALF, RCF, etc. | 1 | 0 | 0 | 0 | 0 |
| Total | 10 | 7 | 9 | 5 | 6 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 1 | 3 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 1 | 0 |
| Total | 0 | 1 | 4 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 136 | 30 | | 166 |
| B&C, ALF, RCF, etc. | 6 | 2 | | 8 |
| Total | 142 | 32 | 1 | 175 |

Summary:

In 2018 the LTCOP in Region 11, hosted by Action for Older Persons:

- investigated 175 complaints
- responded to 2,368 requests for information and assistance from residents, caregivers and the general public.
- conducted 17 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 2,337 hours of service in support of advocacy on behalf of long-term care residents.

Region 12: Chemung, Schuyler, and Tompkins Counties Tompkins County Office for the Aging

| | |
|----------------------------------|-----------|
| Open Cases | 45 |
| Closed Cases | 40 |
| Total Complaints Received | 48 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 0 | 5 | 7 | 2 | 2 |
| B&C, ALF, RCF, etc. | 2 | 0 | 0 | 3 | 4 |
| Total | 2 | 5 | 7 | 5 | 6 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 5 | 6 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 5 | 6 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 3 | 4 | 1 | 0 | 3 |
| B&C, ALF, RCF, etc. | 1 | 0 | 0 | 0 | 0 |
| Total | 4 | 4 | 1 | 0 | 3 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 0 | 0 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 |
| Total | 0 | 0 | 0 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|-----------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 27 | 11 | | 38 |
| B&C, ALF, RCF, etc. | 7 | 3 | | 10 |
| Total | 34 | 14 | 0 | 48 |

Summary:

In 2018 the LTCOP in Region 12, hosted by Tompkins County Office for the Aging:

- investigated 48 complaints
- responded to 429 requests for information and assistance from residents, caregivers and the general public.
- conducted 23 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 218 hours of service in support of advocacy on behalf of long-term care residents.

Region 13: Monroe, Genesee, Livingston, Ontario, Orleans, Seneca, Wayne, Wyoming, and Yates Counties
LIFESPAN

| | |
|----------------------------------|------------|
| Open Cases | 157 |
| Closed Cases | 151 |
| Total Complaints Received | 441 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 11 | 16 | 30 | 72 | 13 |
| B&C, ALF, RCF, etc. | 1 | 1 | 6 | 15 | 14 |
| Total | 12 | 17 | 36 | 87 | 27 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|------------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 92 | 23 | 0 |
| B&C, ALF, RCF, etc. | 19 | 4 | 0 |
| Total | 111 | 27 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|-----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 13 | 21 | 15 | 14 | 12 |
| B&C, ALF, RCF, etc. | 3 | 6 | 12 | 7 | 0 |
| Total | 16 | 27 | 27 | 21 | 12 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 1 | 15 | 0 |
| B&C, ALF, RCF, etc. | 0 | 1 | 5 | 0 |
| Total | 0 | 2 | 20 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 192 | 155 | | 347 |
| B&C, ALF, RCF, etc. | 66 | 28 | | 94 |
| Total | 258 | 183 | 0 | 441 |

Summary:

In 2018 the LTCOP in Region 13, hosted by LIFESPAN:

- investigated 441 complaints
- responded to 3,202 requests for information and assistance from residents, caregivers and the general public.
- conducted 8 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 9,511 hours of service in support of advocacy on behalf of long-term care residents.

**Region 14: Allegany and Steuben Counties
AIM Independent Living Center, Inc.**

| | |
|----------------------------------|-----------|
| Open Cases | 16 |
| Closed Cases | 16 |
| Total Complaints Received | 20 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 1 | 0 | 1 | 4 | 3 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 1 | 0 |
| Total | 1 | 0 | 1 | 5 | 3 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 3 | 2 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 |
| Total | 3 | 2 | 0 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 1 | 1 | 0 | 1 | 0 |
| B&C, ALF, RCF, etc. | 1 | 0 | 0 | 0 | 1 |
| Total | 2 | 1 | 0 | 1 | 1 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 0 | 0 | 0 | 0 |
| B&C, ALF, RCF, etc. | 0 | 0 | 0 | 0 |
| Total | 0 | 0 | 0 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|-----------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 12 | 5 | | 17 |
| B&C, ALF, RCF, etc. | 3 | 0 | | 3 |
| Total | 15 | 5 | 0 | 20 |

Summary:

In 2018 the LTCOP in Region 14, hosted by AIM Independent Living Center, Inc.:

- investigated 20 complaints
- responded to 1,927 requests for information and assistance from residents, caregivers and the general public.
- conducted 11 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 1,004 hours of service in support of advocacy on behalf of long-term care residents.

Region 15: Cattaraugus, Chautauqua, Erie, and Niagara Counties People Inc.

| | |
|----------------------------------|------------|
| Open Cases | 107 |
| Closed Cases | 97 |
| Total Complaints Received | 172 |

| Type of Complaints - Resident's Rights | | | | | |
|--|------------------------------------|-----------------------|--|---|---------------------|
| Type of Facility | Abuse, Gross Neglect, Exploitation | Access to Information | Admission, Transfer, Discharge, Eviction | Autonomy, Choice, Preference, Rights, Privacy | Financial, Property |
| NF | 9 | 2 | 12 | 12 | 7 |
| B&C, ALF, RCF, etc. | 1 | 0 | 4 | 2 | 2 |
| Total | 10 | 2 | 16 | 14 | 9 |

| Type of Complaints - Resident Care | | | |
|------------------------------------|-----------|---|------------------------------------|
| Type of Facility | Care | Rehabilitation or Maintenance of Function | Restraints - Chemical and Physical |
| NF | 35 | 21 | 2 |
| B&C, ALF, RCF, etc. | 2 | 0 | 0 |
| Total | 37 | 21 | 2 |

| Type of Complaints - Quality of Life | | | | | |
|--------------------------------------|--------------------------------|-----------|-------------|--|----------|
| Type of Facility | Activities and Social Services | Dietary | Environment | Policies, Procedures, Attitudes, Resources | Staffing |
| NF | 4 | 11 | 13 | 2 | 5 |
| B&C, ALF, RCF, etc. | 2 | 1 | 6 | 1 | 0 |
| Total | 6 | 12 | 19 | 3 | 5 |

| Type of Complaints - Not Against Facility | | | | |
|---|--------------------------------|-----------------------|----------------|-------------------------------------|
| Type of Facility | Certification/Licensing Agency | State Medicaid Agency | Systems/Others | Services in Settings other than LTC |
| NF | 1 | 1 | 7 | 0 |
| B&C, ALF, RCF, etc. | 0 | 1 | 2 | 0 |
| Total | 1 | 2 | 9 | 0 |

| Total Complaints Verified | | | | |
|---------------------------|-----------------------------|--------------|----------|------------|
| Type of Facility | Resolved/Partially Resolved | Not Resolved | Other | Total |
| NF | 107 | 37 | | 144 |
| B&C, ALF, RCF, etc. | 20 | 4 | | 24 |
| Total | 127 | 41 | 4 | 172 |

Summary:

In 2018 the LTCOP in Region 15, hosted by People, Inc.:

- investigated 172 complaints
- responded to 3,516 requests for information and assistance from residents, caregivers and the general public.
- conducted 15 community education sessions on residents' rights and long-term care issues.
- volunteers contributed 5,568 hours of service in support of advocacy on behalf of long-term care residents.