



STATE OF RHODE ISLAND

**DEPARTMENT OF HUMAN SERVICES
DIVISION OF ELDERLY AFFAIRS**

**Rules and Regulations Governing
the Long Term Care Ombudsperson
Program**

July 7, 2014

1 *Introduction*

2
3 These *Rules and Regulations Governing the Long Term Care Ombudsperson Program* are
4 promulgated pursuant to the authority conferred under section 42-66.7-12 of the Rhode Island
5 General Laws, as amended, for the purpose of adopting prevailing standards for the
6 implementation and enforcement of the long-term ombudsperson program including, but not
7 limited to, the procedures for the receipt, investigation and resolution, through administrative
8 action, of complaints filed by residents of long term care facilities, individuals acting on their
9 behalf or any individual organization or government agency that has reason to believe that a long
10 term care facility, organization or government agency (which government agency is responsible
11 for the regulation, inspection, visitation, or supervision of facilities or which provides services to
12 residents of facilities) has engaged in activities, practices or omissions that constitute a violation of
13 applicable statutes or regulations or that may have an adverse effect upon the health, safety,
14 welfare, rights or the quality of life of residents of long term care facilities.

15
16 Pursuant to the provisions of the Administrative Procedures Act, the following were given
17 consideration in promulgating these regulations: (a) alternative approaches to the regulations; and
18 (b) duplication or overlap with other state regulations. Based upon available information, no
19 alternative approach, duplication, or overlap was identified.

20
21 These regulations are adopted in the best interest of the health, welfare, and safety of Rhode
22 Island’s seniors.

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1 PART I *Definitions and General Requirements*
2 Section 1.0 *Definitions*

3 For the purpose of these rules and regulations, the following words and phrases shall be construed
4 as follows:

5 1.1 An “*act*” of any facility or government agency includes any failure or refusal to act by any
6 facility or government agency.

7
8 1.2 “*Client*” and “*Resident*”, as used herein, shall have the same meaning.

9
10 1.3 “*Department*” means the Rhode Island Department of Human Services, Division of
11 Elderly Affairs.

12
13 1.4 “*Director*” means the Director of the Division of Elderly Affairs or his/her designated
14 agent.

15
16 1.5 “*Division*” means the Division of Elderly Affairs.

17
18 1.6 “*Elderly*” means any individual sixty (60) years of age or older who is a resident of any
19 facility.

20
21 1.7 “*Facility*” means any facility or institution, home care provider, home hospice care
22 provider or home nursing care provider, whether public or private, offering health or health
23 related services for the institutionalized elderly, and which is subject to regulation,
24 visitation, inspection, or supervision by any government agency. “*Facilities*” include, but
25 are not limited to, nursing homes, intermediate care facilities, extended care facilities,
26 convalescent homes, rehabilitation centers, home care agencies, homes for the aged,
27 veterans' homes, boarding homes, and adult supportive care, residential care and assisted
28 living residences.

29
30 1.8 “*Financial interest*” means an ownership interest or investment in a facility by a
31 representative of the Office or a relative of the representative of the Office.

32
33 1.9 “*Governing body*” means (a) a public agency within which the Office is located; or (b) the
34 board of directors of any non-profit organization within which the Office is located,
35 however named, charged with overall responsibility for the activities of the organization,
36 as delineated in its articles of incorporation, by-laws and/or other legally adopted
37 document(s) related to the organization’s governance.

38
39 1.10 “*Government agency*” means any federal or state agency responsible for the
40 administration of benefits to the elderly. This shall include, but not be limited to, any such
41 agency responsible for the administration of programs affecting residents of long term care
42 facilities.

43
44 1.11 “*Immediate family*” pertaining to conflicts of interest section 712(a)(5) of the Older
45 American Act as amended (42 U.S.C. §3058g), means a member of the household or a
46 relative with who there is a close personal or significant financial relationship.
47

- 1 1.12 **“Interfere”** means willing and continuous conduct which prevents the ombudsperson from
2 performing her or his official duties.
3
- 4 1.13 **“Legal Representative”** means a guardian appointed by a court of competent jurisdiction
5 or the holder of a valid power of attorney with the authority to act on the matter at issue as
6 specifically set forth in that power of attorney.
7
- 8 1.14 **“Office of the State Long-Term Care Obudsperson” or “Office”** means the organizational
9 unit headed by the State Long-Term Care Ombudsman, including the representatives of the
10 Office.
11
- 12 1.15 **“Official duties”** means responsibilities pursuant to the long-term care ombudsperson
13 program authorized by the federal Older Americans Act or the long-term care
14 ombudsperson program authorized by state law and carried out under the auspices and
15 general direction of the state long-term care ombudsperson.
16
- 17 1.16 **“Ombudsperson”** shall have the meaning set forth in Section 2.4 below.
18
- 19 1.17 **“Person”** means any individual, trust, or estate, partnership, limited liability corporation,
20 corporation (including associations, joint stock companies, and insurance companies),
21 state, or political subdivision or instrumentality of a state.
22
- 23 1.18 **“Public agency”** means any department, division, office, bureau, board, commission,
24 authority, or any other agency or instrumentality created by any municipality or by the
25 state, or to which the state is a party.
26
- 27 1.19 **“Relative”** means a member of the immediate family.
28
- 29 1.20 **“Remedy”** means an action, restriction of action, restriction of contact, or other means
30 proposed to the Division that would neutralize a conflict of interest and ensure that the
31 conflict will not adversely influence the activities of the representative on behalf of the
32 Office.
33
- 34 1.21 **“Representatives of the Office of the Long-Term Ombudsman” or “Representative”**
35 means the employees or volunteers designated by the Ombudsperson to fulfill the duties
36 set forth in Chapter 42-66.7 of the Rhode Island General Laws, as amended, as well as in
37 Section 712 of the Older Americans Act, as amended (42 U.S.C. §3058g).
38
- 39 1.22 **“Resident”** means any individual age sixty (60) years of age or older who is receiving
40 treatment, care, or housing in any facility in all of its aspects including, but not limited to,
41 admission, retention, confinement, period of residence, transfer, discharge, and in any
42 instances directly related to that status. Residents include patients and clients. Residents
43 shall also include disabled individuals under sixty (60) years of age residing in nursing
44 homes, or clients of residential and assisted living facilities and home care providers/home
45 hospice care providers/home nursing care providers and long-term care units at the Eleanor
46 Slater Hospital, including the Zambarano facility.
47
- 48 1.23 **“Waiver”** means the Division has determined that sufficient circumstances exist to eliminate
49 a conflict of interest and the need to remedy a conflict of interest.

1 PART II *General Requirements*

2
3 Section 2.0 *Establishment of Program*

4
5 2.1 Pursuant to Rhode Island General Laws §42-66.7, the Rhode Island General Assembly
6 established a program of the long term care ombudsperson to be administratively attached
7 to the Division in accordance with its mandate under § 42-66-4 of the Rhode Island
8 General Laws, as amended, and the Older Americans Act, 42 U.S.C. § 3001 et seq.
9

10 2.2 The purpose of the program is: (a) advocating on behalf of residents and identifying,
11 investigating and resolving through mediation, negotiation, and administrative action
12 complaints filed by residents or individuals acting on their behalf; and (b) identifying,
13 investigating and resolving through mediation, negotiation, and administrative action
14 complaints filed by any individual organization or government agency that has reason to
15 believe that a long-term care facility, organization or government agency (which
16 government agency is responsible for the regulation, inspection, visitation, or supervision
17 of facilities or which provides services to residents of facilities) has engaged in activities,
18 practices or omissions that constitute a violation of applicable statutes or regulations or that
19 may have an adverse effect upon the health, safety, welfare, rights or the quality of life of
20 residents of long-term care facilities.
21

22 2.3 The Division shall carry out the program through the establishment and operation of an
23 office of long term care ombudsperson (the “Office”). The Division may operate the
24 Office and carry out the program, directly and/or by contract or other arrangement with
25 any public agency or non-profit organization. The Division may not enter into such
26 contract or other arrangement with: (i) an agency or organization that is responsible for
27 licensing or certifying long-term care services in the State; or (ii) an association (or an
28 affiliate of such an association) of long-term care facilities or of any other residential
29 facilities for older individuals.
30

31 2.4 The Office shall be headed by an individual, to be known as the ombudsperson (the
32 “ombudsperson”), who shall be selected from among individuals with expertise and
33 experience in the fields of long-term care and advocacy. The ombudsperson shall serve on
34 a full-time basis, and shall, personally or through representatives of the Office, perform the
35 functions and duties set forth in Chapter 42-66.7 of the Rhode Island General Laws, as
36 amended, as well as in Section 712 of the Older Americans Act, as amended (42 U.S.C.
37 §3058g). “Full-time basis” means that the ombudsperson position is full-time and the
38 individual who serves as the ombudsperson has no duties other than those set forth in the
39 immediately preceding sentence. The ombudsperson shall not be the chief executive officer
40 or executive director (or any individual holding an equivalent office) of any public agency
41 or non-profit organization.
42

43 Section 3.0 *Nondiscrimination and Civil Rights Policy*

44
45 3.1 The ombudsperson shall be responsible for maintaining a policy of nondiscrimination in the
46 provision of services to participants and in the employment of staff without regard to race,
47 color, creed, national origin, gender, sexual orientation, age, or disability, in accordance with
48 all applicable state and federal statutes, regulations, and local ordinances.
49

1 Section 4.0 ***Compliance with All Laws, Codes, Rules and Regulations -***

2
3 4.1 The ombudsperson shall be responsible for complying with all local, state, and federal laws,
4 codes, rules and regulations that apply to the Office. The governing body of any
5 organization outside of the Division within which the Office is situated shall be responsible
6 for ensuring that the ombudsperson performs his or her duties in compliance with all local,
7 state, and federal laws, codes, rules and regulations that apply to the Office.
8
9

10 Section 5.0 ***Annual Reports***

11
12 5.1 The ombudsperson shall submit an annual report of the activities of the Office and the
13 ombudsperson's activities concerning facilities and the protection of the rights of
14 residents of the facilities with the federal Assistant Secretary for Aging, Director,
15 Governor, General Assembly, Director of the Rhode Island Department of Health, Chair
16 of the Long-term Care Coordinating Council and all other appropriate governmental
17 entities.
18

19 5.2 The annual report shall:

20
21 5.2.1 Describe the activities carried out by the Office in the year for which the
22 report is prepared;

23
24 5.2.2 Contain and analyze the data collected Section 712 (c)(1) of The Older
25 Americans Act

26
27 5.2.3 Evaluate the problems experienced by, and the complaints made by or on behalf
28 of residents;

29
30 5.2.4 Contain recommendations for—

31
32 (i) improving the quality of the care and life of the residents; and

33
34 (ii) protecting the health, safety, welfare, and rights of the residents;

35
36 5.2.5 Analyze the success of the program including success in providing services to
37 residents of board and care facilities and other similar adult care facilities; and

38
39 5.2.6 Identify barriers that prevent the optimal operation of the program;

40
41 5.2.7 Provide policy, regulatory, and legislative recommendations to solve identified
42 problems, to resolve the complaints, to improve the quality of care and life of
43 residents, to protect the health, safety, welfare, and rights of residents, and to
44 remove the barriers;

45
46 5.2.8 Contain a list of all members of the governing body and their professional
47 affiliations, employees, and contractors of the Office, including a listing of
48 all legal counsel who assist the ombudsperson in the performance of the official
49 duties of the Office and provide advice and consultation needed to protect the

1 health, safety, welfare, and rights of residents;

2
3 5.2.9 Contain any other requirements of Section 712 (h)(1) of The Older Americans
4 Act, 42 USC §3058g (h), as the same may be amended from time to time.

5
6 5.3 The annual report referred to in the Section shall be submitted no later than thirty (30)
7 days after the year that the report covers.

8
9 5.4 The report shall be made available to the public by the Office of the Long Term Care
10 Ombudsperson. In addition, the report shall be made available on the Website of the
11 Division of Elderly Affairs and the website of the long-term care ombudsperson or the
12 organization within which the ombudsman is located, within ten (10) days of the report's
13 submission to the Office.

14
15 Section 6.0 ***Interagency Cooperation***

16
17 6.1 Nothing in Chapter 42-66.7 of the Rhode Island General Laws, as amended, shall be
18 construed to be a limitation of the powers and responsibilities assigned by law to other
19 state agencies or departments.

20
21 Section 7.0 ***Cooperation Required***

22
23 7.1 The ombudsperson may request from any government agency, and the agency is
24 authorized and directed to provide, any cooperation and assistance, services, and data as
25 will enable the ombudsperson to properly perform or exercise any of his or her functions,
26 duties and powers under Chapter 42-66.7 of the Rhode Island General Laws, as amended,
27 and the rules and regulations herein.

28
29 7.2 The ombudsperson shall, to the extent permissible under the provisions of § 712 of the
30 Older Americans Act (42 U.S.C. § 3058g) as amended, cooperate and assist other
31 government agencies in their investigations, such as the Department of Health, the
32 Department of Attorney General, the Department of Human Services and any other
33 pertinent department or agency.

34
35 PART III ***Powers and Duties of the Long Term Care Ombudsperson***

36
37 Section 8.0 ***Powers***

38
39 8.1 The ombudsperson shall, personally or through employees of the Office:

40
41 8.1.1 Identify, investigate, and resolve complaints that (a) are made by, or on behalf of,
42 residents; and (b) relate to action, inaction, or decisions by (1) providers, or
43 representatives of providers, of long-term care services, (2) public agencies, or (3)
44 health and social service agencies that may adversely affect the health, safety,
45 welfare, or rights of the residents (including the welfare and rights of the residents
46 with respect to the appointment and activities of guardians and representative
47 payees and health care and financial powers of attorney);

- 1 8.1.2 Provide referral services to assist residents in protecting their health, safety, welfare
2 and rights;
- 3
- 4 8.1.3 Inform residents of their rights and advocate on their behalf to improve their quality
5 of life and live with dignity and respect;
- 6
- 7 8.1.4 Advocate on behalf of long term care facility residents, home care and hospice care
8 recipients;
- 9
- 10 8.1.5 Formulate written policies and procedures to identify, investigate, and resolve
11 complaints;
- 12
- 13 8.1.6 Make appropriate referrals of investigations to other state agencies, including, but
14 not limited to, the Rhode Island Department of Health, Department of Human
15 Services, Department of Behavioral Healthcare, Developmental Disabilities, and
16 Hospitals, and Department of Attorney General, provided that the resident(s) or the
17 legal representative(s) of the resident(s), as appropriate, who initiated the complaint
18 consent(s) to such referral (unless such referral is required by order of a court of
19 competent jurisdiction or by statute without such consent) and in accordance with
20 Section 16 herein and Sub-Section 712(d) of The Older Americans Act (42 U.S.C.
21 §3058g);
- 22
- 23 8.1.7 Offer assistance and training to public and private organizations on long term care
24 of elders and individuals with disabilities;
- 25
- 26 8.1.8 Represent the interests of residents of facilities before government agencies and
27 seek administrative, legal, and other remedies to protect the health, safety, welfare,
28 and rights of the residents including, but not limited to, rights with respect to the
29 appointment or removal of guardians and representative payees powers of attorney;
- 30
- 31 8.1.9 Review and, if necessary, comment on any existing and proposed laws, regulations,
32 and other government policies and actions that pertain to the rights and well-being
33 of residents of facilities.
- 34
- 35 8.1.10 Have such other powers as are provided to the Office in Section 712 of The Older
36 Americans Act (42 U.S.C. §3058g), as the same may be amended from time to
37 time.
- 38

39 **Section 9.0 *Duties***

- 40
- 41 9.1 The ombudsperson shall cause the Office to comply with all of the requirements cited
42 herein. The ombudsperson also shall perform all ombudsman duties set forth in Section
43 712 of The Older Americans Act (42 U.S.C. §3058g), as the same may be amended from
44 time to time.
- 45 9.2 The Office shall develop, in writing, implement, and provide to the Division (upon
46 request) the following:
- 47 9.2.1 A statement of philosophy and goals and objectives of the Office;

- 1 9.2.2 A statement of the procedures to be used to recruit and support any volunteer
2 representative of the Office;
- 3 9.2.3 A statement of methods to evaluate the attainment of the Office's goals and
4 objectives;
- 5
6 9.2.4 Assurance that the Office will comply with all requirements of the Division,
7 including training of all representatives of the Office, confidentiality of records,
8 and reporting;
- 9
10 9.2.5 Assurance that no person shall investigate any complaint filed with the Office,
11 unless such person is acting as an employee or agent of the Office;
- 12
13 9.2.6 Assurance that the Office has the ability to pursue appropriate remedies to resolve
14 complaints, including but not limited to:
- 15
16 9.2.6.1 Ensuring adequate legal counsel is available, and is able, without conflict of
17 interest, to provide advice and consultation needed to protect the health,
18 safety, welfare, and rights of residents; and to assist the ombudsperson and
19 representatives of the Office in the performance of the official duties of the
20 ombudsperson and representatives; and that legal representation is provided
21 to any representative of the Office against whom suit or other legal action is
22 brought or threatened to be brought in connection with the performance of
23 the official duties of the ombudsperson or such a representative; and the
24 Office pursues administrative, legal, and other appropriate remedies on
25 behalf of residents.
- 26
27 9.2.6.2 Making referrals and recommendations about specific courses of action,
28 referring situations to public and private agencies such as the Department of
29 Human Services, the Attorney General's office, state and federal courts, and
30 other agencies, as necessary;
- 31
32 9.2.6.3 Serving as an advocate for residents in negotiations with long-term care
33 facilities, public and private agencies, family members, and other
34 individuals and agencies to the extent permitted by state and federal law.
- 35
36 9.2.7 The Office shall develop a written statement which shall provide a short summary
37 of the Long Term Care Ombudsperson program, residents' rights thereunder, and
38 the Office's role as advocate for residents. This statement shall be subject to the
39 prior written approval of the Division and shall be provided to every resident, as
40 well as the resident's guardian or family member, as applicable, with whom
41 representatives of the Office interact.
- 42
43 9.3 If the ombudsperson has knowledge of or has reasonable cause to believe that a resident has
44 been abused, mistreated or neglected as defined by R.I.G.L. Chapter 23-17.8, the
45 ombudsperson shall immediately report such determination to the Rhode Island
46 Department of Health, in accordance with R.I.G.L. Chapter 23-17.8. The Ombudsman
47 must disclose the identity of a resident where the Ombudsman or representative of the
48 Office personally witnesses abuse, neglect or exploitation of a resident, so long as (1) the

1 resident at issue does not request the Ombudsman or representative not to make a report of
2 the activity witnessed by the Ombudsman or representative and (2) the Ombudsman
3 determines it to be in the best interest of the resident. Such reports shall be confidential in
4 accordance with Section 16 herein and Sub-Section 712(d) of The Older Americans Act
5 (42 U.S.C. §3058g) and all applicable federal and state laws.
6

7 9.4 If (a) the ombudsperson has knowledge of or has reasonable cause to believe that a resident
8 has been abused, exploited or neglected, as defined by R.I.G.L. Chapter 42-66, and (b)
9 such abuse, exploitation or neglect is not required to be reported to the Rhode Island
10 Department of Health in accordance with R.I.G.L. Chapter 23-17.8, then the
11 ombudsperson shall immediately report such determination to the Division, in accordance
12 with R.I.G.L. Chapter 42-66. Such reports shall be confidential in accordance with
13 Section 16 herein and Sub-Section 712(d) of The Older Americans Act (42 U.S.C. §3058g)
14 and all applicable federal and state laws.
15

16 9.5 All policies and procedures of the Office shall be subject to the review and approval of the
17 director or his/her designee.
18

19 **Section 10.0 *Governing Body***
20

21 10.1 The Office shall have an organized governing body ultimately responsible for: (1) the
22 management, fiscal affairs and operation of the Office and of the organization within
23 which the Office is located; (2) the assurance of quality services; and (3) compliance with
24 all federal, state and local laws and regulations pertaining to long term care ombudsperson
25 agencies and the rules and regulations herein.
26

27 10.2 The governing body shall provide appropriate personnel, physical resources and equipment
28 to facilitate the delivery of prescribed services and shall furthermore:
29

30 10.2.1 appoint (a) a chief operating officer, executive director (or equivalent position),
31 however named, and (b) the individual who shall serve as the ombudsperson;
32

33 10.2.2 identify the range of services to be provided which must include no less than those
34 services required herein;
35

36 10.2.3 define the geographic areas to be served; and
37

38 10.2.4 carry out such other functions as may be relevant to the organization and operation
39 of the agency.
40

41 10.3 The governing body shall adopt and maintain by-laws or acceptable equivalent which
42 defines responsibilities for the operation and performance of the organization, and shall
43 identify purposes and means of fulfilling same. The governing body shall establish
44 administrative policies pertaining to no less than the following (and copies of the same
45 shall be provided to the Division upon request):
46
47
48
49

- 1 10.3.1
2 responsibilities of the ombudsperson;
3
4 10.3.2 the mechanism for disclosure that ensures that no individual, or member of the
5 immediate family of an individual, involved in the designation of the
6 ombudsperson (whether by appointment or otherwise) is subject to a conflict of
7 interest; and that no member of the governing body, officer or employee of the
8 ombudsperson or member of the immediate family of the governing body member,
9 officer, employee, or representative, is subject to a conflict of interest;
10
11 10.3.3 the methods for identifying, and specifying in writing, mechanisms to remove
12 conflicts of interest referred to herein;
13
14 10.3.4 the manner in which services are to be provided;
15
16 10.3.5 circumstances under which ombudsperson services cannot be provided and
17 procedures for referral;
18
19 10.3.6 policies and procedures to identify, receive, investigate, and resolve complaints;
20
21 10.3.7 policies and procedures regarding persons employed by the Office. Said policies
22 shall include, but not be limited to, the following:
23
24 i) timely completion of the bureau of criminal identification (BCI) check;
25 ii) mechanism for credentialing and/or verifying any professional licensure
26 requirements in accordance with state statutes and regulations.
27
28 10.3.9 such other matters as may be relevant to the organization and operation of the
29 Office.
30

31 Section 11.0 *Personnel*
32

- 33 11.1 The Office shall employ a sufficient number of qualified personnel to provide effective
34 services.
35
36 11.2 A job description for each classification of position shall be established, clearly delineating
37 qualifications, duties, authority and responsibilities required for each position.
38
39 11.3 The Office shall have written personnel policies and procedures for hiring and selection,
40 compensation, evaluation, disciplinary action and grievance, and supervision and training
41 of employees, contractors, volunteers, students and/or interns. The personnel policies and
42 procedures shall include, at a minimum, the following provisions:
43
44 11.3.1 No known conflict of interest which would interfere with objective performance as
45 an ombudsperson representative.
46
47 11.3.2 Understanding of an agreement to follow the ombudsperson rules of confidentiality
48 in accordance with all applicable state and federal statutes and regulations;
49

1 11.3.3 Agreement to follow any policies and procedures of the Division and the Office
2 and accept the direction of the ombudsperson;

3
4 11.3.4 Compliance with the Office's reporting needs to collect and analyze data relating to
5 complaints and conditions in facilities;

6
7 11.3.5 At a minimum, training shall meet the requirements set forth in Section 712 of The
8 Older Americans Act (42 U.S.C. §3058g), as the same may be amended from time
9 to time.

10
11 11.4 Written personnel policies supporting sound personnel practices shall be made available to
12 all personnel, including volunteers, and to the Division.

13
14 11.5 Personnel files shall be maintained for each employee, including volunteers. Such files
15 shall include no less than the following documentation:

16
17 11.5.1 information pertaining to qualifications for employment which shall include but not
18 be limited to experience with long-term care issues and/or experience in the fields
19 of aging, long-term care and health care; and good verbal, listening, and writing
20 skills, as appropriate;

21
22 11.5.2 records of completion of required training and educational programs;

23
24 11.5.3 evidence of current licensure or certification as may be required by law;

25
26 11.5.4 employment application or resume of previous employment.

27
28 11.5.5 evidence of no conflicts of interest.

29
30 Section 12.0 ***Conflict of Interest***

31 12.1 No employee or representative of the Office, no individual involved in designating,
32 hiring, evaluating, or terminating the ombudsperson or any other employee or
33 representative of the Office, no organization within which the office is located and no
34 governing body members may have an unremedied conflict of interest. Conflicts of interest
35 shall include, but shall not be limited to, being employed by a facility at any time within
36 the two (2) years prior to being employed by or affiliated with the Office; or being
37 affiliated with, or having a financial interest in, a facility or a membership organization of
38 long-term care providers or other facilities; or standing to gain financially through an
39 action brought on behalf of individuals whom the Office serves; or, in the case of a non-
40 profit organization where the Office is situated, receipt of donations or other funds from a
41 facility.

42 Absent a waiver granted by the Division, no representative of the Office shall be assigned
43 to investigate a complaint concerning a facility with which the representative was formerly
44 employed, with which the representative was formerly or is currently affiliated or
45 associated, from which a relative receives long-term care services, or that poses any other
46 conflict of interest.

1 12.2 The agency within which the Office is located shall develop procedures to screen potential
2 and existing employees of the program, potential candidates and existing representatives of
3 the Office, individuals involved in designating, hiring, evaluating, or terminating the
4 ombudsperson, and potential and existing governing body members for conflicts of
5 interest. The procedures shall be applied upon initial screening and annually thereafter.
6 When completed, the individual who conducted the screen and the individual screened
7 shall acknowledge the completion of the screen in writing. The completed screening
8 instrument shall be made a record of the program and shall be subject to review by the
9 Division.

10 12.3 Prior to offering a position within the Office to an applicant or training a volunteer, the
11 agency within which the Office is situated shall report any identified conflict of interest to,
12 and may propose a remedy to, the Director. Within forty-five (45) days of receiving a
13 proposed remedy, the Director shall review the nature, scope, and extent of the conflict and
14 shall determine whether or not to allow the proposed remedy. While the decision is
15 pending, the agency shall assign any individual with a conflict of interest to duties that do
16 not pose a conflict.

17 The proposed remedy shall be submitted in writing and shall reveal the nature, extent, and
18 potential impact of the conflict of interest, and shall be a remedy which will neutralize the
19 conflict of interest. Current employment with any type of facility is a conflict of interest
20 that cannot be remedied. Any remedy granted shall remain in effect for as long as the
21 conflict continues to exist to the same extent as reported and for as long as the remedy
22 continues to work.

23 Section 13.0 *Complaint Resolution*

24 13.1 Upon receipt of a complaint, a representative of the Office shall: (a) inform the resident
25 and/or complainant (if not the affected resident) that his/her identity shall not be disclosed
26 unless such complainant or resident, or a legal representative of either, consents in writing
27 to such disclosure and specifies to whom their identity may be disclosed. Such disclosure
28 shall be made without the complainant or resident's consent if ordered by a court of
29 competent jurisdiction or when disclosure is mandated by statute;

30 (b) review the complaint and consult with the complainant regarding possible methods of
31 resolution; If consent to proceed is not obtained, the resident, or complainant, if not the
32 affected resident, shall be provided with information and/or referral sources appropriate to
33 enable them to advocate on their own behalf.

34 13.2 After an investigation, if the ombudsperson determines in the ombudsman's judgment that
35 the complaint does not warrant further action, the situation shall be explained fully to the
36 complainant, and the Office shall educate the complainant as to his rights and
37 responsibilities.

38 13.3 After an investigation, if the complaint is fully or partially verified, the ombudsperson shall
39 seek to resolve the problem.

40 13.4 Complaint resolution responsibilities shall include but not be limited to:

- 1 13.3.1 Development of a plan for corrective action through discussions with the
2 complainant, resident, and appropriate officials and staff of the related institution;
- 3 13.3.2 Establishment, on a case-by-case basis, of appropriate timetable(s) for resolution;
- 4 13.3.3 Follow-up within thirty (30) days to determine if the problem giving rise to the
5 complaint has been resolved.
6
- 7 13.5 Complaints of conditions, which in the judgment of the ombudsperson, could adversely
8 affect residents that cannot be resolved shall be referred within seven (7) days by the
9 ombudsperson to the appropriate governmental agency, provided that the resident(s) or the
10 legal representative(s) of the resident(s), as appropriate, who initiated the complaint
11 consent(s) to such referral.
12
- 13 13.6 The Office may initiate its own investigation of any facility independent of the receipt of a
14 specific complaint or problem. A representative of the Office may observe acts, practices
15 or omissions regarding a facility which generally may affect the health, safety, welfare,
16 rights or quality of life of all or a substantial number of the residents in the facility. If
17 in the discretion of the ombudsperson, such observations constitute a complaint situation
18 (s)he may cause the Office to investigate and attempt to resolve these complaints without
19 the consent of an individual resident.
20
- 21 Section 14.0 ***Resident Records***
- 22 14.1 Accurate and complete files, records and other information shall be maintained in
23 accordance with accepted professional standards and in accordance with all applicable
24 state and federal legal requirements. Files, records and other information shall be
25 maintained for each resident, and shall be filed in an accessible location within the Office.
26 The ombudsperson shall cause the Office to store complaint files, records and other
27 information in a secure manner. Access to these files, records and other information shall
28 be limited to agency staff authorized by the ombudsperson. In monitoring of the program,
29 access to these files, records and other information minus the identity of any complainant
30 or resident of a facility, shall be available to the Director and to one other senior manager
31 of the Division as shall be designated by the Director from time to time.
- 32 14.2 The Office shall maintain files, records and other information related to complaints
33 received by or on behalf of residents which shall include:
- 34 14.2.1 Name, address, and phone number of the complainant;
- 35 14.2.2 Name of the resident;
- 36 14.2.3 Relationship of the complainant to the resident;
- 37 14.2.4 Name of the facility;
- 38 14.2.5 Nature of the complaint;

- 1 14.2.6 Steps taken to investigate the complaint;
- 2 12.2.7 All notes, correspondence, complaint forms, background materials, assessments,
- 3 and medical and incident reports related to the complaint;
- 4 14.2.7 Outcome of the investigation;
- 5 14.2.8 Resolution and follow-up.

6 14.3 If the complainant refuses to identify himself or the resident, it should be so indicated in
7 the record.

8 14.4 The Office shall comply with Chapter 38-3 of the Rhode Island General Laws, also known
9 as the Public Records Administration Act. This Act requires any executive, legislative,
10 judicial, regulatory, administrative body of the State, or any political subdivision thereof
11 (including but not limited to any department, division, agency, commission, board, office,
12 bureau, authority, any school, fire, or water district, or other agency of state or local
13 government which exercises governmental functions, or any other public or private
14 agency, person, partnership, corporation or business entity acting on behalf of any public
15 agency) to comply with records management practices and procedures for the maintenance,
16 retention, and destruction of files, records and other information. The Office shall follow
17 the Division’s records retention schedule.

18
19 All costs associated with complying with R.I.G.L. Chapter 38-3 shall be the sole
20 responsibility of the agency or organization within which the Office is located. The Office
21 shall provide to the Division a copy of all correspondence, certifications and other
22 documents provided to or from the secretary of state relating to compliance with this
23 Section 14.5 and the retention and destruction of records. Where destruction of records is
24 authorized by the secretary of state, the Office shall furnish to the Division a copy of said
25 authorization certification from the secretary of state prior to destruction of the records.
26 The Office shall shred all documents being destroyed and properly and fully destroy all
27 materials to protect the privacy of all individuals.

28
29 14.5 The Office shall have written policies and procedures to govern the use and removal of
30 files, records and other information and determine the conditions for release of information
31 in accordance with statutory provisions pertaining to confidentiality (see also “Access to
32 Records” and “Confidentiality” sections below).

33
34 **PART IV Confidentiality, Retaliation, Immunity, Inspections, and Penalties**

35
36 **Section 15.0 Access**

37
38 15.1 In the course of an investigation, the ombudsperson shall, personally or through designated
39 employees of the Office:

40
41 15.1.1 Make the necessary inquiries and obtain information as is deemed necessary;

42
43 15.1.2 Have access to facilities and residents; and

1
2 15.1.3 Enter facilities and, after notifying the individual in charge, inspect any books,
3 files, medical records, or other records that pertain to the resident, subject to the
4 following requirements:

5
6 (A) access to review the medical and social records of a resident shall be provided, if-

7
8 (I) the representative has the permission of the resident, or the legal
9 representative of the resident; or

10 (II) the resident is unable to consent to the review and has no legal
11 representative;

12
13 (B) access to the records as is necessary to investigate a complaint shall be provided if-

14
15 (I) a legal guardian of the resident refuses to give the permission;

16 (II) a representative of the Office has reasonable cause to believe that
17 the guardian is not acting in the best interests of the resident; and

18 (III) the representative obtains the approval of the Ombudsperson;

19
20 (C) access shall be provided to the administrative records, policies, and documents, to
21 which the residents have, or the general public has access, of long-term care
22 facilities; and

23
24 (D) access to and, on request, copies of all licensing and certification records
25 maintained by the State with respect to long-term care facilities.

26
27 15.2 In the ordinary course of the ombudsperson's duties, the ombudsperson and designated
28 employees of the Office shall have access to residents of a facility to:

29
30 15.2.1 Visit, talk with, make personal, social, and other appropriate services available;

31
32 15.2.2 Inform them of their rights and entitlements and corresponding obligations under
33 federal and state law by distribution of educational materials, discussion in groups,
34 or discussion with individual residents and their families; and

35
36 15.2.3 Engage in other methods of assisting, advising, and representing residents to extend
37 to them the full enjoyment of their rights.

38
39 Section 16.0 ***Confidentiality-Disclosure***

40
41 16.1 *In General.*—The files maintained by the Office are confidential and shall be disclosed
42 only with the written consent or the use of assistive technology of the resident affected or
43 his or her legal representative, or if any disclosure is required by court order.

44
45 16.2 Identity of Complainant or Resident.—(A) Subject to subparagraph (B), the files and
46 records described in Sections 14 and 15 may be disclosed only at the discretion of the
47 Ombudsman (or the person designated by the Ombudsman to disclose the files, records
48 and other information); and

1 (B) The Ombudsperson is prohibited from the disclosure of the identity of any complainant
2 or resident with respect to whom the Office maintains such files, records and other
3 information unless—
4

5 (I) the complainant or resident, or the legal representative of the complainant or
6 resident, communicates informed consent to the disclosure and the consent is
7 given in writing or through the use of assistive technology;
8

9 (II) (a) the complainant or resident gives informed consent orally or through the use of
10 assistive technology; and

11 (b) the consent is documented contemporaneously in a writing made by a
12 representative of the Office in accordance with such requirements as the State
13 agency shall establish; or
14

15 (III) the disclosure is required by court order.16.3 Should the Ombudsperson or any
16 representative of the Office have reason to believe that the complainant or resident
17 is unable to provide informed consent, disclosure of the complainant or resident
18 identity shall be prohibited unless otherwise provided by law.
19

20 Section 17.0 ***Retaliation Prohibited***
21

22 17.1 No discriminatory, disciplinary, or retaliatory action shall be taken by a facility or other
23 entity with respect to any resident, employee, or other person for filing a complaint with,
24 providing information to, or otherwise cooperating with any representative of the Office.
25

26 Section 18.0 ***Immunity from Liability***
27

28 18.1 Any person, institution, or official who in good faith participates in the registering of a
29 complaint, or who in good faith investigates that complaint or provides access to those
30 persons carrying out the investigation, or who participates in a judicial proceeding
31 resulting from that complaint, is immune from any civil or criminal liability that might
32 otherwise be a result of these actions. For the purpose of any civil or criminal proceedings,
33 there is a rebuttable presumption that any person acting pursuant to Chapter 42-66.7 of the
34 Rhode Island General Laws, as amended, did so in good faith.
35

36 Section 19.0 ***Noninterference***
37

38 19.1 No person shall willfully interfere with the ombudsperson in the performance of the
39 ombudsperson's official duties.
40

41 Section 20.0 ***Penalty for Violations***
42

43 20.1 Every person who willfully violates the provisions of § 42-66.7-8 or § 42-66.7-14 of the
44 Rhode Island General Laws, as amended, will be subject to a fine up to one thousand
45 dollars (\$1,000) for each violation of these sections and any other remedy provided for in
46 Rhode Island law.
47

1
2 **PART V *Termination, Appeal Procedures and Severability***

3
4 **Section 21.0 *Procedures for Appeal***

5
6 21.1 All hearings and reviews required under the provisions of Chapter 42-66.7 of the Rhode
7 Island General Laws, as amended, shall be held in accordance with the provisions of the
8 Administrative Procedures Act (Rhode Island General Laws Chapter 42-35) and any
9 applicable administrative procedures of the Division.

10
11 **Section 22.0 *Complaints Regarding the Ombudsperson Program; Termination of Ombudsman***
12 ***Program***

13
14 22.1 All complaints concerning the Office shall be sent in writing to the Director of the Division.
15 The director may request additional information relating to the specifics of the complaint.
16 The Director shall exercise reasonable discretion in addressing each complaint.

17
18 22.2 Termination:

19
20 22.2.1 In the event that the ombudsperson or the Office fails to comply with the provisions
21 of these Regulations in whole or in part, the Division may, after specifying any
22 alleged breach, default, or non-compliance in writing to the Ombudsperson and
23 after allowing a reasonable time, but not less than fifteen (15) calendar days for
24 correction thereof, withdraw the ombudsperson program from the agency where
25 the Office is situated by sending written notice of termination which specifies the
26 reasons for termination to the agency, at least fifteen (15) calendar days prior to
27 the effective date of termination.

28
29 22.2.2 Notwithstanding the provisions governing appeals set forth in Section 21 above
30 and elsewhere in this Section 22, if the Division determines that any action or
31 omission on the part of the Office endangers life, health, and safety of residents
32 or staff of any facility, it shall withdraw the ombudsperson program from the
33 agency where the Office is situated by orally notifying the agency of termination
34 followed by the mailing of written notification, return receipt requested, within
35 seven (7) calendar days following the oral notification, setting forth the reasons
36 for termination. Termination pursuant to this subsection shall take effect upon
37 the oral notification. The Division shall forward with such written notification a
38 notice that the terminated program shall have the right to request an appeal of
39 such action to the Division's hearing officer within fifteen (15) calendar days of
40 receipt of the written termination notice. Designation of such terminated agency
41 as an Ombudsperson Office shall not continue during the pendency of said
42 appeal.

43
44 22.2.3 Upon withdrawal of the ombudsperson program from an agency by the Division,
45 the Division likewise shall terminate the funding status of such ombudsperson
46 program for the balance of the funding period.

1 22.2.4 The Division shall provide an opportunity for a hearing in accordance with this
2 Section and in accordance with Section 21 above to an agency from whom the
3 ombudsperson program is withdrawn by the Division under this Section 22.
4

5 22.2.5 Unless otherwise specified herein, the Division shall give written notice of
6 termination pursuant to this Section 22 at least fifteen (15) calendar days prior to
7 the effective date of such action. Such written notice shall state the grounds for
8 the proposed action. Such notice shall advise the affected agency or organization
9 that it may, within fifteen (15) calendar days of receipt of the notice, request an
10 appeal of such action to the Division's hearing officer, pursuant to Section 21
11 above.
12

13 22.2.6 Except as otherwise set forth herein, the ombudsperson program shall continue at
14 the agency during the pendency of the appeal, subject to an adverse decision
15 pursuant to the appeal.
16

17 **Section 23.0 Severability**
18

19 23.1 If any provision of Chapter 42-66.7 of the Rhode Island General Laws, as amended, or any
20 rule or regulation made under said Chapter, or the application of any provision of this
21 Chapter to any person or circumstance shall be held invalid by any court of competent
22 jurisdiction, the remainder of the Chapter, rule or regulation and the application of such
23 provision to other persons or circumstances shall not be affected thereby. The invalidity of
24 any section or sections or parts of any section of this Chapter shall not affect the validity of
25 the remainder of this Chapter and to this end the provisions of the Chapter are declared to
26 be severable.
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